



# The Mizoram Gazette

## EXTRA ORDINARY

### Published by Authority

RNI No. 27009/1973 Postal Regn. No. NE-313(MZ) 2006-2008 Re. 1/- per page  
VOL - XLI Aizawl, Wednesday 1.2.2012 Magha 12, S.E. 1933, Issue No. 47

#### NOTIFICATION

**No. C. 31012/8/2011-DCA(L), the 27<sup>th</sup> January, 2012.** In pursuance of paragraph II of the Sixth Schedule to the Constitution of India, the following Rules passed by the Lai Autonomous District Council which was approved by His Excellency the Governor of Mizoram on 19.1.2012 is hereby published for general information, namely :-

"THE LAI AUTONOMOUS DISTRICT COUNCIL EMPLOYEES (PERFORMANCE APPRAISAL REPORT) RULES, 2011.

**P. Chakraborty,**  
Principal Secretary to the Govt. of Mizoram,  
District Council Affairs Department.

**THE LAI AUTONOMOUS DISTRICT COUNCIL EMPLOYEES  
(Performance Appraisal Report)  
RULES, 2011**

**A**

**RULE**

to provide for accurate and conditional assessment with regard to performance and conduct of Officers, and also, it is felt necessary to maintain a record of Performance Appraisal Report of each and every Officer of Group 'A'

Whereas Sub-Rule (2) of Rule 25 (*read with Rule 20*) of the Lai Autonomous District Council (*Constitution, Conduct of Business etc.*) Rules, 2010 empowered to make Rules regulating the conditions of service.

And whereas it is expedient to introduce a new set of Rules with an aim for strengthening and developing the efficiency and conduct of its Officers.

Be it enacted by the Lai Autonomous District Council in the sixty-second year of the Republic of India as follows:-

**THE LAI AUTONOMOUS DISTRICT COUNCIL EMPLOYEES  
(PERFORMANCE APPRAISAL REPORT) RULES, 2011.**

**1. Short title, application and commencement**

- (1) These rules may be called the Lai Autonomous District Council Employees (Performance Appraisal Report) Rules, 2011.
- (2) They shall apply to all Group 'A' Officers under the Lai Autonomous District Council.
- (3) 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 Executive Committee of the Lai Autonomous District Council;
- (b) **"Authority"** means Executive Committee of the Lai Autonomous District Council;
- (c) **"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 to the next higher grade;
- (d) **"Dossier"** means performance appraisal dossier;
- (e) **"Government"** means the Government of Mizoram;
- (f) **"Member of the Service"** includes a member of all Group 'A' Officer mentioned in sub-rule(2) of rule 1 of these rules;
- (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 Authority by general or special order, in this behalf;
- (h) **"Performance appraisal report"** means the performance appraisal report referred to in rule 4 and 5;
- (i) **"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;

- (j) **"Referral Board"** means a board consisting of officers of the Service designated by Authority for cases relating to all officers of the Service governed by these rules;
- (k) **"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 Authority;  
*(Note: When the officer reported upon is looking after more than one Department, the Reporting Officer shall obtain a note from the head of the Department(s) concerned indicating the performance of the officer reported upon in respect of that department and enclose the same with the Performance Appraisal Report)*
- (l) **"Reviewing Authority"** means such authority or authorities supervising the performance of the reporting authority as may be specifically empowered in this behalf by the Authority;
- (m) **"Schedule"** means the schedule annexed to these rules.
- (n) **"Service Controlling Department"** is the Personnel Reforms Cell which issue order of appointment of the officers concerned and which controls the officer in the matter of career advancement, transfer and posting, disciplinary cases, etc.;

**3. Maintenance and custody of performance appraisal dossier-**

A comprehensive performance appraisal dossier shall be maintained for each member of the Service by the Personnel Reforms Cell of the Lai Autonomous District Council in the manner specified under these rules and the performance appraisal dossier shall consist of the documents specified in Schedule – I. The dossier shall be kept in the custody of Executive Secretary who is the head of the Service Controlling Department.

**4. Form of the performance appraisal report-**

The reporting authority shall write the performance appraisal report in such form as specified in Schedule – II 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 from time to time.

