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GOVERNMENT OF KERALA

Personnel & Administrative Reforms (Advice-C) Department

CIRCULAR

No. Adv.C2/118/2021-P&ARD

Thiruvananthapuram, Dated : 14.03.2022

Subject: P&ARD - Performance Appraisal of Government Servants -
Implementation of ARC recommendations - Instructions issued -Reg

Reference: - (1) G.O.(P) 344/66/PD dt. 22.08.1966
(2) Second Report of the 4th Administrative Reforms Commission

Government Order read above is the cornerstone of Confidential Report System of Government employees in the State. Primary aim of recording Annual Confidential Report(ACR) of officials is to have an objective assessment of the capabilities of the individual officer in the performance of her/his duties and forecast their capacity/capability for undertaking more responsibilities. The objective of ACR is not merely to screen an officer's potential for higher positions. It also aims at motivating the employee do her/his present job better. For assessment of qualities/ability of an employee by review of her/his achievements and capabilities, competent authority should attempt correction of deficiencies observed to improve her/his functioning.

2. The present system of performance appraisal is a grading system. The Administrative Reforms Commission(ARC) observed certain limitations in this system viz unclear performance standards as a result of disconnect between competencies and performance, possibility for bias on the part of superior officers, absence of remedial measures for poor performance, justification usually not given for awarding top grades, no provision to measure quantity and quality of work, present system is a routine form of filling exercise rather than a performance appraisal etc.

3. The Administrative Reforms Commission has also identified certain deficiencies in the present system of Performance Appraisal of civil servants. ARC opined that Performance Appraisal is a regular and continuous evaluation of quality, quantity and effectiveness of performance and other factors that influence an employee's performance and behaviour. It is also an appraisal of the growth potential of an employee leading to positive action and enabling feedback to the individual aimed at improvement of her/his performance. Performance Appraisal is closely linked to training need analysis and capacity building. In order to uplift the competency level of officials, the ARC has recommended the numerical grading system for performance appraisal instead of the present system of general grading and to frame comprehensive rules for the Performance Appraisal systems.

4. Government have examined in detail and accepted the recommendations of the ARC to introduce new Performance Appraisal Form for all Gazetted Officers in the State (except

specialized categories) as per Form annexed.

5. Regarding specialized categories, administrative departments concerned may issue revised Performance Appraisal Forms with numerical grading system based on the nature of work, duty and requirement of the post, in consultation with P&AR Department.

6. In the new PAR system, numerical grades are to be awarded by reporting/reviewing/accepting authorities. Numerical grades should be on a scale of 1-10 (1 refers to the lowest grade and 10 to the highest). Bench mark score will be 5. Those who get a score of 5 or below shall be imparted adequate training to acquire required competency.

7. The structure and responsibilities of the Referral Board vide Clause 8 of the General Guidelines for filling up the PAR form (Annexure) will be issued separately.

8. All PARs will be submitted online. The period of submission of PARs will be 1st January to 31st December of the calendar year.

Dr. V. P. JOY
Chief Secretary

All Additional Chief Secretaries/Principal Secretaries/Secretaries/ Special Secretaries.

All Heads of Departments.

All District Collectors.

All Departments (all sections) of the Secretariat including Law and Finance.

The Principal Accountant General (Audit), Kerala, Thiruvananthapuram (with C.L.)

The Accountant General (A&E), Kerala, Thiruvananthapuram (with C.L.).

The State Election Commission Kerala, Janahitham, Vikas Bhavan, Tvpm. (with C.L.)

The Secretary, Kerala Public Service Commission (with C.L.).

The Secretary to the Governor, Raj Bhavan, Thiruvananthapuram (with C.L.).

The Secretary, Legislature Secretariat (with C.L.).

The Registrar, High Court of Kerala, Ernakulam (with C.L.).

The Advocate General, Ernakulam (with C.L.).

The Director, Information and Public Relations Department (for wide publicity).

Information and Public Relations (Web & New media) Department. (for uploading in Government Website).

Nodal Officer, P&ARD (for uploading in the P&ARD website)

Stock File/Office Copy.

Copy to :

The Private Secretary to Chief Minister.

Special Secretary to Chief Secretary

CA to Additional Chief Secretary, P&ARD

Forwarded/By order


Section Officer

Performance Appraisal Form

Applicable for all Gazetted Officers in the state except specialized categories

Performance Appraisal Report for the period from _____ to _____

Section I-Basic Information

- 1. Name of the Officer reported upon:- _____
- 2. Department: _____
- 3. Date of Birth: _____
- 4. Present Post: _____
- 5. Date of entry in the Govt. Service: _____
- 6. Date of Appointment to the Present Post: _____
- 7. Date of entry in the present post: _____
- 8. Pay and Scale of Pay : _____
- 9. Date from which functioning in the present grade continuously: _____
- 10. List of subjects dealt with according to the office order distributing work:

11. Educational and other Qualifications

SL No.	General	Department	Special	Other Skills, if any

12. Experience

Department	*Category of Work	Period	
		From	To

*Category of work may be any of the following items of the work:

Establishment, Accounts, Cash, Stores, Records, Planning, Office Section and miscellaneous

13. Reporting, Reviewing and Accepting Authorities

	Name & Designation	Period
Reporting Authority		
Reviewing Authority		
Accepting Authority		

14. Period of absence on leave, etc

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

15. Training Programs attended

Date from	Date to	Institute	Subject

16. Awards/Honours/Good Service Entry

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17. Date of filing Property Statement :

Section II-Self Appraisal

1. Brief description of duties: (Objectives of the position you hold and the tasks you are required to perform, in about 100 words)

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2. 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):

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3. What are the factors that hindered your performance?

