

F.No. 5(1)/2018-MGMT
Government of India
Ministry of Heavy Industries and Public Enterprises
Department of Public Enterprises

Block No.14, CGO Complex,
Lodi Road, New Delhi-110003
Dated the 9th April, 2019

OFFICE MEMORANDUM

Subject: Implementation of online system (SPARROW CPSE) for recording Annual Performance Appraisal Reports (APAR) for Board level Executives of CPSEs

The undersigned is directed to state that this Department had issued guidelines for writing of Annual Performance Appraisal Reports (APARs) of top management incumbent of CPSEs vide DO letter No. 5(1)/2000-GM dated 5th April 2010. Some of the provisions of these guidelines were subsequently amended vide OM No. 5(1)/2000-GM dated 6th July, 2010, OM No. 18(1)/2013-GM dated 2nd March, 2015, 29th November, 2016, 1st June, 2018 & 4th December, 2018 and OM No 16(2)/2010-GM dated 19th November, 2015. The copies of these OMs are available on DPE website [<https://dpe.gov.in/guidelines/guidelines/chapters/2647>].

2. The Department of Public Enterprises has now taken the initiative for development of an online system for writing APARs of Board level incumbents of CPSEs on the lines of SPARROW for AIS Officers. This SPARROW CPSE system [<https://sparrow-cpse.eoffice.gov.in>] has been developed by NIC and provides for seamless movement of online PAR which will lead to more probity and transparency in recording of PARs, facilitate better monitoring and timely completion of PARs and provide for easy and immediate access to PAR dossiers to authorized users.

3. It has been decided to introduce online APAR system for Board level incumbents of CPSEs from the year 2018-19. The APARs for the year 2018-19 should be filled in online mode on the new online system as well as in offline mode being currently followed. The APARs of Board level incumbents of CPSEs would be filled only in online mode from year 2019-20 onwards and offline mode would be discontinued.

4. In order to ensure smooth rollout of the new online system, all administrative Ministries/Departments and CPSEs have already been requested to nominate a nodal officer. The nodal officers of CPSEs have also been familiarized with the functioning of the new system in a series of workshops organized by DPE.

5. The salient features of the online system (SPARROW CPSE) along with the procedure to be followed in this regard are enclosed (Annex 1).

6. The provisions of extant guidelines as mentioned in para 1 above would continue to be applicable unless amended in these instructions.

7. All Ministries/Departments are required to direct the CPSEs under their respective administrative jurisdiction to take note of above instructions and implement the same under intimation to this Department.


(Lokesh Bajpai)
Director
Tel: 2436-0218

To Secretaries of all administrative Ministries/Department (by name)

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Copy to:

1. Prime Minister's Officer (Ms. Nandini Paliwal, Deputy Secretary), South Block, New Delhi
2. Cabinet Secretariat (Ms. Richa Gaharwar, Director), Rashtrapati Bhawan, New Delhi,
3. Department of Personnel & Training (Ms. Sagarika Patnaik, Director), North Block, New Delhi
4. Public Enterprises Selection Board (Smt. Kimbuong Kipgen, Secretary), Block 14, CGO Complex, Lodhi Road, New Delhi
- ✓ 5. Chief Executives of CPSEs

Copy also to:

1. PS to Hon'ble Minister (HI & PE)
2. PS to Hon'ble Minister of State (HI & PE)
3. PPS to Secretary (PE)
4. PPS to SS & FA (HI & PE)
5. NIC, DPE-with request to upload the guidelines on DPE website

1. Pre-requisites for operating the system:

The nodal officers and CPSE's Board level incumbents have been provided with a unique NIC email ID linked to their mobile number. NIC email ID is user ID for the system and password of email ID is the password, which is a pre-requisite to access the system. For online filing of APAR, either Digital Signature Certificate (DSC) or e-sign with Aadhar enabled system is required by every user for authentication.

2. Procedure for online writing of APARs:

The system provides for a step-wise workflow oriented movement of APAR through different levels as explained below.

Step- I: The Nodal officer of each CPSE shall create the workflow to initiate the movement of the PAR of Board level incumbents of concerned CPSE.

Step- II: The Nodal officer of each CPSE will generate and send the PAR after filling Section-I to the officer reported upon for self-appraisal.

Step- III: The officer reported upon will fill up the Key Assigned Tasks and achievements and other details as required in Section-II and then send PAR to Reporting Authority.

Step- IV: PAR will move for subsequent actions by the respective Reporting, Reviewing and Accepting Authority.

Step- V: After acceptance of PAR by Accepting Authority, the completed PAR is to be sent to Nodal officer of administrative Ministry/Department concerned for disclosure to officer to be reported upon.