**5. Performance Appraisal Report-**

- (1) A performance appraisal report assessing the performance, character, conduct and qualities of every Member of the Service governed by these rules shall be written for each financial year or as may be specified by the Authority in the Schedule:

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

Provided further that if a performance appraisal report for a financial year is not recorded by 31st 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 Department 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 the Service, the Authority 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 of the Service 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 of the Service, the accepting authority shall write the performance appraisal of any such Member of the Service 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 authority 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 when he is no longer a competent authority.
- (8) Unless the officer reported upon submit his property return, his Performance Appraisal Report shall not be initiated, reviewed and accepted.

#### **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 Form I of Schedule II (read with para 9 of General guidelines for filling up the PAR form).
- (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 Schedule II.
- (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 a 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 report.
- (4) Notwithstanding anything contained in sub-rule (1) and (2), it shall not be competent for the reviewing authority or the accepting authority to review or accept any such performance appraisal report-
  - (a) Where the authority reviewing the performance appraisal report is a Member of the Service, after one month of his retirement from service, and
  - (b) In other cases, after one month of the date on which he demits office.

#### **7. Acceptance of the Performance Appraisal Report-**

- (1) The accepting authority shall within the timeframe specified in Schedule II, record his remarks on the performance appraisal report and may accept it, with such modifications as may be considered necessary, and sign 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 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 Member of the Service, 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 is 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. 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 finalization by the accepting authority to enable the officer reported upon to represent his case.
- (2) The officer reported upon may have the opinion 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 to 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 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, specified in the Schedule III, within one month, provided that such representation shall be confined to errors of facts.
  - (b) The representation of the officer reported upon along with the views of the reporting authority, the reviewing authority and the accepting authority shall be forwarded to the Referral Board on the request of the officer reported upon within a period of fifteen days of receipt of communication.
- (9)
  - (a) The Referral Board shall consider the representation of the officer reported upon in the light of the comments of the reporting authority, the reviewing authority 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) In case an entry or assessment is upgraded or downgraded, 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.

#### 9. General –

The Authority may issue instructions, not inconsistent with the provisions of these rules, or as it may considered 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 – I

*[See rule 3]*

#### FORMS FOR PERFORMANCE APPRAISAL REPORT:

##### **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) Certificate of training, academic courses attended after joining service, study leave,
- (iv) Details of books, articles and other publications made by the officer concerned,
- (v) Appreciation letters from Government or Secretary or Head of Department or Special bodies or Commissions or Authority,
- (vi) Copy of order imposing any of the penalties specified the CCS(CCA) Rules, 1965 and final result of inquiry into allegations and charges against a Member of the service,
- (vii) Warning or displeasure or reprimands of the Authority.

### SCHEDULE – II

*[See rule 4]*

#### **Forms for Performance Appraisal Report**

##### **APPENDIX - Performance Appraisal Report Forms and Proforma**

- Form – I The Lai Autonomous District Council Employee Performance Appraisal Report form and General Guidelines for filling up the Performance Appraisal Report.
- Form – II Performance Report on Training.
- Form – III Performance Report on study leave / leave for study.

### SCHEDULE – III

*[See rule 2(j)]*

#### COMPOSITION OF THE REFERRAL BOARD

- (i) Executive Secretary, LADC - Chairman
- (ii) Head of the Department concerned - Member
- (iii) Under Secretary, Personnel Reforms Cell - Member Secretary.

**Note :** The Referral Board may co-opt any one senior / experienced officer to participate in the deliberation of the Board as and when considered necessary.

**FORM – I**  
(See rule 4)

**THE LAI AUTONOMOUS DISTRICT COUNCIL EMPLOYEES  
(PERFORMANCE APPRAISAL REPORT) RULES,2011.**

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

**Section – I  
BASIC INFORMATION.**

*(To be filled in by the Personnel Reforms Cell)*

1. Name of the Officer reported upon : \_\_\_\_\_
2. Name of Services : \_\_\_\_\_
3. Date and Year of entry into Service : \_\_\_\_\_
4. Date of Birth : \_\_\_\_\_
5. Present Grade : \_\_\_\_\_
6. Present post : \_\_\_\_\_
7. Date of appointment to the present post : \_\_\_\_\_
8. Reporting, Reviewing and Accepting Authorities :

|                     | Name & Designation | Period worked |
|---------------------|--------------------|---------------|
| Reporting Authority |                    |               |
| Reviewing Authority |                    |               |
| Accepting Authority |                    |               |

9. Period of absence on leave, etc.,

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

10. Training Programs attended:

| Date from | Date to | Institute | Subject |
|-----------|---------|-----------|---------|
|           |         |           |         |
|           |         |           |         |
|           |         |           |         |

11. Awards / Honours.

12. Details of Performance Appraisal Report of Officers not written by the Officer as reporting/ reviewing authority for the previous year.