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4. Please indicate specific areas in which you feel the need to upgrade your skills through training programs:

For the current assignment:

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For your future career

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Please Note:

You should send an updated CV, including additional qualifications acquired/training programs attended/ publications/special assignments undertaken.

Date:

Signature of officer reported upon

Section III- Appraisal.

1. Please state whether you agree with the responses relating to the accomplishments of the work plan and unforeseen tasks as filled out in Section II. If not, please explain.

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2. Please comment on the claim (if made) of exceptional contribution by the officer reported upon.

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3. Has the officer reported upon met with any significant failures in respect of his/her work? If yes, please explain.

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4. Do you agree with the skill up-gradation needs as suggested by the officer?

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5. Assessment of competency and performance (on a scale of 1-10).

(This assessment should rate the officer viz her/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 highest grade. Bench mark score will be 5).

Sl No.	Competency	Reporting Authority	Reviewing Authority	Accepting Authority
1	People First			
2	Strategic Direction			
3	Empathy			
4	Problem solving			
5	Ability to face Challenges			
6	Team work			
7	Leadership			
8	Communication skill			
9	Decision making			
10	Analytical Thinking			
11	Management of Time & resources			
12	Ability to work under pressure			
13	Exercising Delegation			
14	Goal setting			
15	Ability of Planning			
16	Staff motivation			
17	Leading by example			
18	Ensuring meeting of deadlines			
19	Coaching			
20	Application of mind with regard to public interest while taking decision			
	Overall Grading (Average)			

Note:

Competencies mentioned above have the same meaning as in the Competency Framework.

6. Pen picture by Reporting Officer. Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude.

* Overall grade (on a score of 1-10) _____

* Whether the Officer reported upon needs training to improve his competency and performance? Specify.

* Punishment awarded to the Officer, if any.

7. Integrity: Please comment on the integrity of the officer.

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Date:

Signature of Reporting Authority

Section IV - Review

1. Do you agree with the remarks of the reporting authorities?

Yes	No
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2. Observations / Pen Picture by the Reviewing Authority

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3. Overall grade on a scale of 1-10 _____

Date:

Signature of Reviewing Authority

Section V- Accept

1. Do you agree with the remarks of the reporting/ reviewing authorities?

Yes	No
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2. Observations / Pen Picture by the Accepting Authority:

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3. Overall grade (on a score of 1-10): _____

Date:

Signature of Accepting Authority

General guidelines for filling up the PAR form

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

2. Performance appraisal should be used as a tool for career planning and training, rather than a mere judgmental exercise. Reporting Authorities should realize that the objective is to develop an officer to her/ his true potential. It is not meant to be a fault finding process but a developmental tool. The Reporting Authority, the Reviewing Authority and the Accepting Authority should not shy away from reporting shortcomings in performance, attitudes or overall personality of the officer reported upon.

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

4. Documentation of performance appraisal is a year-end exercise. It is a tool for human resource development, career planning and training. Reporting Authority and the officer reported upon should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.

5. 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. The performance of the officer shall be assessed on the basis of the Overall Grade in the PAR.

The overall grading shall be assessed as follows:

Overall Grade	Meaning
1,2	Poor
3,4	Below Average
5	Average(Bench Mark Score)
6,7,8	Good
9,10	Outstanding

6. 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. 5 denotes the Benchmark Score. It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 9 or 10 would be justified with respect to specific accomplishments. Grades of 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the reporting, reviewing and accepting authorities should rate the officer against a larger population of her/his peers that may be currently working under them or would have worked under them in the past.

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7. Disclosure: There should be more openness in the system of appraisal. The annual PAR, including the overall grade and integrity, should be communicated to the officer reported upon, in writing, after it has been finalized by the accepting authority.

8. Representation: The officer reported upon may have the option to give his comments on the PAR. Such comments may be restricted to the specific factual observations contained in the Performance Appraisal Report leading to the assessment of the officer in terms of attributes, competency and output. If comments are submitted, the Reporting/Reviewing/Accepting Authority would have the option to accept them and modify the PAR accordingly. If the comments are not accepted, the views of the Reporting/Reviewing/Accepting Authority would be communicated with reasons to the officer reported upon. Thereafter, only if the officer reported upon so desires, he may request for the matter to be forwarded to the Referral Board. The representation shall be confined to errors of facts and nothing else. The Referral Board shall give clear findings on the representation and take a final decision on the assessment, including the overall grading in regard to the parameters affected thereby. The decision along with details in case an entry is upgraded or downgraded, with reasons for same may be recorded in the PAR and the same communicated, in writing, to the officer reported upon. The decision of the Referral Board shall be final.