

SPARROW

Compiled Guidelines

31st March 2024

Disclaimer

These Guidelines have been prepared on the basis of extant instructions/letters issued by Department of Personnel & Training (DoPT) and Directorate of Income-tax (Human Resource Development), CBDT. In case of any variance between these Guidelines and instructions/letters issued by DoPT/Directorate of Income-tax (Human Resource Development), the latter will prevail.

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Chapter 1 - Introduction

1.1 The Annual Performance Appraisal Report (APAR) is vital document through which the performance of an officer/official is periodically reviewed. It is a crucial report which forms the basis for judging fitness for Promotions, Deputations, Empanelment's etc. Being a "Public Duty", the Officer Reported Upon (ORU), the Reporting Authority and Reviewing Authority should ensure that the APAR is written with a high sense of responsibility.

SPARROW

1.2 SPARROW is an online window for filing of annual performance appraisal report of the officers. The SPARROW stands for Smart Performance Appraisal Report Recording Online Window. It has been developed by NIC.

1.3 From the reporting year 2019-20, all Group 'A' officers in the Income Tax Department are filing their APARs on SPARROW portal.

1.4 Directorate of Income Tax (HRD), CBDT is the nodal authority for SPARROW in the Income Tax Department. Over the last few years, HRD has issued several instructions/letters/SOPs to facilitate APAR writing, reporting and reviewing on SPARROW portal. In this document, an effort has been made to compile all important instructions/letters/SOPs issued by HRD. List of important instructions/letters/SOPs is as below.

Letter	Subject
F.No. HRD/PM/APAR/403/ SPARROW/ 2019-20/8000 Dated: 19/02/2020	Implementation of APAR writing on SPARROW from 01.04.2020
Dated 01/06/2020	User Manual
F.No. HRD/PM/APAR/403/ SPARROW/ 2020-21/337 Dated: 08/06/2020	SPARROW for IRS(IT) officers on Deputation
F.No. HRD/ PM/APAR/403/ SPARROW/ 2020-21/ 7705 Dated: 03/02/2021	Representation, Drawing of NRCs and Completion of APARs on SPARROW
F.No. HRD/ PM/APAR/403/ SPARROW/ 2020-21/ 9440 Dated: 18/03/2021	Corrigendum (linked to letter dated:03/02/2022)
F.No. HRD/PM/APAR/403/ SPARROW/ 2020-21/14 Dated: 01/04/2021	SOP (Standard Operating Procedures) for Primary Custodians and Alternate Custodians of officers reported upon, while generating their APARs on SPARROW portal for the reporting year 2020-21 commencing from 01.04.2021
F.No. HRD/PM/APAR/403/ SPARROW/ 2020-21/ 9477 Dated :22/03/2021	SOP (Standard Operating Procedures) for SPARROW users (officers reported upon), filing their APARs on SPARROW portal for the reporting year 2020-21 commencing from 01.04.2021

F.No. HRD/PM/APAR/403/ SPARROW/2020-21/ 9818 Dated: 31/03/2021	Initiation of APAR for reporting year Submitting Basic details
F.No. HRD/PM/APAR/403/ SPARROW/ 2021-22/ Dated: 09/04/2021	SOP (Standard Operating Procedures) for officers for filing and grading of APARs on SPARROW portal for the reporting year 2020-21 commencing from 01.04.2021
F.No. HRD/ PM/APAR/403/ SPARROW/ 2021-22/ 5556 Dated 28/09/2021	Careful creation of workflow, submission and grading of APARs on SPARROW portal
F.No. HRD/ PM/APAR/403/ SPARROW/ 2021-22/ 7506 Dated 23/11/2021	General Guidelines for filling up the APAR on SPARROW
F.No. HRD/PM/APAR/403/ SPARROW/ 2021-22 /10885 Dated:18/02/2022	Timely completion of APARs as per the timelines of the DoPT by Group A & Group B Officers of the Income Tax Department
F.No. HRD/PM/APAR/403/ SPARROW/ 2021-22 /11727 Dated 22/03/2022	Observing APAR fortnight
F.No. HRD/ PM/APAR/403/ SPARROW/ 2021-22/ 382 Dated:20/04/2022	Clarification regarding Reporting/ Reviewing of APARs
F.No. HRD/ APAR/Misc/ 2022-23/ 2199 Dated 29/06/2022	Instructions/Guidelines relating to filling up on Integrity Column of APARs
F.No. HRD/ PM/APAR/403/ SPARROW/ 2022-23/ 3217 Dated:10/08/2022	Issuance of no Review Certificate in case of APAR force forwarded form reporting to Reviewing Officer (linked to letter Dated:18/02/2022)
F.No. HRD/ PM/APAR/403/ SPARROW/ 2022-23/ 6283 Dated 02/11/2022	Guidelines for filling of integrity column of APARs on SPARROW
F.No. HRD/ PM/APAR/403/ SPARROW/ 2020-21/ 30 Dated 05/04/2023	SOP for filing of APAR by ORU and approval by Custodians on SPARROW from the Reporting Year 2022-23 onwards
F.No. HRD/ PM/APAR/403/ SPARROW/ 2020-21/ 332 Dated 17/04/2023	Revision of last date for submission of self-appraisal by the officer reported upon (ORU) to the reporting officer from 15 th April to 30 th April from the Reporting Year 2022-23 onwards for the officers/officials of the Income Tax Department

Chapter 2 - Creation of account on SPARROW

2.1 All users must have NIC email-ids for login into SPARROW portal. For obtaining NIC email-id, the basic details of officer should be sent through respective Pr.CCIT(CCA) office to HRD. Details required for new email-id are:

- Name
- Gender
- Designation
- Region of posting
- Mobile
- Date of retirement (dd-mm-yyyy)
- Date of birth (dd-mm-yyyy)
- Email id Official (name based)
- Employee code

2.2 Newly created email-id and password are conveyed to the officer through his/her mobile number.

CUSTODIAN

2.3 For initiating APARs on SPARROW, there is concept of “**Primary Custodian**”. Each Pr. CCIT (CCA) office has one Primary Custodian which is ACIT/DCIT (Hq.)(Personnel). However, in the bigger charges, there is a facility of appointing ‘**Alternate Custodian**’ who is an officer of the rank of ITO/ACIT/DCIT designated by Pr. CCsIT (CCA) with assistance from “SUPER CUSTODIAN” i.e. Pr. DGIT, HRD. Similarly, each Directorate has the provision of appointment of ‘**Alternate Custodian**’ under intimation of HRD.

2.4 Custodians have very important role in the whole APAR process and it has been explained in details in this compiled guidelines.

Chapter 3 - Timelines

3.1 There are prescribed timelines by DoPT regarding initiating of APAR for a reporting year by the **Officer Reported Upon (ORU)**, further reporting by reporting officers, review by reviewing officers, representation, disclosure etc. Timelines are governed by the DoPT OM dated 29.05.1972 issued from F.No. 51/5/72/Ests (A). Summary of the timelines of different activities in the APAR filing process are given below:

S.No.	Activity	Date by which to be completed
1	Distribution of blank APAR forms to all concerned (i.e., to officer to be reported upon where self-appraisal has to be given and to reporting officers where self-appraisal is not to be given)	31 st March
2	Submission of self-appraisal to reporting officer by officer to be reported upon (where applicable).	30 th April (Prior to reporting year 2022-23, this was 15 th April)
3	Submission of report by reporting officer to reviewing officer	30 th June
4	Report to be completed by Reviewing Officer and to be sent to Administration or CR Section/Cell or accepting authority, wherever provided.	31 st July
5	Appraisal by accepting authority, wherever provided	31 st August
6	(a) Disclosure to the officer reported upon where there is no accepting authority (b) Disclosure to the officer reported upon where there is accepting authority	01 st September 15 th September
7	Receipt of representation, if any, on APAR	15 days from the date of receipt of communication
8	Forwarding of representations to the competent authority (a) where there is no accepting authority for APAR (b) where there is accepting authority for APAR	21 st September 06 th October
9	Disposal of representation by the competent authority	Within one month from the date of receipt of representation.

10	Communication of the decision of the competent authority on the representation by the APAR Cell	15 th November
11	End of entire APAR process, after which the APAR will be finally taken on record	30 th November

3.2 However, keeping in view of the certain circumstances, the above timelines are sometimes extended for a certain period with the approval of the competent authority.

Chapter 4 - APAR Forms

4.1 An APAR Form has four sections.

Section I	Basic Information	to be filled by ORU and verified by Primary/ Alternate Custodian
Section II	Self Appraisal	to be filled by ORU
Section III	Appraisal	to be filled by Reporting officer
Section IV	Review	to be filled by Reviewing officer

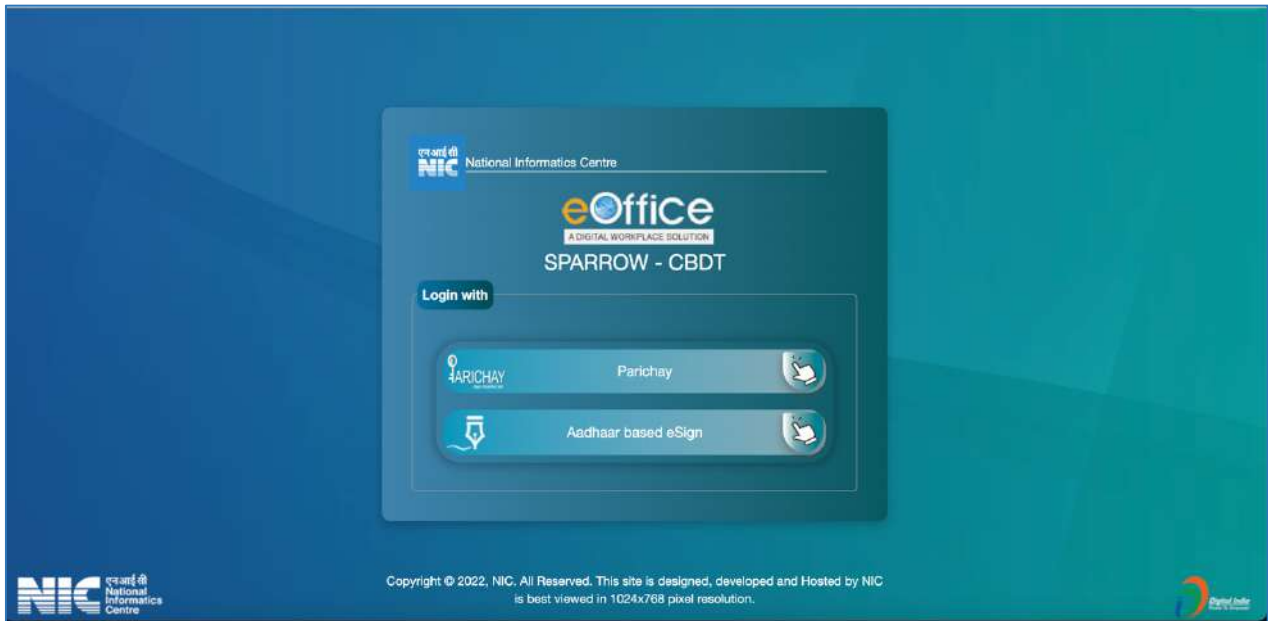
4.2 Keeping in view of the work functionalities of the officers, specific APAR Forms are designed for officers at different levels. These forms are revised from time to time on need basis. Different forms available at SPARROW for the different level of posts are tabulated below for ready reference.