13. Date of filling the property return for the year ending December \_\_\_\_\_

(Note: Unless the officer reported upon submit his property return, his Performance Appraisal Report shall not be initiated, reviewed and accepted.)

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

Signature \_\_\_\_\_  
 Personnel Reforms Cell, LADC.

**Section – II  
 SELF APPRAISAL.**

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

2. Annual work plan and achievement :

| Tasks to be performed | Deliverables (a) | Actual Achievement (b) |
|-----------------------|------------------|------------------------|
|                       |                  |                        |
|                       |                  |                        |
|                       |                  |                        |
|                       |                  |                        |
|                       |                  |                        |
|                       |                  |                        |
|                       |                  |                        |
|                       |                  |                        |
|                       |                  |                        |
|                       |                  |                        |

- (a) Deliverables refers to quantitative or financial targets or verbal description of expected outputs.
- (b) Actual achievement refers to achievements against the specified deliverables in respect of each task. No explanations for divergences are to be given in this table.

3. During the period under report, do you believe that you have made any exceptional contribution, e.g. successful completion of an extraordinarily challenging task or; major systematic 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):**

4. What are the factors that hindered your performance?

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

For the current assignment:

For your future career:



**Please Note:** You should send updated CV, including educational qualifications acquired / training programs attended / publications / special assignments undertaken, in a prescribed proforma, to the Service Controlling Authority, once in 5 years, so that the records available with the Service Controlling Authority remain updated.

6. **Declaration :**

|  |          |      |
|--|----------|------|
| Have you filled your immovable property return, as due. If yes, please mention date.   | Yes / No | Date |
| 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 |      |

7. Whether any order for transfer and posting of the officer was issued by the Authority during the period under report.

Yes/ No.

7(a) If yes, please indicate order No & date and date of joining at the new place of posting.

Date: \_\_\_\_\_ Signature of the Officer Reported upon \_\_\_\_\_

**Section – III  
APPRAISAL**

1. Please state whether you agree with the responses relating to the accomplishment of the work plan and unforeseen tasks as filled out in Section – II. If not, please furnish factual details.
2. Please comment on the claim (if made) of exceptional contribution by the officer reported upon.
3. Has the officer reported upon met with any significant failures in respect of his works? If yes, please furnish factual details.
4. Do you agree with the skill upgraded or needs as identified by the officer?
5. Assessment of work output: (This assessment should rate the officer vis-a-vis his peers and not the general population Grades should be assigned on a scale of 1-10, in whole numbers, with 1 referring to the lowest grade and 10 to the best grade. Weightage to this Section will be 40%.)

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

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

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

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

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

8. **Integrity:**

Please comment on the integrity of the officer.

9. **Pen picture by Reporting Officer:** Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his attitudes towards weaker sections.

10. Whether any order for transfer and posting of the officer was issued by the Authority during the period under report?

Yes/No.

- (a) If yes, please comment whether the officer complied with the orders in time/without delay.
- (b) If no, reason for not complying with the orders.

11. **Overall Grade** ( on a score of 1 – 10 ) \_\_\_\_\_

Date : \_\_\_\_\_ Signature of Reporting Authority \_\_\_\_\_

**Section – IV  
REVIEW**

1. Do you agree with the statement 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 achievement and / or significant failures of the officer reported upon?  
*(In case you do not agree with any of the numerical assessment of attributes please record your assessment in the column provided for you in that section and initial entries).*

Yes / No.