3. Disclosure of PAR and disposal of the representation, if any, received from the officer reported upon:

- 3.1 Once the PAR is completed, the Nodal officer of administrative Ministry/Department concerned shall be responsible for communicating the full PAR including the overall grade and assessment of integrity, to the concerned officer by 31st December of the year following the year of report.
- 3.2 In case the concerned officer accepts the PAR, Nodal officer of the concerned administrative Ministry/Department will close the PAR and complete APAR will be auto forwarded to the concerned PAR Repository Authorities.
- 3.3 In case of the representation by the officer reported upon within the prescribed time limit further action will be taken by the nodal officer of the concerned administrative Ministry/Department in the physical form as per extant guidelines (Para 7.2 of procedure & guidelines dated 5th April, 2010 and OM dated 19th November, 2015) and update revised PAR grade , if applicable in the system.

4. Action plan to avoid delay in completion of the PAR process:

In case of Reporting/Reviewing Authority fails to submit the PAR to the next Authority within the stipulated period the process as mentioned in Para 6.7 of Guidelines of OM dated 5th April' 2010 to be followed. The APAR for a year shall be completed by 31st December of the year in which the financial year ended and the system will not allow recording of any remarks thereafter (refer para 6.10 of OM dated 29th November, 2016). An auto-generated message from online system will be prompted regularly for immediate disposal after lapse of schedule time. APAR should be force forwarded to next authority by the Nodal officer of Ministry endorsing the reasons with the approval of Secretary of respective Administrative Ministry as per following timelines :

Sl. No.	Appraisal by	Time schedule	Force forward by Ministry Nodal Officer
1.	Reporting Authority	15 th November	5 th December
2.	Reviewing Authority	30 th November	20 th December

5. The information regarding Property Return, Medical, Training, Additional Qualification & awards:

(i) annual medical examination, (ii) filing of annual property return, (iii) training programme(s) attended, (iv) additional qualification acquired and (v) awards/ honours conferred in respect of officer reported upon and any other document can be uploaded by the respective officer under 'Reference upload' section in the system.

6. Schedule of commencement and completion of Online PARs:

The new system will be live w.e.f 9th April 2019. The schedule of commencement and completion of various stages in the Performance Appraisal exercise which should be strictly followed:-

S. No.	Activity	Cut-off Date ¹
i	CPSEs Nodal Officer will create PAR workflow specifying the Reporting, Reviewing and Accepting Authorities , generates the PAR and forwards it to the officer reported upon	31 st July
ii	Forwarding of the PAR after self-appraisal by the officer reported upon to the Reporting Authority including targets and relative weights as finalized by the Reporting Authority in consultation with the officer reported upon	31 st October
iii	Forwarding of the PAR after appraisal by the Reporting Authority to the Reviewing Authority	15 th November
iv	Forwarding of the PAR after review by the Reviewing Authority to the Accepting Authority	30 th November
v	Forwarding of the PAR after appraisal by Accepting Authority to the Nodal officer ²	15 th December
vi	Disclosure of the PAR to the officer reported upon by the Nodal officer of concerned administrative Ministry/Department	31 st December

vii	Submission of representation, if any, by the officer reported upon to the Nodal officer of concerned administrative Ministry/ Department	15 th January
viii (a)	<u>If no representation is received:</u> The PAR as disclosed to the officer reported upon should be treated as final and closed by the Nodal officer of concerned administrative Ministry/ Department	31 st January
viii (b)	<u>If representation is received :</u> The Nodal officer shall put up the representation before the Accepting Authority for disposal in consultation with a committee of senior officers and with the Reporting/Reviewing Authority as may be required or to the referral board constituted by Minister in charge of concerned administrative ministry	28 th February
viii (c)	Nodal officer shall make necessary entries in Section VI of the PAR about the final decision of the Accepting Authority on the representation and discloses the same to the officer reported upon	15 th March
viii (d)	The completed PAR would be available to the concerned PAR Repository Authorities to complete the process	31 st March

Finalization of targets and relative weights by the Reporting Authority in consultation with the officer reported upon and sending a copy thereof to the nodal officer of concerned administrative Ministry/Department for record- will be completed as per extant practice in off-line mode (By 15th May of reporting year)

1 Cut-off date from S. No (i) to (vi) will be in the year following the financial year for which PAR is written (2019 for the reporting year 2018-19) and for S. No. (vii) onwards the cut-off date mentioned will be next year of the financial year i.e. 2020 for reporting year 2018-19. In case these dates fall on holidays, the cut-off date will be automatically extended to the next working day.

2 APAR will be submitted to Accepting Authority for appraisal only after MoU score/achievements have been included in the APAR. The time line would stand amended accordingly depending upon release of MoU scores by the Government.

7. SPARROW CPSE User Manual:

An online Help manual in the form of step by step guide is available under the Help tab on the system

8. Helpdesk:

A Helpdesk team for addressing the queries regarding SPARROW CPSE portal has been setup which may be contacted for system related issues. The contact details of Helpdesk team are as under:

Landline : 011-24362672
Email : helpdesk-sparrow-dpe@gov.in

In case of further queries the following DPE official may be contacted.

Name : Shri Kranti Kumar
Designation : Assistant Director
Landline : 011-2436-2877
Email : kranti.kumar84@gov.in