ITO/ACIT/ DCIT (name as appearing on SPARROW)	
Form 1 (Deputy/Assistant Commissioner or Deputy/Assistant Director of Income Tax/ Income Tax Officer and equivalent) (Other than Assessing Officer)	Form type to be filled by the officers posted in non-Assessment charges including Directorates/ Investigation Wing/ DTRTIs/ Headquarters/ Transfer Pricing etc.
Form-1(a) (Deputy/Assistant Commissioner/ Income Tax Officers and equivalent) (Faceless Assessing officers/Jurisdictional Assessing Officers)	Form type to be filled by the officers posted in NaFAC and ReFAC (AU, VU, RU, TU) and jurisdictional AOs (Faceless Assessing Officer and Jurisdictional Assessing Officer only).
Form 1(b) (Deputy/Assistant Commissioner/ Income Tax Officers and equivalent) (Non-Faceless Assessing officers) (Central/IT/Others)	Form type to be filled by Assessing Officers posted in International Taxation, Central charges and other non-faceless assessment charges.
JCIT/Addl. CIT	
Form- 2 (Joint/Additional Commissioner or Joint/Additional Director of Income Tax and equivalent)(Non-Assessment)	Form type to be filled by the officers posted in non-assessment charges including Directorates/ Investigation Wing/ DTRTIs/ Headquarters/ Transfer Pricing etc.
Form-2(a) (Joint/Additional Commissioner and equivalent)(Faceless Assessment Units/ Jurisdictional Assessment Units)	Form type to be filled by the officers posted in Faceless Assessment Units and jurisdictional assessment units.
Form 2(b)	Form type to be filled by Assessing Officers posted in International Taxation,

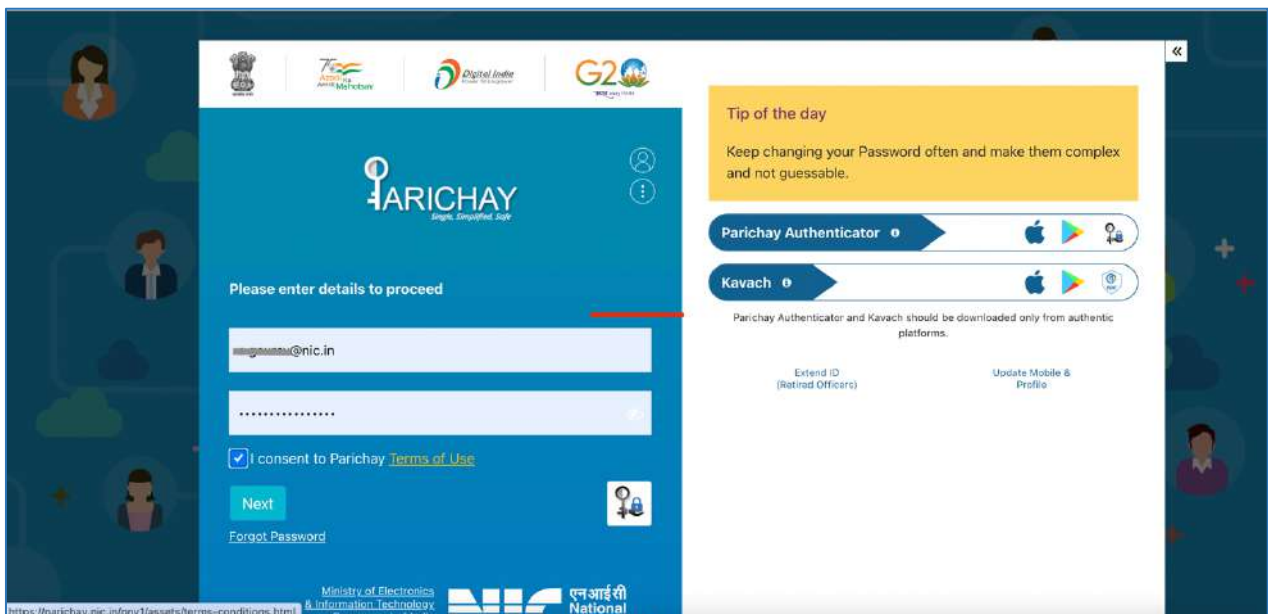
(Joint/Additional Commissioner and equivalent)(Non-Faceless Assessment Units- Central/ International Taxation/Others)	Central charges and other non-faceless assessment charges.
CIT(Appeal)	
Form 3(a) (Commissioner of Income Tax (Appeal)(Faceless))	Form type to be filled by CITS (Appeal) (Faceless).
Form 3(b) (Commissioner of Income Tax (Appeal))	Form type to be filled by CITS (Appeal) for Central Charges, International Taxation.
CIT/PCIT	
Form 4 (Principal Commissioner of Income Tax or Principal Director of Income Tax Commissioner of Income Tax or Director of Income Tax and equivalent posted in non-field formations including Directorates and ITAT)	Form type to be filled by Principal Commissioner of Income Tax or Principal Director of Income Tax/ Commissioner of Income Tax/Director of Income Tax and equivalent posted in non-field formations including Directorates and ITAT.
Form-4(a) (Principal Commissioner of Income Tax/ Commissioner of Income Tax) (Faceless Assessment Units/ Jurisdictional Assessment Units)	Form type to be filled by the officers posted in Faceless Assessment Units and jurisdictional assessment units.
Form 4(b) (Principal Commissioner of Income Tax or Commissioner of Income Tax)(Non-Faceless Assessment Units- Central/ International Taxation/Others)	Form type to be filled by Officers posted in International Taxation, Central charges and other non-faceless assessment charges.
CCIT/DGIT	
Form 5 (Chief Commissioner of Income Tax or Director General of Income Tax and equivalent)	Chief Commissioner of Income Tax or Director General of Income Tax and equivalent.
Pr. CCIT and above	
Form 6 (Pr. Chief Commissioner of Income Tax/ Pr. Director General of Income Tax)	Pr. Chief Commissioner of Income Tax/ Pr. Director General of Income Tax.
Deputation APAR Forms	
IRS-IT Deputation	
ED-Deputation Form	
IRS-IT Deputation (IAS)	
IRS-IT Addl. Secy	

Chapter 5 - Logging into SPARROW

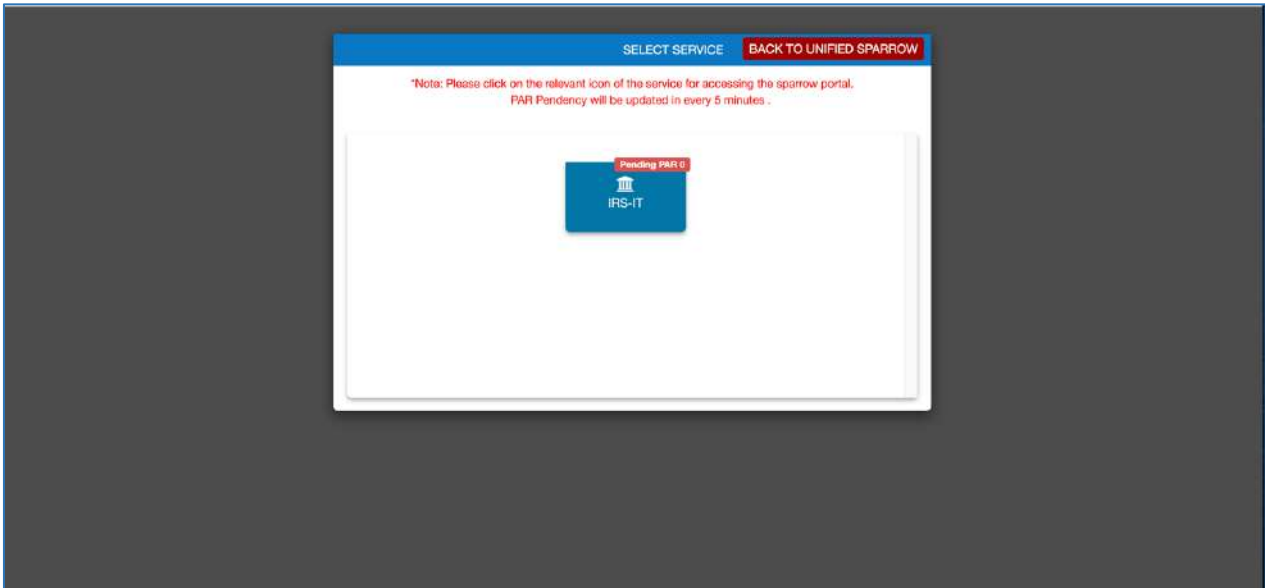
Step 1- Type URL <https://sparrow.incometax.gov.in> in the address bar of the browser. Following window will open. Navigate to PARICHAY PORTAL



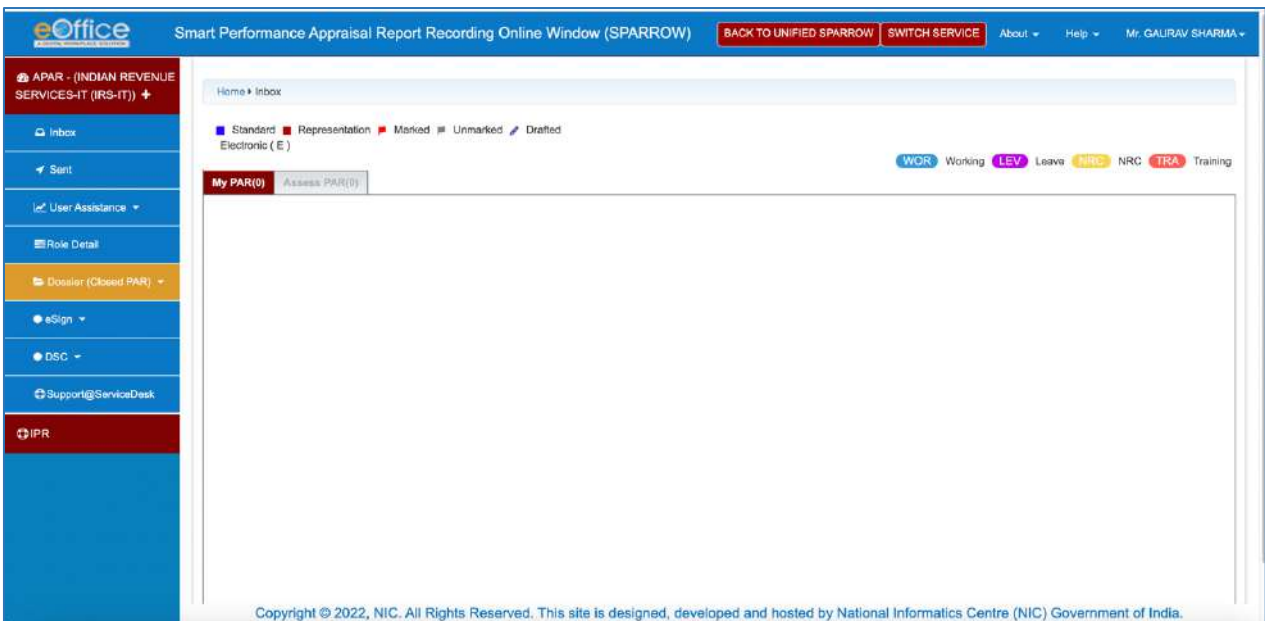
Step 2- Enter NIC email-id and password.



Step 3- Click IRS-IT/CBDT Group-B.



Step 4- On login, following page will appear. Here, user can create work flow, see already completed self APARs, write APARs of subordinates etc.



Chapter 6 - Self Workflow and Self PAR

6.1 To initiate APAR on SPARROW, ORU has to create **Self Workflow** and then generate **Self PAR**.

6.2 In **Self Workflow**, ORU has to provide details of Reporting officer, Reviewing officer, time period of APAR, NRC etc. Primary /Alternate Custodians may either copy the Workflow created by the ORU or modify it in case of any discrepancy.

6.3 Reporting and Reviewing Officer

- The period of report could either be the entire reporting year, namely, from 1st of April to 31st March or a part of the year (exceeding 3 months). The period of APAR should be ascertained by the ORU (Officer Reported Upon) **according to the time period of supervision by the Reporting Officer and not Reviewing Officer**.
- In case of a single Reporting Officer and Multiple Reviewing Officers for a given reporting year, then invariably the reviewing officer **who has supervised the work of ORU for more than 90 days shall be selected** in APAR workflow for the entire reporting year or in case of Multiple Reviewing Officers who have equal periods than the Reviewing Officer during the last part of the year/APAR may be selected.
- In some cases, **APAR has to be reported but APAR would not be reviewed**. For example, there may be a situation where single Reporting officer is there for 90 days or more for reporting, but there is no Reviewing Authority who has supervised the ORU for a minimum period of 90 days so as to review the said APAR or where Reviewing Authority has expired/ retired and more than a month has elapsed since date of retirement. **In this case, No Review Certificate has to be drawn**.
- In some cases, there may be no Reporting officer who has supervised the work of ORU for more than 90 days. **In this case, No Report Certificate has to be drawn**.
- Certain scenario of Reporting and Reviewing officer are discussed in the following table.