2. **In case of difference of opinion details and reasons for the same may be given.**
3. **Pen picture by Reviewing Officer:** Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his attitudes towards weaker sections.
4. **Overall grade on a scale of 1 – 10 :** \_\_\_\_\_

Date : \_\_\_\_\_ Signature of Reviewing Officer \_\_\_\_\_

**Section – V  
ACCEPTANCE.**

1. **Do you agree with the remarks of the Reporting / Reviewing Authorities?**  
Yes / No.
2. **In case of difference of opinion details and reasons for the same may be given.**
3. **Overall Grade ( on a score of 1 – 10 )** \_\_\_\_\_

Date : \_\_\_\_\_ Signature of Accepting Authority \_\_\_\_\_

**GUIDELINES FOR REPORTING AUTHORITIES WHICH  
MAY BE KEPT IN MIND WHILE AWARDING NUMERICAL GRADINGS**

1. Officers graded from 8 to 10 will be rated as 'Outstanding' and will be given a score of 9 for the purpose of calculating average scores .
2. Officers graded from 6 to 7 will be rated as 'Very good' and will be given a score of 7 for the purpose of calculating for empanelment | promotion just after officer who were graded Outstanding.
3. Officers graded from 4 to 5 will be rated as 'Good' and will be given a score of 5.
4. Officers graded below 4 will be given a score of Zero (0).

**Note:-**

- (i) High credit should not be given to the officers in a routine manner by the Reporting/Reviewing Authorities and this should be restricted to 20% of the Officers under their supervision.

- (ii) If there is a decimal number in overall grading, it should be rounded of as 0.5 and below to the lower number and 0.6 and above to the next higher number.
- (iii) Any grading more than 8 for each attribute must be justified by giving reasons in writing in a separate sheet.

### General Guidelines for filling up the PAR form

#### 1. Introduction :

- 1.1. The Performance Appraisal Report is an important document. It provides the basic and total inputs for further development of an officer. The officer reported upon, the Reporting Authority, Reviewing Authority and the Accepting Authority should therefore, undertake a duty of filling up the form with a high sense of responsibility.
- 1.2. Performance Appraisal should be used as a tool for career planning and training, rather than a mere judgmental exercise. Reporting Authorities should realize that the objective is to develop an officer so that he/she realizes his/her true potential. It is not meant to be a faultfinding process but a developmental tool. The Reporting Authority, The Reviewing Authority and the Accepting Authority should not shy away from reporting shortcomings in performance, attitude or overall personality of the officer reported upon.
- 1.3. The columns should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a casual or superficial manner will be easily discernible to the higher authorities.
- 1.4. Although the actual documentation of performance appraisal is a year-end exercise, in order that it may be a tool for human resource development, career planning and training, rather than a mere judgmental exercise, the reporting authority and the officer reported upon should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.

#### 2. Section - I

- 2.1. This Section should be filled up in the Personnel Reforms Cell. Period of report could either be the entire reporting year, namely, from 1st April to 31st March or a part of the year (exceeding 3 months). In case the period of reporting is a full year, it should be indicated accordingly; for example, 2007 – 2008 period of report is less than the entire year, specific start and end dates should be indicated, for example, 10th September, 2007 - 31st March, 2008.
- 2.2. Information on the present grade (pay scale) as well as present post (actual designation and organization) and the date from which he/she has been on his/her present post needs to be mentioned.
- 2.3. In the table relating to reporting, reviewing and accepting authorities the name and designation of the reporting and reviewing authorities should be mentioned so that the officer reported upon is clear about whom he/she is required to send the report.
- 2.4. The period of absence from duty, on leave, training, or for other reasons, should also be mentioned in this section in the table provided for the purpose. Details of a training attended, date of filling of property returns and whether the officer reported upon as reported/reviewed and the annual performance report of all his/her subordinate officers for the previous year should be mentioned in the table for the purpose.

#### 3. Section - II

- 3.1. The officer reported upon is first required to give brief description of his/her duties and responsibilities, which would normally not exceed above 100 words. Ideally, this should be in bullet form.
- 3.2. All officers are required to develop a work plan for the year and agree upon the same with the reporting officer. The work plan should incorporate the relative annual work rhythm and budgetary

