

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

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

### NOTIFICATION

New Delhi, Dated the 14th March, 2007

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

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

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

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

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

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

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

(d) "Government" means, -

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

(ii) in any other case, the Central Government;

(e) "member of the Service" means a member of an All India Service as defined in section 2 of the All India Services Act, 1951 (61 of 1951);

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

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

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

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

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

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

(l) "Schedule" means the Schedule annexed to these rules;

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

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

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

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

Provided that the Central Government may make such additions in the form or the cut-off dates so specified as may be considered necessary or desirable.

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

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

**5. Performance appraisal reports.-** (1) A performance appraisal report assessing the performance, character, conduct and qualities of every member of the Service shall be written for each financial year or as may be specified by the Government in the Schedule 2:

Provided that a performance appraisal report may not be written in such cases as may be specified by the Central Government, by general or special order:

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

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

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

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

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

(4) Where the reporting authority has not seen, but the reviewing authority has seen the performance of a member of the Service for at least three months during the period for which the performance appraisal report is to be written the reviewing authority shall write the performance appraisal report of any such member for any such period.

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

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

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

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

**6. Review of the performance appraisal report.** - (1) The reviewing authority shall record his remarks on the performance appraisal report, within the timeframe specified in the Schedule 2.

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

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

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

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

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

Explanation. - For the purposes of this rule, "a Minister" shall not be construed as having demitted the office if he continues to be a Minister in the Council of Ministers with

a different portfolio or in the Council of Ministers immediately reconstituted after the previous Council of Ministers of which he was Minister with the same or a different portfolio provided the Prime Minister or the Chief Minister, as the case may be, continues in office.

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

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

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

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

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

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

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

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

**9. Disclosure of performance appraisal report to the officer reported upon and procedure for representation to the Referral Board.** - (1) The full annual performance appraisal report, including the overall grade and assessment of integrity, shall be disclosed to the officer reported upon after finalisation by the accepting authority to enable the officer reported upon to represent his case.

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

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

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

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

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

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

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

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

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

(b) (10) In case an entry or assessment is upgraded or down graded, reasons for the same shall be recorded in the performance appraisal report.

(10) The entire performance appraisal report, including the overall grade, shall thereafter be communicated to the officer reported upon which shall conclude the process of assessment and no further representation of any kind shall be entertained thereafter.

10. Memorial against assessment. - Nothing in these rules shall be deemed to preclude an officer from making a memorial to the President on the Performance

Appraisal Report, as provided under rule 25 of the All India Services (Discipline and Appeal) Rules, 1969.

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

### SCHEDULE 1

[See rule 3]

#### Documents to be maintained in the Performance Appraisal Dossier

- (i) A Curriculum Vitae to be updated annually on the basis of the performance appraisal reports and a five-yearly Curriculum Vitae update submitted by the officer reported upon
- (ii) The performance appraisal reports earned throughout the career.
- (iii) Certificates of training, academic courses attended after joining service, study leave
- (iv) Details of books, articles and other publications.
- (v) Appreciation letters from Government or Secretary or Head of Department or special bodies or Commissions.
- (vi) Reports of medical check-ups.
- (vii) Copy of order imposing any of the penalties specified in the All India Services (Discipline and Appeal) Rules, 1969 and final result of inquiry into allegations and charges against a member of the Service.
- (viii) Warnings or displeasure or reprimands of the Government

### SCHEDULE 2

[See rule 4]

#### Forms for Performance Appraisal Report

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

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

- Form IIIB Performance report on training (applicable for the Indian Administrative Service officers).
- Form IV Proforma for Health check up for the Indian Administrative Service officers.

### SCHEDULE 3

[See rule 2 (i)]

#### Composition of the Referral Board

##### For IAS

- |       |  |             |
|-------|--|-------------|
| (a)   | In respect of officers working in the States - |             |
| (i)   | Chief Secretary of the State                   | Chairperson |
| (ii)  | Senior most Secretary in the State             | Member      |
| (iii) | Secretary (Appointments)                       | Member      |
| (b)   | In respect of officers working in the Centre - |             |
| (i)   | Cabinet Secretary                              | Chairperson |
| (ii)  | Secretary (Personnel)                          | Member      |
| (iii) | Establishment Officer                          | Convener    |

##### For IPS

- |       |  |             |
|-------|--|-------------|
| (a)   | In respect of officers working in the States - |             |
| (i)   | Chief Secretary of the State                   | Chairperson |
| (ii)  | Director General of Police                     | Member      |
| (iii) | Secretary (Appointments)/Secretary (PAR)       | Convener    |
| (b)   | In respect of officers working in the Centre - |             |
| (i)   | Cabinet Secretary                              | Chairperson |
| (ii)  | Secretary (Personnel)                          | Member      |
| (iii) | Establishment Officer                          | Convener    |



## For IFS

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

- |  |             |
|--|-------------|
| (i) Chief Secretary of the State                           | Chairperson |
| (ii) Senior most Chief Conservator of Forests in the State | Member      |
| (iii) ACS/Principal Secretary                              | Member      |
| (iv) Secretary (Appointments)                              | Convener    |

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

- |                             |             |
|-----------------------------|-------------|
| (i) Cabinet Secretary       | Chairperson |
| (ii) Secretary (Personnel)  | Member      |
| (iii) Establishment Officer | Convener    |