S.No.	Scenario	Clarification
1.	Whether CCIT level officers holding the charge of Pr. CCIT can report/review APARs as Pr. CCIT?	<p>a. Where Pr. CCIT is the Reporting Officer- In respect of CCITs, Pr. CCIT is the Reporting Officer. In case a CCIT level Officer holds the charge of Pr. CCIT on additional basis, such officer shall not report the APAR of other CCITs. such cases, the APAR of the CCIT concerned shall be reported by the Zonal Member and reviewed by Chairman, CBDT.</p> <p>b. Where Pr. CCIT is the Reviewing Officer - In normal course, APARs of PCITs/CITs are reported upon by CCITs and reviewed by the Pr. CCIT. However, in case a CCIT level Officer holds the charge of Pr. CCIT on additional basis, the APAR shall be reported by</p>

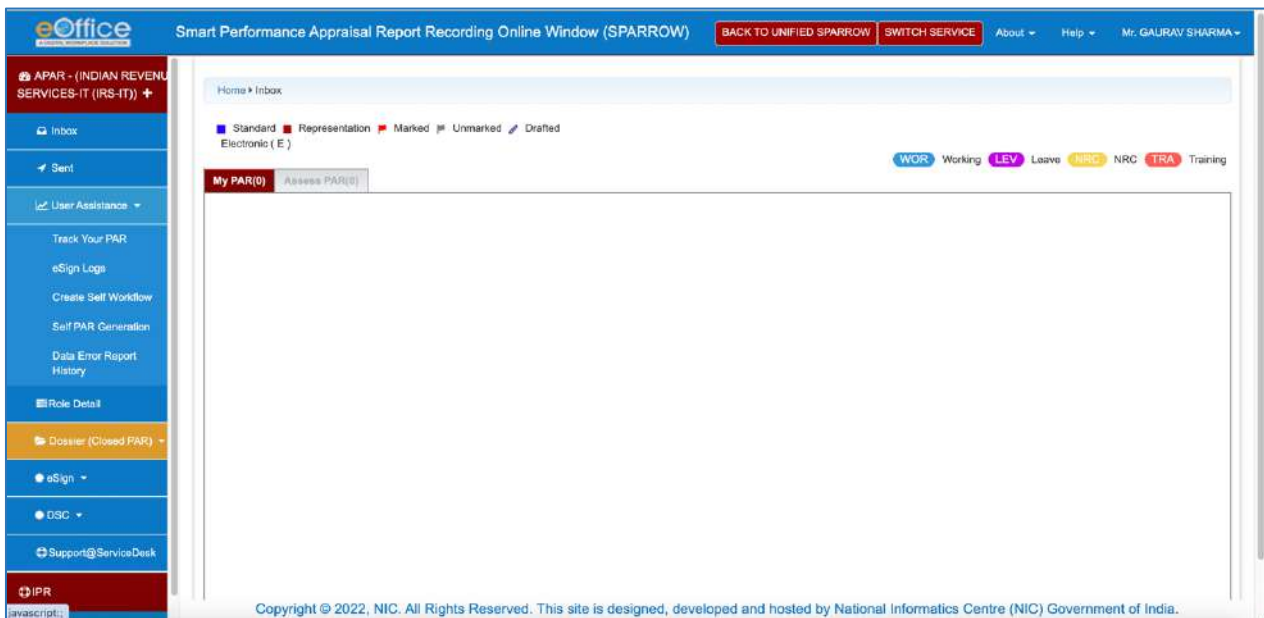
		the CCIT concerned and reviewed by the Zonal Member.
2.	Who shall be the Reporting and Reviewing authorities for officers promoted and placed on in-situ basis.	In cases where, on promotion, the Officer is posted on an in-situ basis with a direction to discharge the same functions and duties as the Officer was discharging before the promotion, the Reporting and Reviewing authorities during this period shall continue to be the same as prior to the promotion.

Creation of Self Workflow

6.4 Steps to create Self Workflow have been explained as below.

Step 1- Login into SPARROW.

Step 2- On Home page, click **User Assistance** and then click **Create Self Workflow**.



Step 3- Following page will open. Click **Create Self Workflow**. The ORU has to create his/her workflow along with details like dates/period of APAR and names of Reporting and Reviewing Authority.

Smart Performance Appraisal Report Recording Online Window (SPARROW)

Home > Create Self Workflow > Assessment Period Select

Self Workflow Creation

Self Assignment

Assessment Period: * 2023-2024

Name	Allotment Year/Batch	Employee Code	Designation	Cadre	Action
GAURAV SHAR...	2008	8046	_JCIT/Addl.CIT/JDITI/Addl.DIT	GROUP A	Create/Update Workflow

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Step 4- Enter details of **Organization Posted**.

- For ORU posted in CCA regions, organization to be chosen is **CBDT-IT-(Present Region)**.
For ORU posted in CBDT, organization to be chosen is **CBDT-IT-DoR**.
- For ORU on Deputation, organization to be chosen is **CBDT-Deputations**.

Smart Performance Appraisal Report Recording Online Window (SPARROW)

Home > Create Self Workflow > Define Workflow

Basic Information

Code: 8048 Name: GAURAV SHARMA Designation: _JCIT/Addl.CIT/JDITI/Addl.DIT
 Service: INDIAN REVENUE SERVICES-IT (IRS-IT) Cadre: GROUP A Organization: CBDT-IT-DELHI
 Batch: 2008

Creation of Workflow - Choosing Workflow Period

S.NO	Organisation Posted	Assessment Period	Status	Form Type	Actions
1	Choose Globa... cbdt CBDT-DEPUTATIONS CBDT-IT-AP & TELANGANA CBDT-IT-BIHAR & JHARKHAND CBDT-IT-DELHI CBDT-IT-DOOR	From: 01/04/2023 To: 31/03/2024	--SELECT--	--SELECT--	Actions

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Step 5- Enter details of **Assessment Period**.

Step 6- Enter details of **Status – Working** or **NRC**.

Step 7- Enter the details of **Form Type**. Different forms available for ORU have already been explained in Chapter 4- APAR Forms. Then click **Actions**.

Smart Performance Appraisal Report Recording Online Window (SPARROW)

Home > Create Self Workflow > Define Workflow

Basic Information

Code: 8048 Name: GAURAV SHARMA Designation: _JCIT/Addl.CIT/JDIT/Adsl.DIT
 Service: INDIAN REVENUE SERVICES-IT (IRS-IT) Cadre: GROUP A Organization: CBDT-IT-DELHI
 Batch: 2008

Creation of WorkFlow - Choosing Workflow Period

S.NO	Organisation Posted	Assessment Period	Status	Form Type	Actions
1	CBDT-IT-DELHI	From: 05/10/2023 To: 31/03/2024	WORKING	--SELECT-- --SELECT-- ED Deputation FORM IRS-IT Deputation (IAS) Deputy/Assistant Commissioner or Deputy/Assistant Director of Income	Actions

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Step 8- Following page will open. Here ORU has to select Reporting and Reviewing Authority.

Smart Performance Appraisal Report Recording Online Window (SPARROW)

Basic Information

Code: 8048 Name: GAURAV SHARMA Designation: _JCIT/Addl.CIT/JDIT/Adsl.DIT
 Service: INDIAN REVENUE SERVICES-IT (IRS-IT) Cadre: GROUP A Organization: CBDT-IT-DELHI
 Batch: 2008 Status: WORKING Form Type: Joint/Additional Commissioner or Joint/Additional Director of Income Tax and equivalent(Non-Assessment)_New

Work Flow for Assessment Period :05/10/2023 to 31/03/2024

Standard

S.No	Stage	Name
1	Officer Reported Upon	GAURAV SHARMA(8048)_JCIT/Adsl.CIT/JDIT/Adsl.DIT-CBDT-IT-DELHI
2	Reporting Authority	--SELECT--
3	Reviewing Authority	--SELECT--
4	CR Section To Disclose	SAURABH GOYAL(15071)_ACIT/DCIT/ADIT/DDIT-CBDT-IT-DELHI
5	Officer Disclosure	GAURAV SHARMA(8048)_JCIT/Adsl.CIT/JDIT/Adsl.DIT-CBDT-IT-DELHI
6	CR Section for Closing	SAURABH GOYAL(15071)_ACIT/DCIT/ADIT/DDIT-CBDT-IT-DELHI

Remarks

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Searching an Officer

Step 9.1- There are two ways to search an officer. It can be searched by typing the name of officer in the drop-down menu as shown below.

Basic Information

Code:	8046	Name:	GAURAV SHARMA	Designation:	_ JCIT/Addl.CIT/JDIT/Addl.DIT
Service:	INDIAN REVENUE SERVICES-IT (IRS-IT)	Cadre:	GROUP A	Organization:	CBDT-IT-DELHI
Batch:	2008	Status:	WORKING	Form Type:	Joint/Additional Commissioner or Joint/Additional Director of Income Tax and equivalent(Non-Assessment)_New

Work Flow for Assessment Period :05/10/2023 to 31/03/2024

Standard

S.No	Stage	Name
1	Officer Reported Upon	GAURAV SHARMA(8046[_ JCIT/Addl.CIT/JDIT/Addl.DIT-CBDT-IT-DELHI])
2	Reporting Authority	--SELECT--
3	Reviewing Authority	rajesh RAJESH GUPTA(95002[_ JCIT/JDIT/ADDL.CIT/ADDL.DIT-CBDT-IT-DELHI])
4	CR Section To Disclose	RAJESH CHANDRA(8092[_ CIT/DIT/ADG-CBDT-IT-DELHI])
5	Officer Disclosure	RAJESH KUNDAN(88006[_ CCIT/DGIT-CBDT-IT-DELHI]) RAJESH PATHAK(165HAA[_ ACIT/ADIT/DDIT-CBDT-IT-DELHI])
6	CR Section for Closing	RAJESH GUPTA(165DY[_ ACIT/DCIT/ADIT/DDIT-CBDT-IT-DELHI]) RAJESH KUMAR(3049[_ CIT/DIT/ADG-CBDT-IT-DELHI]) RAJESH PATWAL(18588[_ ACIT/DCIT/ADIT/DDIT-CBDT-IT-DELHI])

Remarks

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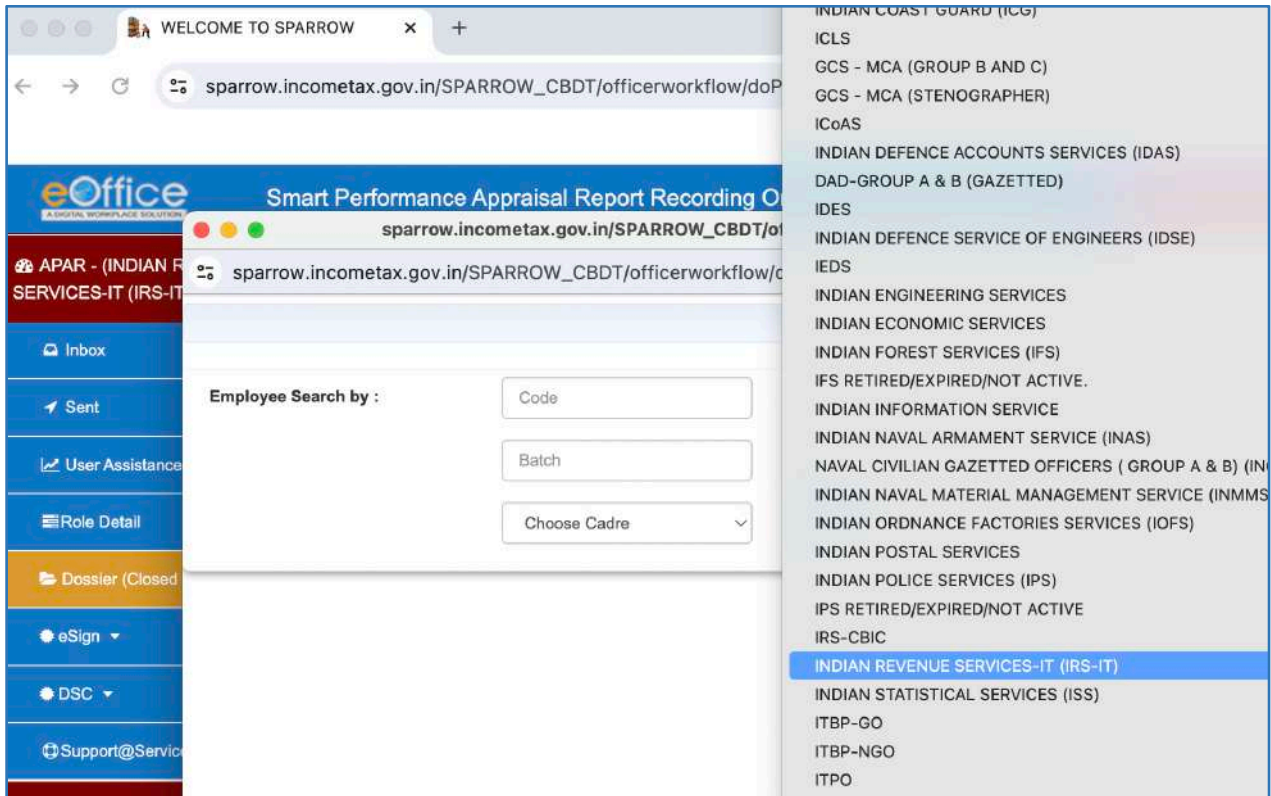
Step 9.2- Secondly, officer can be searched through **Global Search symbol** on right hand side. After clicking **Global Search symbol**, following window will open.