- cycle. This exercise is to be carried out at the beginning of the year and finalized by 30th April, positively. In case of a change of reporting officer during the year, the work plan agreed with the previous reporting officer would continue to apply. The work plan agreed upon at the beginning of the year has to be reviewed again during the month of Sept/October as a mid-some changes from that originally prepared.
- 3.3. After the work plan is prepared, it is possible that the officer reported upon is transferred out. There need not be more than one work plan for one post each year. The period spent by the officer during the year and his contribution could be considered for evaluating his performance against the work plan. In the case of mid-term transfers, continuity and assessment of work and the lower performance profile in the first quarter should be taken into consideration.
- 3.4. The work plans, duly signed by the officer reported upon and the reporting authority has to be submitted to the reviewing authority for his/her perusal and custody. The performance appraisal form provides for an assessment of the accomplishments vis-a-vis the work plan agreed at the commencement of the year and reviewed mid-year. The officer reported upon is required to fill up the table provided for the purpose in Section - II.
- 3.5. It is not necessary that the work plan should be entirely quantitative in nature. While for field level posts, the work plan would consist essentially of quantifiable targets, for secretarial level posts it would consist of policy objectives to be achieved etc.
- 3.6. Section - II also provides an opportunity for the officer to reflect upon his/her performance during the year and indicate one item which he/she thought was a significant contribution even in activities otherwise regarded as routine in nature.  
Examples of such contribution may be the successful organization of a major event like the Kumbh Mela or successful conclusion of an activity that has been going on for a long time, or even successful dealing of an emergency (e.g. major earthquake / flood) would certainly be an exceptional contribution.
- 3.7. The officer reported upon is required to indicate specific areas in which he/she feels the need to upgrade skills and attend training programs. He/she should also mention the specific steps that he/she has taken or proposes to take to upgrade his/her skills in the identified area.
- 3.8. There is an increased emphasis on competency building in the new performance appraisal and career progression system. There would be a premium on competency and skill upgradation. Hence, all officers are advised, through a note in Section - II, to keep the service controlling authority informed, at least once in five years, of all educational and training programs attended, including the details of marks/grades in such programs, details of professional papers published. These would be taken into account in the future career progression.
- 3.9 This section also requires the officer upon to record certain certificates about submission of property returns and setting up of annual work plan for whom he/she would be the reporting authority.
4. **Section –III**
- 4.1 Section III requires the reporting authority to comment on Section –II as filled up by the officer reported upon, and specifically state whether he/she agrees responses relating to the accomplishment. In case of disagreement the reporting authority should highlight the specific portions with which he/she is unable to agree and the reasons for such disagreement.
- 4.2 This Section then requires the reporting authority to comment on the skill upgradation needs as identified by the officers.
- 4.3 Thereafter, this Section requires the reporting authority to record a numerical grade in respect of the work out-put of the officer reported upon both in respect of the planned work as well as the unforeseen tasks. A numerical grade is also required in respect of the 'Quality' of the out put. In doing so, the reporting authority should take into account the costs incurred (whether the officer reported upon has been cost conscious), the time taken and whether the laid down rules/procedures have been adhered to in accomplishing the tasks.

- 4.4 The reporting authority is also required to record a numerical grade in respect of work output, personal attributes and functional competencies.
- 4.5 Section-III requires the reporting authority to comment on the integrity of the officer reported upon. In recording remarks with regard to integrity, he/she need not limit him/herself only to matters relating to financial integrity but could also take into account the moral and intellectual integrity of the officer reported upon. The following procedure should be followed in the filling up the column relating to integrity;
- (i) If the Officer's integrity is beyond doubt, it may be stated.
  - (ii) If there is any doubt or suspicion, the column should be left blank and action taken as under;
    - (a) A separate secret note should be recorded and followed up. A copy of the note 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 judgment or that he/she has heard nothing against the officer, as the case may be.
    - (b) If, as a result of the follow up action, the doubts or suspicions are cleared, the Officer's integrity should be certified and an entry made accordingly in the Performance Appraisal Report.
    - (c) If the doubts or suspicions are confirmed, this fact should also be recorded and duly communicated to the officer concerned.
    - (d) If as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the officers conduct should be watched for a further period and thereafter action taken as indicated at (b) and (c) above.
- 4.6 The reporting authority is also required to record a descriptive pen-picture on the overall qualities of the officer reported upon his/her performance including his attitude towards weaker sections. This need not exceed about 100 words and should try to cover overall qualities of the officer including areas of strengths and lesser strengths. The-picture is also meant to be a qualitative supplement to the quantitative assessments made earlier part of this section.
- 4.7 Finally, the reporting authority is required to record an overall grade. This should also be done on a scale of 1-10, with 1 referring to the lowest grade and 10 to the highest.
5. **Section –IV**
- 5.1 This section is also to be filled up by the reviewing authority. He/She is required to indicate if he/she agrees with the assessments made by the reporting officer. In case of disagreement, he/she may record his/her own assessment against the work output or any of the attributes in the column specifically provided for the purpose. In case of agreement, he/she need not fill in the column meant for him/her in the attributes/work output tables.
- 5.2 The reviewing authority is required to record a pen-picture, not exceeding about 100 words, on the overall qualities of the officer reported upon including areas of strengths and lesser strengths and his/her performance including his attitude towards weaker sections. Finally he/she is required to record and overall grade in the scale of 1-10.
6. **Section –V**
- 6.1 This Section is to be filled by the accepting authority. He/she is required to indicate if he/she agrees with the assessments made by the reporting authority/reviewing authorities. In case of difference of opinion, he/she is required to give details and reasons for the same in the column specifically provided for the purpose in Section V.
7. **Numerical Grades:**
- 7.1 At a several places, numerical grades are to be awarded by reporting and reviewing authorities. These should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest. It is