Employee Search

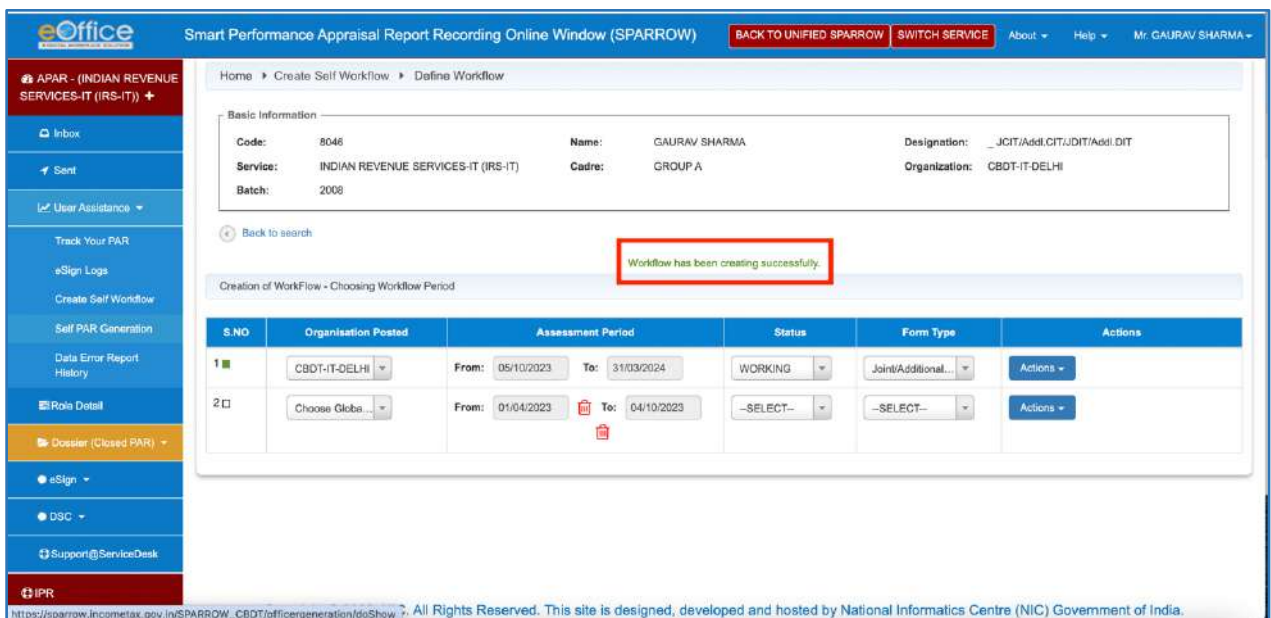
Employee Search by :

Code	Employee Name	Choose Designation
Batch	ASSAM CIVIL SERVICES	Choose Organization
Choose Cadre	Search Employee by Batch	

Step 9.3- From the **Service** drop-down menu, select the relevant Service. Type the name of the officer and then **Search** the officer.



Step 10- After selecting relevant **Reporting Authority** and **Reviewing Authority**, click **Save**. Now, **Workflow** has been created.



NRC

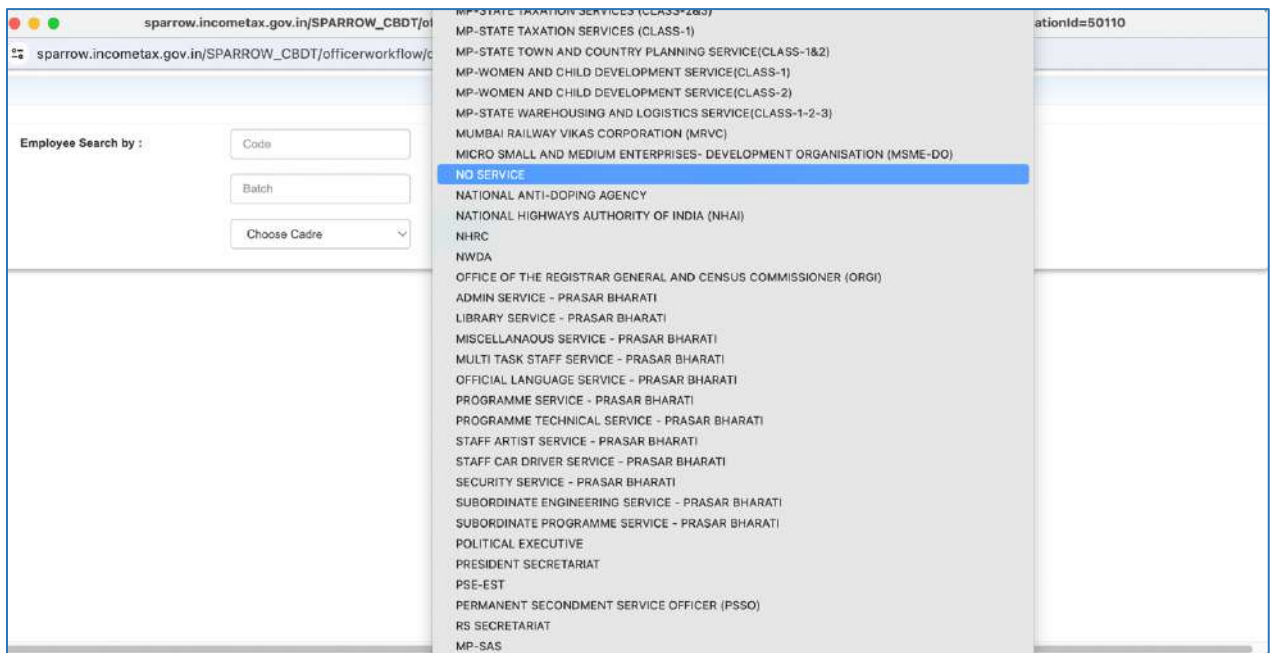
6.5 If APAR has to be reported but APAR would not be reviewed. For example, there may be a situation where single Reporting officer is there for 90 days or more for

reporting, but there is no Reviewing Authority who has supervised the ORU for a minimum period of 90 days so as to review the said APAR or where Reviewing Authority has expired/retired and more than a month has elapsed since date of retirement. **In this case, following steps have to be followed to select No Review Certificate.**

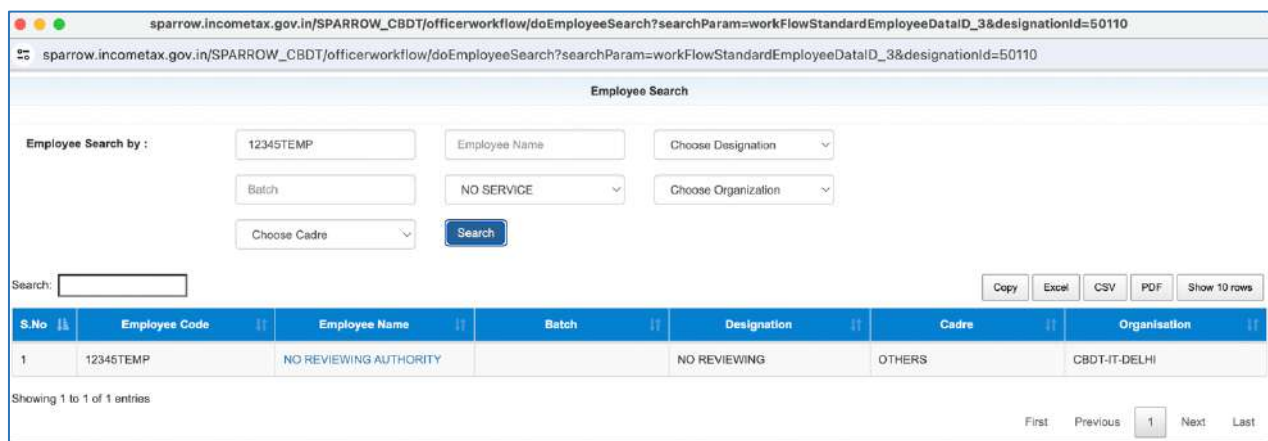
Step 1- Select the relevant Reporting Authority.

Step 2- Choose **Global Search** button for Reviewing Authority.

Step 3- Select '**No Service**' under Service drop-down menu



Step 4- Enter "12345TEMP" in employee code. Then click **Search**. Following window will open.



Step 5- Select **NO REVIEWING AUTHORITY** from the table. Following window will open. Click **Save** and workflow has been created.

Smart Performance Appraisal Report Recording Online Window (SPARROW)

Basic Information

Code:	8046	Name:	GAURAV SHARMA	Designation:	__JCIT/Adtl.CIT/JDIT/Adtl.DIT
Service:	INDIAN REVENUE SERVICES-IT (IRS-IT)	Cadre:	GROUP A	Organization:	CBDT-IT-DELHI
Batch:	2008	Status:	WORKING	Form Type:	Joint/Additional Commissioner or Joint/Additional Director of Income Tax and equivalent(Non-Assessment)_New

Work Flow for Assessment Period :05/10/2023 to 31/03/2024

Standard

S.No	Stage	Name
1	Officer Reported Upon	GAURAV SHARMA(8046)[_JCIT/Adtl.CIT/JDIT/Adtl.DIT-CBDT-IT-DELHI]
2	Reporting Authority	RAJESH CHANDRA(5092)[_CIT/DIT/ADG-CBDT-IT-DELHI]
3	Reviewing Authority	NO REVIEWING AUTHORITY(12345TEMP[NO REVIEWING -CBDT-IT-DELHI])
4	CR Section To Disclose	SAURABH GOYAL(15071)[_ACIT/DCIT/ADIT/DDIT-CBDT-IT-DELHI]
5	Officer Disclosure	GAURAV SHARMA(8046)[_JCIT/Adtl.CIT/JDIT/Adtl.DIT-CBDT-IT-DELHI]
6	CR Section for Closing	SAURABH GOYAL(15071)[_ACIT/DCIT/ADIT/DDIT-CBDT-IT-DELHI]

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6.6 In some cases, there may be no Reporting officer who has supervised the work of ORU for more than 90 days. In this case, No Report Certificate has to be drawn. Steps are as below.

Step 1- Enter the details of **Assessment Period**. In the **Status**, select **NRC**. Form Type is automatically selected. Click **Actions**.

Smart Performance Appraisal Report Recording Online Window (SPARROW)

Home > Create Self Workflow > Define Workflow

Basic Information

Code:	8046	Name:	GAURAV SHARMA	Designation:	__JCIT/Adtl.CIT/JDIT/Adtl.DIT
Service:	INDIAN REVENUE SERVICES-IT (IRS-IT)	Cadre:	GROUP A	Organization:	CBDT-IT-DELHI
Batch:	2008				

Creation of WorkFlow - Choosing Workflow Period

S.NO	Organisation Posted	Assessment Period	Status	Form Type	Actions
1	CBDT-IT-DELHI	From: 01/04/2023 To: 15/06/2023	NRC	NO APAR/ RE...	Actions

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Step 2- Following window will open.

Step 2- NRC- Competent Authority has to be selected. It should be selected as per following table:

	NRC- Competent Authority
For ORU up to the level of PCIT	<p>Primary Custodian of the Region</p> <p>eg - For ORU posted in Delhi, Primary Custodian is Saurabh Goyal 15071.</p> <p>For ORU posted in Tamil Nadu, Primary Custodian is V Senthil Prabhu 15128.</p>
For CCIT and above all officers on Deputation	<p>Primary Custodian at HRD as Competent Authority</p> <p>Eg- currently Primary Custodian at HRD is Vivek Chauhan 16055.</p>

Step 3- In the **Remarks** Column, explain the reason for NRC. Upload relevant document, if required. Then click **Save**. Workflow has been created.