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

**7.2 Weightage & Mean**

Weights have been assigned to work output, personal attributes and functional competency. The overall grade will be based on the addition of mean value of each group of indicators in proportion to weightage assigned.

**8. Disclosure:**

8.1 There should be more openness in the system of appraisal. The annual Performance Appraisal Report, including the overall grade and integrity, should be communicated to the Officer reported upon after it has been finalized by the accepting authority.

**Representation:**

The Officer reported upon may have the option to give his comments on the Performance Appraisal Report. 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 Performance Appraisal Report 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 effect 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 to the Officer reported upon. The decision of the Referral Board shall be final.

**9. Schedule for completion of Performance Appraisal Reports:**

9.1 The following schedule should be strictly followed :-

**Reporting Year – Financial Year**

| <b>Activity</b>   | <b>Cut – off dates</b> |
|---|------------------------|
| Blank PAR form to be given to the Officer reported upon by the Personnel Reforms Cell Specifying the reporting and reviewing authority. | 1st April              |
| Self appraisal for current year   | 30th April             |
| Appraisal by reporting authority  | 31st May               |
| Appraisal by reviewing authority  | 30th June              |
| Appraisal by accepting authority  | 31st July              |
| Disclosure to the Officer reported upon   | 15th August            |
| Comments of the Officer reported upon. If any (If non, Transmission of the Performance Appraisal Report )                               | 31st August            |

|   |                |
|---|----------------|
| Forwarding of comments of the Officer reported upon to the reviewing and the reporting authority by the accepting authority, in case the Officer reported upon makes comments | 15th September |
| Comments of reporting authority   | 30th September |
| Comments of reviewing authority   | 15th October   |
| Comments of accepting authority/Performance Appraisal Report to be finalized and disclosed to the Officer reported upon   | 31st October   |
| Representation to the Referral Board by the Officer reported upon   | 30th November  |
| Forwarding of representation to the Referral Board along with the comments of reporting authority / reviewing authority and accepting authority                               | 15th December  |
| Finalisation by Referral Board if the Officer reported upon represents against the decision of the Accepting Authority  | 15th January   |
| Disclosure to the Officer reported upon   | 31st January   |

- 9.2 The completed Performance Appraisal Report should reach the Service Controlling Authorities by 31 st March the following year. The Service Controlling Authority will prepare a list of Performance Appraisal Reports not received and follow up with the Head of the Personnel Reforms Cell and the Executive Secretary.
- 9.3 Head of the Personnel Reforms Cell (i.e: Under Secretary) shall be the Nodal Officer to ensure that the Performance Appraisal Reports of the members of the Service, duly completed, are sent to the Service Controlling Authority by 31 st March of the following year. They shall send a list each officer whose Performance Appraisal Reports are to be written and reviewed to the concerned Reporting / Reviewing / Accepting Authorities by the 15 th April every year to enable them to ensure completion of Performance Appraisal Reports within the time-schedule
- 9.4 If a PAR relating to a financial year is not recorded by the 31 st December of the year in which the financial year ended, no remarks shall be recorded thereafter. The Officer will be assessed on the overall record and self-assessment of the year concerned, if he had given his self-assessment in time and the Reporting Authority, Reviewing Authority and the Accepting have not completed the Performance Appraisal Report according to the time schedule given in para 9.1
- 9.5 The officer reported upon shall, while forwarding his self-appraisal to the Reporting Authority, endorse a copy of the self-appraisal, to the Nodal Officer and keep of the same as evidence that he had submitted the same in time
- 9.6 The Reporting Authority shall record his comment in the Performance Appraisal Report of the Officer reported upon within the stipulated time and sent it to Reviewing Authority along a copy thereof to the Nodal Authority.
- 9.7 In case the Reporting Authority fails to submit the Performance Appraisal Report to the Reviewing Authority within the stipulated period under intimation to the nodal officer, the nodal officer shall sent a copy of self-appraisal directly to the Reviewing Authority and authorize him to initiate the Performance Appraisal Report. The Nodal Officer shall also keep a note of failure of the Reporting Authority to submit the Performance Appraisal Report of his subordinate in time for an appropriate entry in the Performance Appraisal Report of such Reporting Authorities.

The Nodal Officer shall evolve a suitable mechanism to ensure that the remarks of the Reporting, the Reviewing and the Accepting Authorities are recorded without fail by the dates given in the schedule below Para 9.1



**FORM – II**  
(See rule 4)

**THE LAI AUTONOMOUS DISTRICT COUNCIL EMPLOYEES  
(PERFORMANCE APPRAISAL REPORT) RULES, 2011.**

**PERFORMANCE REPORT ON TRAINING**

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

**A. PERSONAL DATA:**

|    |  |  |
|----|--|--|
| 1. | Name of the Officer  |  |
| 2. | Service/ Year of allotment   |  |
| 3. | Date of Birth  |  |
| 4. | Present Grade  |  |
| 5. | Study leave/ Leave details<br>a) Course<br>b) Institution<br>c) Duration                                 |  |
| 6. | Period of Sanctioned Leave   |  |
| 7. | Details of Degree/Certificate/Diploma and Evaluation obtained during the period (copies to be enclosed). |  |
| 8. | Date of Filing Annual Property Returns.  |  |

**B. SELF ASSESSMENT :**

|  |
|--|
|  |
|--|

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

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

*To be filled in duplicate and submitted to Service Controlling Authorities.*

**FORM – III**  
(See rule 4)

**THE LAI AUTONOMOUS DISTRICT COUNCIL EMPLOYEES  
(PERFORMANCE APPRAISAL REPORT) RULES, 2011.**

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

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

**A. PERSONAL DATA:**

|    |   |  |
|----|---|--|
| 1. | Name of the Officer   |  |
| 2. | Service/ Year of allotment  |  |
| 3. | Date of Birth   |  |
| 4. | Present Grade   |  |
| 5. | Study leave/ Leave details<br>a) Course<br>b) Institution<br>c) Duration                                    |  |
| 6. | Period of Sanctioned Leave  |  |
| 7. | Details of Degree / Certificate/ Diploma and Evaluation obtained during the period (copies to be enclosed). |  |
| 8. | Date of Filing Annual Property Returns.   |  |

**B. SELF ASSESSMENT :**

|  |
|--|
|  |
|--|

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

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

*To be filled in duplicate and submitted to Service Controlling Authorities.*

### **STATEMENT OF OBJECTS & REASONS**

As the erstwhile Annual Confidential Report (ACR) has been renamed as Annual Performance Appraisal Report (APAR) in respect of Group 'A' Officers, necessity towards maintenance of Performance Appraisal Report is mandatory as promotion in service is based on the assessment of Performance Appraisal Reports. Since the principle that confirmation crossing of efficiency bar, promotion etc should be based on the assessment of the confidential dossiers, this matter is of the greatest importance for the efficiency and morale of the service.

It is also very important in the interest of efficiency of the service and also of the Officers that the reports are written with the greatest possible care so that the works, conduct, characters and capabilities of the Officers reported upon can be accurately judged from the recorded opinion.

In view of the above, it is proposed to enact a new legislation through The Lai Autonomous District Council Employees (*Performance Appraisal Report*) Rules, 2011

Hence, the Bill.

**C. Ngunlianchunga,**  
Chief Executive Member,  
Lai Autonomous District Council,  
Lawngtlai.

### **CERTIFICATE OF AUTHENTICITY**

Certified that the Bill was passed by the Lai Autonomous District Council in its Budget Session on thirtieth March two thousand and eleven.

And in authentication thereof, I put my Signature on this Thirteenth December two thousand eleven Anno Domini.

**F. Rohnuna,**  
Chairman,  
Lai Autonomous District Council,  
Lawngtlai.