The screenshot shows the 'Smart Performance Appraisal Report Recording Online Window (SPARROW)' interface. The left sidebar contains navigation options like 'APAR - (INDIAN REVENUE SERVICES-IT (IRS-IT))', 'Inbox', 'Sent', 'User Assistance', 'Role Detail', 'Dossier (Closed PAR)', 'eSign', 'DSC', 'Support@ServiceDesk', and 'IPR'. The main content area is divided into several sections:

- Basic Information:** A table with fields for Code (8046), Name (GAURAV SHARMA), Designation (_JCIT/Adtl.CIT/JDIT/Adtl.DIT), Service (INDIAN REVENUE SERVICES-IT (IRS-IT)), Cadre (GROUP A), Organization (CBDT-IT-DELHI), Batch (2008), Status (NRC), and Form Type (NO APAR/ REPORT CERTIFICATE NEW).
- Work Flow for Assessment Period : 01/04/2023 to 15/06/2023:** A table with columns 'S.No', 'Stage', and 'Name'. It lists two stages: 'Nrc-Competent Authority' and 'Nrc-CR Section', both assigned to SAURABH GOYAL.
- Remarks:** A text area with the placeholder 'Explain the reason'. Below it is a file upload section with the text 'Any of the Document is to be upload :', a 'Choose file' button, and 'No file chosen'.
- Action:** 'Save' and 'Back' buttons.

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Generation of Self PAR

6.7 Once workflow is created, ORU has to generate **Self PAR**.

6.8 In Self PAR, ORU has to fill up basic employee information. Apart from this, ORU has also to submit basic information in physical form as explained in Chapter 7. Primary /Alternate Custodian may either copy the data filled by the ORU or modify it in case of any discrepancy. Steps to generate Self PAR are as below.

Step 1- On Home page, click **User Assistance** and then click **Self PAR Generation**.

Step 2- Choose **Assessment Period**.

The screenshot shows the 'Smart Performance Appraisal Report Recording Online Window (SPARROW)' interface for 'Generation of Self APAR'. The left sidebar is the same as in the previous screenshot. The main content area shows:

- Home » APAR Generation** breadcrumb.
- Generation of Self APAR** title.
- Assessment Period :** A dropdown menu labeled 'Choose Assessment Y:'.

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Step 3- Following window will open. Click **Generate**.

Smart Performance Appraisal Report Recording Online Window (SPARROW)

Home » APAR Generation

Generation of Self APAR

Assessment Period : 2023-2024

Search:

Copy Excel PDF CSV Show 10 rows

S.No	Form ID	Form Type	Code	Batch	Name	Designation	From Date	To Date	Quick Action
1	E	Joint/Additional ...	8046	2008	GAURAV SHAR...	_JCIT/Adtl.CIT...	05-10-2023	31-03-2024	Generate

Showing 1 to 1 of 1 entries

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Step 4- Section-I Basic Information page of APAR will open.

Smart Performance Appraisal Report Recording Online Window (SPARROW)

Standard

Basic Information

Reload PIMS

APAR FORM-2

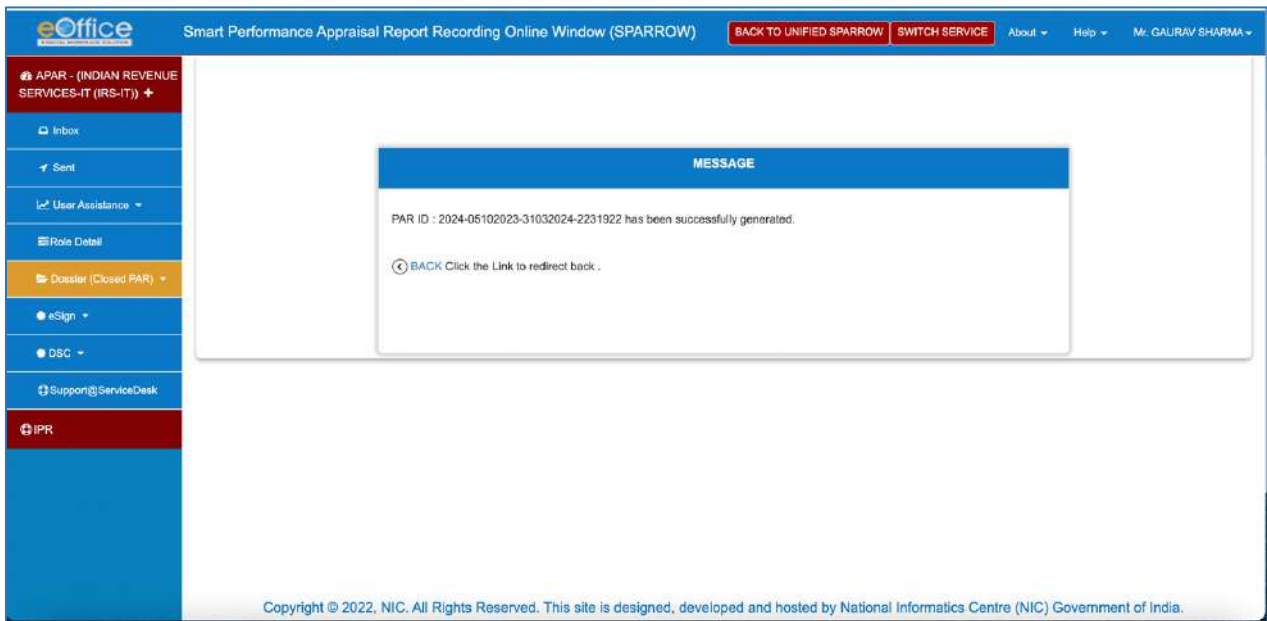
Section I
BASIC INFORMATION
(To be filled in by the Head of Department)
Period of Report from : 05/10/2023to 31/03/2024

- Name of the Officer Reported Upon : GAURAV SHARMA
- Service : IRS-IT
- Year of recruitment :
- Year of allotment : 2008
- Civil Code No. : 8046
- Date of Birth : 19/01/1984
- Present Grade :
- Present post held by the officer during the period reported upon : _JCIT/Adtl.CIT/JDIT/Adtl.E

Save as Draft Generate

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Step 5- Fill up all the rows accurately. Click **Generate**. Self PAR has been generated and it goes to Primary/ Alternate Custodian for verification.



Chapter 7 - Submitting Basic Information

7.1 Primary Custodian and Alternate Custodians have been assigned the task by the respective CCAs to generate APARs and create/copy workflows (created by the users using their own login ID and Password) based on the basic employee information furnished by the users/officers reported upon posted in their respective charges. However, Primary Custodian and Alternate Custodians need to verify the information submitted by the users on SPARROW and fill in the remaining information to generate the corresponding APARs. Hence, instructions were issued vide F.No. HRD/PM/APAR/403/SPARROW/ 2020-21/ 9477, dated: 22/03/2021 and vide F.No. HRD/PM/APAR/403/SPARROW/ 2020-21/ 9818, dated: 31/03/2021. These instructions have been summarized as below.

7.2 Since, the **timeline for the submission of Self-Appraisal of APAR by the ORU is 30th April**, all officers are required to submit their basic employee information as in Part-I of the APAR format, attested by respective DDOs, to their Primary Custodian/ alternate custodian with all the required details **manually latest by 15th April**. Copies of the relieving order, joining report etc may also be enclosed. Proforma for filling up of **basic employee information is enclosed as Annexure**.

7.3 The officers on Deputation should send the basic employee information to HRD at the designated e-mail **sparrow.hrd@incometax.gov.in**.

7.4 Similar to the information submitted manually to the primary Custodian/alternate custodian, the ORU also has to create his/her workflow on his/her SPARROW portal, so that APAR can be generated by the primary Custodian/alternate custodian after copying the workflow so created. **The user/officer reported upon is also required to upload relevant documents in "Reference Upload" in his/her workflow.**

7.5 In case where option '**NRC**' is chosen by the ORU, the grounds on which No Report Certificate/No Review Certificate is to be drawn- i.e. multiple reporting/reviewing officers, availing of earned/maternity/child care/study leave/training more than 15 days etc. should be elaborately specified by the ORU along with the basic employee information and he/she should enclose supportive documents i.e. sanction orders along with.

Chapter 8 - APAR writing Process

8.1 After creation of workflow by ORU, Primary/ Alternate Custodian will verify details and generate PAR. After PAR has been generated by Primary/ Alternate Custodian, it will appear under **My PAR** section of the Home page.

The screenshot shows the 'Smart Performance Appraisal Report Recording Online Window (SPARROW)' interface. The user is logged in as Mr. GAURAV SHARMA. The 'My PAR' section is highlighted, showing a table with the following data:

S.No	Status	PAR ID	Form Type	Received On	Sent By	Sent Date	Current Stage	Target Dates
1	WOR	2024-05102023-31032024-2231922	Joint/Addi...	01/04/2024	DUMMY3 ...	01/04/2024	Officer Re...	15/04/2024

8.2 Click PAR ID to proceed to fill up APAR. Then ORU has to fill up **Section-II Self Appraisal**.

The screenshot shows the 'Self Appraisal' form. The 'Basic Information' section includes:

- Name: GAURAV SHARMA
- Cadre: GROUP A
- Service: INDIAN REVENUE SERVICES-IT (IRS-IT)
- Designation: ...JCIT/Adtl.CIT/JDIT/Adtl.DIT
- Batch: 2008
- Assessment Period: 05/10/2023 to 31/03/2024
- Form Type: Joint/Additional Commissioner or Joint/Additional Director of Income Tax and equivalent(Non-Assessment)_New

The 'Self Appraisal' section is highlighted, showing a text area for 'Brief description of Duties' with a maximum word limit of 1500.

8.3 Important points to fill up Section-II are described as below.

Section-II Self Appraisal

- The Officer Reported Upon (ORU) is required to give brief description of his/her duties and responsibilities, achievements and outstanding contribution.

- The ORU is required to indicate the specific areas for capacity building and upgradation of skills undertaken/identified through training programmes (iGOT, in house trainings, MOOCs through SWAYAM, Seminars attended etc.) in view of new Government initiative Mission Karmayogi.
- The ORU has to mention date of submission of Immovable Property Return (IPR) (mandatory) and annual medical checkup.
- The ORU has to submit information regarding appointment as Inquiry Officer/Presenting Officer along with date of appointment and date of report submission.
- After filling up the APAR, the ORU has to e-sign or use DSC and send the APAR to the Reporting Authority within the timelines prescribed.

8.4 Section-III is filled by the Reporting officer. Important points to fill up Section-III are described as below.

Section-III Appraisal

- Section III requires the Reporting Officer to comment on Section II as filled out by the Officer Reported Upon, and specifically state whether he/she agrees with the responses relating to the accomplishments. In case of any disagreement, the Reporting Authority should highlight the specific portions with which he/she is unable to agree and the reasons for such disagreement.
- This Section requires the Reporting Authority to record a numerical grade in respect of the work output, personal attributes and functional competencies etc of the ORU both in respect of the planned work or any other work assigned.
- In Section III, the 'non-field functional competency' has been included, "including expertise and familiarity with different departmental software and online portals like HRMS, TRACES, INSIGHT and SPARROW etc" so as to nudge the officers to upgrade their capabilities in consonance with the technical competencies needed by the officers.
- After appraising the APAR, the Reporting Authority has to e-sign or use DSC and send the APAR to the Reviewing Authority within the timelines prescribed.

8.5 INTEGRITY

- Section III, requires the Reporting Authority to comment on the **Integrity of the Officer Reported Upon.**
- In this regard, please refer DoPT OM dated 11th February, 2016 issued vide F. No. 21011/27/2015-Estt.(A-H) containing the Instructions/guidelines relating to filling up the Integrity Column of Annual Performance Assessment Reports. This OM has reiterated the instructions/guidelines in para 5.2 of DoPT OM No.51/5/72-Ests. (A) dated 20th May, 1972 on procedures prescribed for filling up the column relating to integrity in APARs. The important procedures among others to be followed by the Reporting officer are briefly mentioned below:

- i. Supervisory officers should maintain a confidential diary in which instances which create suspicion about the integrity of a subordinate should be noted from time to time and action to verify the truth of such suspicions should be noted. The same may be referred and material in it may be utilised for filing the column about integrity.
- ii. The remarks against the integrity column of APARs of the officer reported upon shall be made by the reporting officer in one of three options mentioned below:
 - (a) **Beyond doubt**
 - (b) **Since the integrity of the officer is doubtful, a secret note is attached**
 - (c) **Not watched the officer's work for sufficient time to form a definite judgement but nothing adverse has been reported to me about the officer.**

- If a secret note is written in the integrity column, then the Reporting officers shall communicate the secret note to Pr. CCIT (CCAs) manually and not upload on the system.

8.6 Pen Picture

- The reporting authority is required to record a descriptive Pen-Picture on the overall attributes of the Officer Reported Upon and his/her performance including his/her attitude towards weaker sections. This should be in minimum 100 words. The Pen Picture is also meant to be a qualitative supplement to the quantitative assessments made in earlier part of this section and may be accordingly worded.
- The column of Pen Picture has been modified to the extent that now the overall qualities have to be commented upon. It no longer requires comments in the area of "strength or lesser strength" as per the requirement in earlier forms. This is a significant change which should be borne in mind while writing the Pen Picture and giving remarks in the said column.
- Reporting authority is required to make recommendations relating to domain assignment (minimum 4 required).
- 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.
- Reporting Officer is required to comment on overall grading given. If the grading given is below '7' or above '9', the Reporting Officer is required to give **detailed factual reasons** for the same.

8.7 Section-IV is filled by the Reviewing officer. Important points to fill up Section-IV are described as below.

Section-IV Review

- This Section is 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.

- The Reviewing Authority is required to record an overall grade on the scale of 1-10. If the Reviewing Authority agrees with the overall grading awarded by Reporting Officer, then no detailed factual reasons may be given. However, if the Reviewing Authority does not agree with the overall grading of the Reporting Officer and decides to grade the ORU then if the overall grading is below '7' or above '9', it is required to be supported by factual detailed reasons.
- The Reviewing Authority is also required to record a descriptive Pen-Picture on the overall attributes of the Officer Reported Upon and his/her performance including his attitude towards weaker sections. This should be in about 100 words. The pen picture is also meant to be a qualitative supplement to the quantitative assessments made in earlier part of this section and may be accordingly worded.
- The column of Pen Picture has been modified to the extent that now over all qualities have to be commented upon. It no longer requires comments in the area of "strength or lesser strength" as per the requirement in earlier forms. This is a significant change which should be borne in mind while writing the Pen Picture and giving remarks in the said column.
- After reviewing the APAR, the Reviewing Authority has to e-sign or use DSC and send the APAR to the Custodian within the timelines prescribed.

8.8 INTEGRITY

- Where the Reporting officer fails to report the APAR within the time allowed, APAR will be force forwarded to the Reviewing Officer and the Reviewing officer shall **report** the APAR and **No Review Certificate** will be placed in the Dossier.
- In cases, where Reporting officer has not reported on time and the APAR is Force-Forwarded to the next level for, reporting (i.e., to the Reviewing Officer), **the system does not provide any option to such Reviewing Officers to comment on the 'Integrity' of the ORU. Thus, in all such cases the Integrity column will show blank.**
- **In these scenario**, the following steps have to be followed:
 - **In all such cases where Reviewing Officer is Reporting on the force forwarded APAR's he/she should mandatorily mention about the Integrity of the ORU in the Pen Picture column to be filled by the Reviewing Officer.**
 - **Where ORUs have represented against Integrity blank, comments may be sought from the reviewing officer who has reported the APAR and the representation be disposed off by the respective Competent Authority.**

Chapter 9 - SOP for Custodians

Standard Operating Procedures(SOP) for Primary Custodians and Alternate Custodians

9.1 Primary Custodian and Alternate Custodians have been assigned the task by the respective CCAs to generate APARs and create/copy workflows (created by the users using their own login ID and Password) based on the basic employee information furnished by the ORUs reported upon posted in their respective charges.

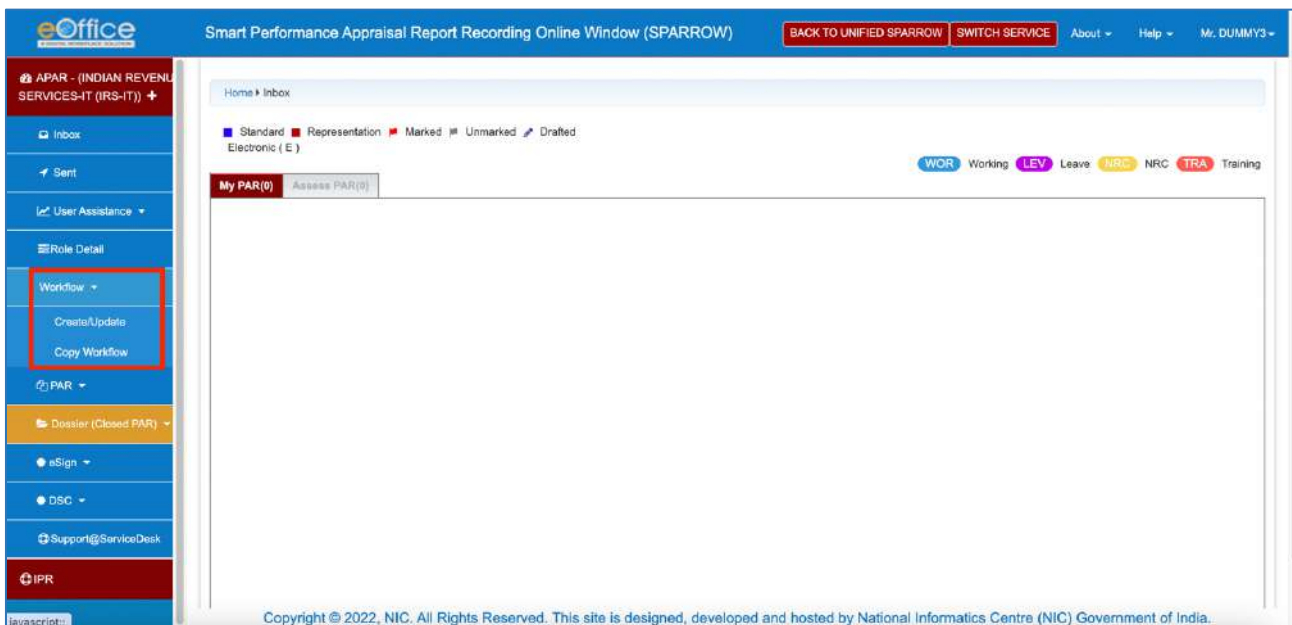
9.2 Instructions were issued vide F.No. HRD/PM/APAR/403/SPARROW/2020-21/14, dated 01.04.2021 for all Primary Custodians and Alternate Custodians generating for APARs on SPARROW. These instructions have been summarized as below.

9.3 Since, the **timeline for the submission of Self-Appraisal of APAR by the ORU is 30th April of the reporting year**, all Primary Custodian and Alternate Custodians should endeavour to generate APARs **latest by 15th April**.

9.4 Primary / Alternate Custodians will first create/copy Workflow for the ORU and then generate ORU's PAR. Steps have been explained as below.

Workflow

- 9.5 There are two ways to generate Workflow
- Custodian can **Create/Update** Workflow made by the ORU.
 - Custodian can **Copy Workflow** made by the ORU.



9.6 Create/Update Workflow

Step 1- On Home Page, Click **Workflow** and then click **Create/Update**. Following window opens up.

Workflow Within Same Organization | Workflow With All Organization

Assessment Period : * 2023-2024

Employee Search by : Code Employee Name Choose Designation

Batch INDIAN REVENUE Choose Cadre

IN PROCESS COMPLETED NOT STARTED

Search

Step 2- Enter Assessment period and code of ORU, then click **Search** button.

Step 3- Click **Create Workflow**.

Smart Performance Appraisal Report Recording Online Window (SPARROW)

Home > Workflow > Employee Search

Employee Search for Assessment - Workflow Creation/Update

Workflow Within Same Organization | Workflow With All Organization

Assessment Period : * 2023-2024

Employee Search by : DUMMY1 Employee Name Choose Designation Email

Batch INDIAN REVENUE SI Choose Cadre Mobile Number

IN PROCESS COMPLETED NOT STARTED

Search

Search: [] Copy PDF CSV Excel Show 10 rows

S.No	Status	Name	Allotment Year/Batch	Employee Code	Designation	Cadre	Action
1	<input type="checkbox"/>	DUMMY1	1900	DUMMY1	-	GROUP A	Create Workflow

Showing 1 to 1 of 1 entries

First Previous 1 Next Last

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Step 4- Following window will open.

Creation of Work Flow - Choosing Workflow Period

S.NO	Assessment Period	Status	Form Type	Actions
1 <input type="checkbox"/>	From: 01/04/2023 To: 31/03/2024	WORKING <input type="button" value="v"/>	ED Deputation FORM <input type="button" value="v"/>	<input type="button" value="Actions v"/>

Step 5- Click **Actions** Button.

Creation of Work Flow - Choosing Workflow Period

S.NO	Assessment Period	Status	Form Type	Actions
1 <input type="checkbox"/>	From: 01/04/2023 To: 31/03/2024	WORKING <input type="button" value="v"/>	ED Deputation FORM <input type="button" value="v"/>	<input type="button" value="Actions v"/> <input type="button" value="+ Continue"/> <input type="button" value="Copy Workflow"/> <input type="button" value="View Officer Created Workflow"/>

Step 6- Click **View Officer Created Workflow**. Custodian will verify it by basic information provided by ORU. If everything is proper, then Click **Copy Workflow**.

eOffice
Smart Performance Appraisal Report Recording Online Window (SPARROW) BACK TO UNIFIED SPARROW SWITCH SERVICE About Help Mr. DUMMY3

Home > Workflow > Define Workflow

Basic Information

Code:	DUMMY1	Name:	DUMMY1	Designation:	-
Service:	INDIAN REVENUE SERVICES-IT (IRS-IT)	Cadre:	GROUP A	Organization:	CBDT-IT-DELHI
Batch:	1900				

Workflow has been copied successfully.

Creation of Work Flow - Choosing Workflow Period

9.7 Copy Workflow

Step 1- On Home Page, Click **Workflow** and then click **Copy Workflow**. Following window opens up.

Step 2- By default, 'Copy Previous year Workflow' is selected. Custodian should not choose to 'Copy Previous year Workflow' as the data may have changed from the previous year. Instead, please click 'Copy Workflow Created by Officer'. Select Assessment period and code of ORU, then click **Search**. Following window will open.

S.No	Select	Name	Allotment Year/Batch	Employee Code	Designation	Cadre	Work Flow Type	From date	To Date	Form Name	Details
1	<input type="checkbox"/>	DUMMY1	1900	DUMMY1	-	GROUP A	Working	01/04/2023	30/06/2023	Deputy/Assistan...	Preview

Showing 1 to 1 of 1 entries

First Previous **1** Next Last

[Copy](#)

Step 3- Click **Preview** button. Custodian views workflow created by ORU and will verify it by basic information provided by ORU.

The screenshot shows the 'Copy Workflow Created by Officer' section of the SPARROW system. The 'Assessment Period' is set to 2023-2024. The search criteria include Employee Name 'DUMMY1', Designation 'Choose Designation', and Cadre 'INDIAN REVENUE S'. A table lists four workflow entries, each with a 'Preview' button highlighted in red. A 'Copy' button is also highlighted in red at the bottom left of the table area.

S.No	Select All	Name	Allotment Year/Batch	Employee Code	Designation	Cadre	Work Flow Type	From date	To Date	Form Name	Details
1	<input type="checkbox"/>	DUMMY1	1900	DUMMY1	-	GROUP A	Working	01/04/2023	30/06/2023	Deputy/Assistan...	Preview
2	<input type="checkbox"/>	DUMMY1	1900	DUMMY1	-	GROUP A	Working	01/07/2023	30/09/2023	Deputy/Assistan...	Preview
3	<input type="checkbox"/>	DUMMY1	1900	DUMMY1	-	GROUP A	Working	01/10/2023	31/12/2023	Deputy/Assistan...	Preview
4	<input type="checkbox"/>	DUMMY1	1900	DUMMY1	-	GROUP A	NRC	01/01/2024	14/03/2024	NO APAR REP...	Preview

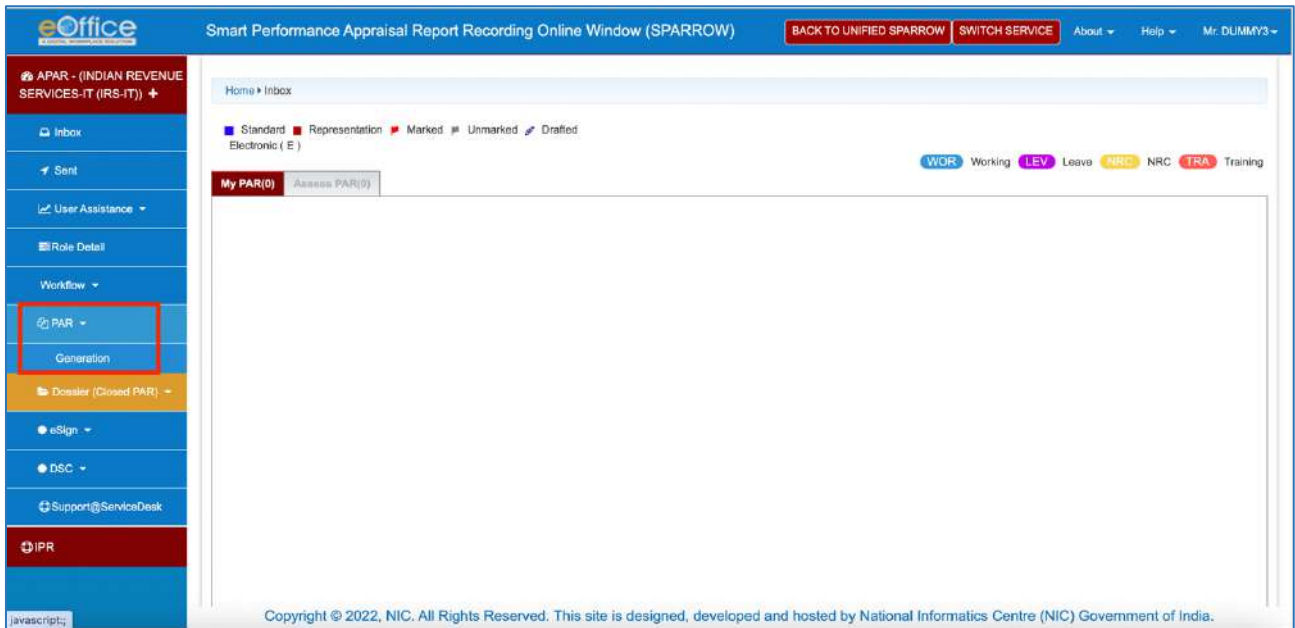
Step 4- If everything is proper, then select/tick those check boxes that Custodian wants to copy and then click at **Copy** button. Workflow has been copied successfully.

The screenshot shows a 'Work Flow Copy Status' dialog box overlaid on the SPARROW interface. The dialog box contains a table with one entry indicating successful copying of the workflow for Officer DUMMY1 from 01/01/2024 to 14/03/2024. A 'CLOSE' button is visible at the bottom right of the dialog box.

Sr. No.	Work Flow Copy Status
1	Workflow has been copied successfully. Of Officer DUMMY1(DUMMY1) From 01/01/2024 to 14/03/2024

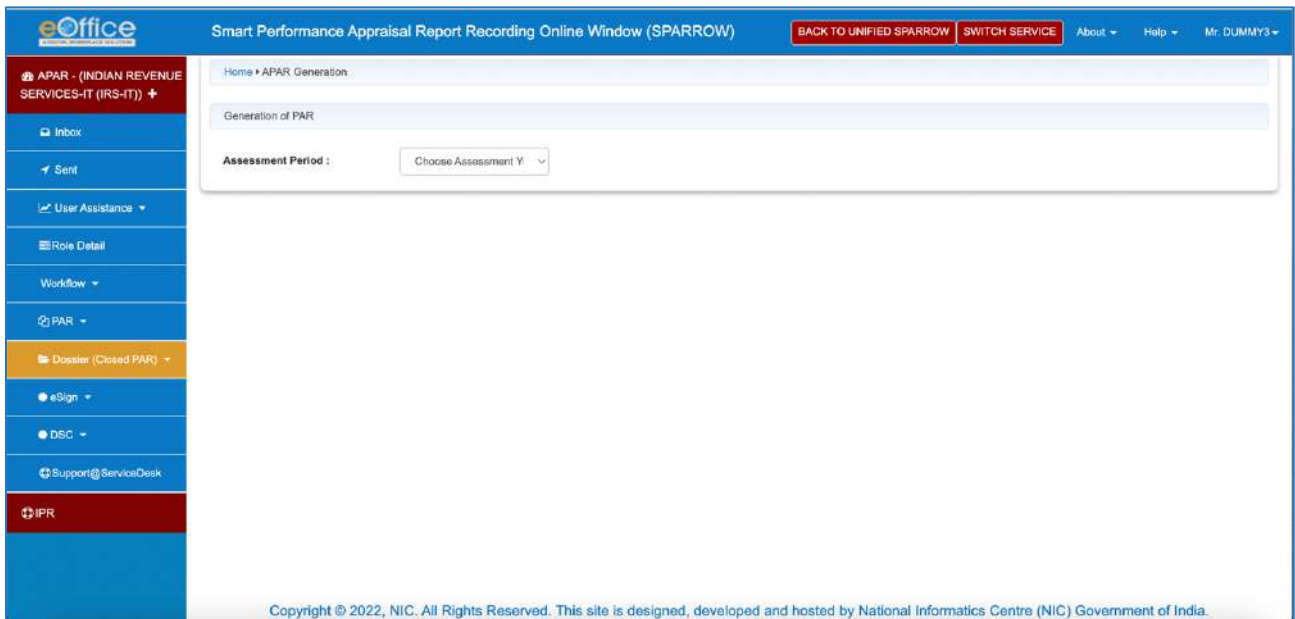
9.8 PAR Generation

Step 1- On Home Page, click **PAR** and then click **Generation**.



The screenshot shows the eOffice SPARROW interface. The top navigation bar includes the eOffice logo, the title "Smart Performance Appraisal Report Recording Online Window (SPARROW)", and buttons for "BACK TO UNIFIED SPARROW" and "SWITCH SERVICE". The user's name "Mr. DUMMY3" is visible in the top right. The left sidebar contains a menu with items like "APAR - (INDIAN REVENUE SERVICES-IT (IRS-IT))", "Inbox", "Sent", "User Assistance", "Role Detail", "Workflow", "PAR", "Generation", "Dossier (Closed PAR)", "eSign", "DSC", "Support@ServiceDesk", and "IPR". The "PAR" and "Generation" items are highlighted with a red box. The main content area shows "Home > Inbox" and a list of filters: "Standard", "Representation", "Marked", "Unmarked", and "Drafted". Below the filters, there are tabs for "My PAR(0)" and "Assess PAR(0)". The footer contains the copyright notice: "Copyright © 2022, NIC. All Rights Reserved. This site is designed, developed and hosted by National Informatics Centre (NIC) Government of India."

Step 2- Select **Assessment Period**.



The screenshot shows the eOffice SPARROW interface with the "PAR" menu item selected. The main content area displays "Home > APAR Generation" and "Generation of PAR". Below this, there is a form with the label "Assessment Period:" and a dropdown menu with the text "Choose Assessment Y.". The footer contains the copyright notice: "Copyright © 2022, NIC. All Rights Reserved. This site is designed, developed and hosted by National Informatics Centre (NIC) Government of India."

Step 3- Enter code of ORU and then **Search**.

Smart Performance Appraisal Report Recording Online Window (SPARROW)

Home > APAR Generation

Generation of PAR

Assessment Period : 2023-2024

Employee Search by :

Employee Code: [] Choose Designation: [] Employee Name: []

Batch: [] INDIAN REVENUE SE: [] Choose Cadre: []

Generated Not Generated

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Step 4- Select/tick those checkbox for which Custodian wants to generate the PAR and then click **Generate** Button.

Smart Performance Appraisal Report Recording Online Window (SPARROW)

Home > APAR Generation

Generation of PAR

Assessment Period : 2023-2024

Employee Search by :

DUMMY1 Choose Designation: [] Employee Name: []

Batch: [] INDIAN REVENUE SE: [] Choose Cadre: []

Generated Not Generated

Search: []

<input type="checkbox"/>	S.No	PAR ID	Form Type	Code	Batch	Name	Designation	From Date	To Date	Quick Action
<input checked="" type="checkbox"/>	1	E	NO APAR/ REP...	DUMMY1	1900	DUMMY1	-	01-01-2024	14-03-2024	<input type="button" value="Generate"/>
<input type="checkbox"/>	2	E	Deputy/Assistan...	DUMMY1	1900	DUMMY1	-	01-10-2023	31-12-2023	<input type="button" value="Generate"/>
<input type="checkbox"/>	3	E	Deputy/Assistan...	DUMMY1	1900	DUMMY1	-	01-07-2023	30-09-2023	<input type="button" value="Generate"/>
<input type="checkbox"/>	4	E	Deputy/Assistan...	DUMMY1	1900	DUMMY1	-	01-04-2023	30-06-2023	<input type="button" value="Generate"/>

Showing 1 to 4 of 4 entries

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Now there will be two different paths- one for “Working” (Step 5 to Step 8) option and another for “NRC” (Step 9 to Step 11) option.

IN CASE OF “WORKING” OPTION

Step 5.1- The PAR will be generated along with PAR-id.

Step 5.2- Now, Custodian has to again carefully see which APAR form ORU wants to fill

- APARs form for **PCIT, Addl/JCIT, DCIT/ACIT** posted in **FAO/JAO**
- APARs form for remaining ORUs

Step 5.3- If APARs form is for **PCIT, Addl/JCIT, DCIT/ACIT posted in FAO/JAO**, Custodian has to select relevant APAR form, as shown in following screenshots.

For PCIT- Custodian has to select relevant APAR form – Faceless Assessing Units or Jurisdictional Assessing Units.

The screenshot displays the 'Smart Performance Appraisal Report Recording Online Window (SPARROW)'. The user is logged in as 'Mr. DUMMY3'. The 'Basic Information' section shows: Name: DUMMY2, Cadre: GROUP A, Service: INDIAN REVENUE SERVICES-IT (IRS-IT), Designation: (blank), Batch: 1900, Assessment Period: 01/04/2022 to 06/07/2022. The 'Form Type' is 'Principal Commissioner of Income Tax/Commissioner of Income Tax/Faceless Assessment Units/ Jurisdictional Assessment Units)_New'. The 'Workflow Details' section shows 'Standard' as the selected workflow. The 'Basic Information' section of the APAR form shows 'Faceless Assessing Units' selected. The 'Annual Performance Appraisal Report For' section shows 'Section I BASIC INFORMATION (To be filled in by the Head of Department)'. The 'Period of Report from : 01/04/2022to 06/07/2022'. The '1. Name of the Officer Reported Upon : DUMMY2', '2. Service : IRS-IT', and '3. Year of recruitment :' fields are visible.

For Addl/JCIT- Custodian has to select relevant APAR form – Faceless Assessing Units or Jurisdictional Assessing Units.

The screenshot displays the 'Smart Performance Appraisal Report Recording Online Window (SPARROW)'. The user is logged in as 'Mr. DUMMY3'. The 'Basic Information' section shows: Name: DUMMY1, Cadre: GROUP A, Service: INDIAN REVENUE SERVICES-IT (IRS-IT), Designation: (blank), Batch: 1900, Assessment Period: 16/07/2022 to 31/03/2023. The 'Form Type' is 'Joint/Additional Commissioner and equivalent(Faceless Assessment Units/ Jurisdictional Assessment Units)_New'. The 'Workflow Details' section shows 'Standard' as the selected workflow. The 'Basic Information' section of the APAR form shows 'Faceless Assessing Units' selected. The 'Annual Performance Appraisal Report For' section shows 'Section I BASIC INFORMATION (To be filled in by the Head of Department)'. The 'Period of Report from : 16/07/2022to 31/03/2023'. The '1. Name of the Officer Reported Upon : DUMMY1', '2. Service : IRS-IT', and '3. Year of recruitment :' fields are visible.

For DCIT/ACIT- Custodian has to select relevant APAR form – Faceless Assessing Officers or Jurisdictional Assessing Officers.

The screenshot displays the 'Smart Performance Appraisal Report Recording Online Window (SPARROW)'. The left sidebar contains navigation options like 'APAR - (INDIAN REVENUE SERVICES-IT (IRS-IT))', 'Inbox', 'Sent', 'User Assistance', 'Role Detail', 'Workflow', 'PAR', 'Dossier (Closed PAR)', 'eSign', 'DSC', 'Support@ServiceDesk', and 'IPR'. The main content area shows 'Basic Information' for a user named 'DUMMY1' with 'Cadre: GROUP A' and 'Service: INDIAN REVENUE SERVICES-IT (IRS-IT)'. The 'Form Type' is set to 'Deputy/Assistant Commissioner/Income Tax Officers and equivalent) (Faceless Assessing officers/Jurisdictional Assessing Officers)_New'. Below this, the 'Workflow Details' section shows 'Basic Information' with buttons for 'Reload PIMS' and 'COPY USER GENERATED DETAIL'. A dropdown menu is open, showing 'Faceless Assessing officers' selected. The form title is 'Annual Performance Appraisal Report For Section I BASIC INFORMATION (To be filled in by the Head of Department) Period of Report from : 01/04/2022 to 15/07/2022'. At the bottom, there are input fields for 'Name of the Officer Reported Upon', 'Service', and 'Year of recruitment'.

Step 5.4- If APARs form is for remaining ORUs, following window will open and Custodian may go to Step 6.

The screenshot displays the 'Smart Performance Appraisal Report Recording Online Window (SPARROW)'. The left sidebar is identical to the previous screenshot. The main content area shows 'Basic Information' for a user named 'DUMMY1' with 'Cadre: GROUP A' and 'Service: INDIAN REVENUE SERVICES-IT (IRS-IT)'. The 'Form Type' is set to 'Deputy/Assistant Commissioner or Deputy/Assistant Director of Income Tax/ Income Tax Officer and equivalent) (Other than Assessing Officer)_New'. Below this, the 'Workflow Details' section shows 'Basic Information' with buttons for 'Reload PIMS' and 'COPY USER GENERATED DETAIL'. The dropdown menu is open, showing 'Jurisdictional Assessing Officers' selected. The form title is 'Section I BASIC INFORMATION (To be filled in by the Head of Department) Period of Report from : 01/10/2023 to 31/12/2023'. At the bottom, there are input fields for 'Name of the Officer Reported Upon', 'Service', 'Year of recruitment', 'Year of allotment', and 'Civil/Employee Code No.'.

Step 6- If ORU has completed his/her Self PAR Generation, Custodian may copy it by clicking at **COPY USER GENERATED DETAIL** button. Otherwise, Custodian can enter details as per basic information manually provided by the ORU.

If Custodian clicks **COPY USER GENERATED DETAIL**, following window will open.

The screenshot displays the 'Smart Performance Appraisal Report Recording Online Window (SPARROW)'. The left sidebar contains navigation options: APAR - (INDIAN REVENUE SERVICES-IT (IRS-IT)), Inbox, Sent, User Assistance, Role Detail, Workflow, PAR, Dossier (Closed PAR), eSign, DSC, Support@ServiceDesk, and IPR. The main content area is titled 'Basic Information' and shows the following details:

- Name: DUMMY1
- Cadre: GROUP A
- Service: INDIAN REVENUE SERVICES-IT (IRS-IT)
- Designation: -
- Batch: 1900
- Assessment Period: 01/10/2023 to 31/12/2023
- Form Type: Deputy/Assistant Commissioner or Deputy/Assistant Director of Income Tax/ Income Tax Officer and equivalent) (Other than Assessing Officer)_New

Below this is a 'Workflow Details' section with a 'Standard' dropdown and a 'Basic Information' sub-section. A 'Reload PIMS' button is visible. The main form area is titled 'Section I BASIC INFORMATION (To be filled in by the Head of Department)' and 'APAR FORM-1'. It specifies the 'Period of Report from : 01/10/2023 to 31/12/2023'. The form contains five numbered fields:

- Name of the Officer Reported Upon : DUMMY1
- Service : IRS-IT
- Year of recruitment : 1900
- Year of allotment : 1900
- Civil/Employee Code No. : DUMMY1

At the bottom, there is a copyright notice: 'Copyright © 2022, NIC. All Rights Reserved. This site is designed, developed and hosted by National Informatics Centre (NIC) Government of India.'

Step 7- Verify Basic information as provided by the ORU. If everything is correct then send it to ORU for writing self-appraisal by clicking **Send to Officer Reported Upon** Button.

This screenshot shows the 'Basic Information' section of the SPARROW system, focusing on questions 16, 17, and 18. The left sidebar is identical to the previous screenshot. The main content area includes:

- Question 16: 'Date of last prescribed medical examination for officers 40 years of age and above. (Attach copy of the summary of the medical report)'. There is a text input field and a trash icon.
- Question 17: 'Position of Staff posted with the officer as on 31st December of the year :'. Below this is a table with three columns: 'Designation', 'Sanctioned Strength', and 'Actual Strength'. The table is currently empty.
- Question 18: 'Has the officer completed APARs of Group 'A' and 'B' officers working under him/her, in respect of the previous reporting year, within the stipulated time?'. There is a large text input field.

At the bottom of the form, there is a 'Date:' field, a 'Signature on behalf of Cadre Controlling Authority' field, and a 'Reference Upload (only pdf files with 3mb maximum size)' section with a 'Choose file' button and 'No file chosen' text. At the very bottom, there are three buttons: 'Save As Draft', 'Send To Officer Reported Upon' (highlighted with a red box), and 'Back'. The copyright notice is also present at the bottom.

Step 8- Use DSC or E-hastakshar (Aadhaar based) to move PAR to next level.

Kindly use the Mozilla Firefox or Internet Explorer browser for

SELECT MODE OF SIGNING

DSC eHastakshar(eSign)

Compatible browser for eHastakshar(eSign):

- Kindly use the Mozilla Firefox or Internet Explorer browser for processing PAR through eSign. If after entering OTP, page is redirected to the Inbox in place of successful PAR submission message, then it shows the eSign has not been completed. In this case please delete history, cookies, cache memory from browser and re-open the browser and submit again.

Before proceeding with eHastakshar(eSign), please follow the instructions given below (only to be performed only once or if the browser gets stuck during eHastakshar(eSign) redirection):

- Click on the links : 1st Link - <https://esignservice1.cdac.in/esignservice2.1/2.1/signdoc> and 2nd Link - <https://esignservice.cdac.in/esignservice2.1/2.1/signdoc>
- After Clicking on the links above if message received is "The request method is inappropriate for the URL", please ignore below steps and click on eHastakshar(eSign)
- If using Mozilla Firefox, then a security warning may appear after clicking on the links in the first step with message as "Your connection is not secure", in that case click on "Add Exception" and "Confirm Security Exception"
- If using Google Chrome, then a security warning may appear after clicking on the links in the first step with message as "Your connection is not private", in that case click on "Click Advance" and "Proceed to link of 1st or 2nd url (Unsafe)"
- Now click on eHastakshar(eSign) in SPARROW

Before proceeding with DSC Signing, please follow the instructions in the link given below:

- DSC Instruction

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IN CASE OF NRC option

Step 9- Following window will open. Click **COPY USER GENERATED DETAIL**. Or if ORU has not submitted the details, Custodian can fill up the details.

Form Type: NO APAR/ REPORT CERTIFICATE NEW

Workflow Details (Kindly click here and verify the Details of Assessing Authorities by hovering the mouse over the respective name.)

Standard

Section!

COPY USER GENERATED DETAIL

NO APAR/ REPORT CERTIFICATE
(For the period from 01/01/2024 to 14/03/2024)

The APAR for the period 2024 (01/01/2024 to 14/03/2024) of DUMMY1 (DUMMY1) could not be written/reported due to the remarks given below:

Reporting Period From	Reporting Period To	Reporting Officer Name	Reporting Officer Designation	Remarks
				Choose Remark

Comments Box :

In view of above facts, "No Report Certificate" is appended for this period.

Save As Draft Send To Competent Authority Back

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Step 10- Verify documents uploaded online/submitted manually by the ORU. If everything is correct, choose proper **Remarks**. Then click **Send to Competent Authority**.

eOffice Smart Performance Appraisal Report Recording Online Window (SPARROW)

Form Type: NO APAR/ REPORT CERTIFICATE NEW

Workflow Details (Kindly click here and verify the Details of Assessing Authorities by how more than 15 days)

Reporting officer forfeited his/her rights to make entry of any comments in prescribed time limit in view of DoPT OM No. 31014/4/83-Estt (A) dated 23.09.1985 and DoPT OM No. 21011/02/2009-Estt (A) dated 16.02.2009.

The officer did not submit his self appraisal timely for the period, therefore after taking appropriate action (DO), NRC is recommended

Any other reason

Reporting Period From	Reporting Period To	Reporting Officer Name	Reporting Officer Designation
01/04/20	14/03/20	Dummy 2	JDIT

Comments Box :

The period under the reporting officer is less than 90 days.

In view of above facts, "No Report Certificate" is appended for this period.

Date: 03/04/2024

Signature
Mr. DUMMY3 (DUMMY3) -

Save As Draft Send To Competent Authority Back

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Step 11- Use DSC or E-hastakshar (Aadhaar based) to move PAR to next level.

eOffice Smart Performance Appraisal Report Recording Online Window (SPARROW)

Home Form Signing

Kindly use the Mozilla Firefox or Internet Explorer browser for

SELECT MODE OF SIGNING

DSC eHastakshar(eSign)

Compatible browser for eHastakshar(eSign):

Kindly use the Mozilla Firefox or Internet Explorer browser for processing PAR through eSign. If after entering OTP, page is redirected to the Inbox in place of successful PAR submission message, then it shows the eSign has not been completed. In this case please delete history, cookies, cache memory from browser and re-open the browser and submit again.

Before proceeding with eHastakshar(eSign), please follow the instructions given below (only to be performed only once or if the browser gets stuck during eHastakshar(eSign) redirection):

Click on the links : 1st Link - <https://esignservice1.odac.in/esignservice2.1/2.1/signdoc> and 2nd Link - <https://esignservice.odac.in/esignservice2.1/2.1/signdoc>

After Clicking on the links above if message received is "The request method is inappropriate for the URL", please ignore below steps and click on eHastakshar(eSign)

If using Mozilla Firefox, then a security warning may appear after clicking on the links in the first step with message as "Your connection is not secure", in that case click on "Add Exception" and "Confirm Security Exception"

If using Google Chrome, then a security warning may appear after clicking on the links in the first step with message as "Your connection is not private", in that case click on "Click Advance" and "Proceed to link of 1st or 2nd url" (Unsafe)"

Now click on eHastakshar(eSign) in SPARROW

Before proceeding with DSC Signing, please follow the instructions in the link given below:

DSC Instruction

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9.9 Where the Reporting officer fails to report the APAR within the time allowed, APAR will be force forwarded to the Reviewing Officer and the Reviewing officer shall **report** the APAR and **No Review Certificate** will be placed in the Dossier.

In such cases, where the Reviewing officer is initiating the APAR of the ORU due to being force forwarded to him/her, No Review Certificate has to be issued **manually by the Primary Custodian** and the same shall be uploaded on SPARROW before disclosing the APAR to the Officer Reported Upon (ORU).

9.10 It is the responsibility of Primary Custodian to ensure that APAR is generated electronically for all officers working in the region as on date, including the officer who have gone on long leave, training, study leave etc.

9.11 Whenever there is a change in Primary/Alternate Custodian, office of Pr.CCIT(CCA) must promptly inform the same to HRD for making necessary updation in the system.

9.12 Whenever the Primary Custodian force-forward the APAR to the next stage, it is **mandatory** for the Primary Custodian **to mention reasons of force-forwarding** in detail in the **Remarks** section.

9.12 After PAR generation, if required, corrections can be made in following ways:

- **Time period** of APAR and **Form Type** can never be changed once PAR is generated. If correction is required, only option is to delete and generate again.
- If correction is required in Basic Information after generation of PAR, Primary Custodian has access to update it eg DOB, designation, training, leave etc.
- Primary Custodian has access to change Reporting or Review officer name if there is some mistake. If APAR is pending with ORU, Primary Custodian has access **to change both Reporting and Reviewing** officer name. If APAR is pending with Reporting officer, Primary Custodian has access **to change only Reviewing officer** name.
- **Deletion of APAR:** If APAR is pending at the level of Reporting officer, Primary Custodian has access to delete it.
- **Updation of NRC and Deletion of NRC** can be done only at HRD level on written request from Primary Custodian.

Chapter 10 - Non-filing or delay in filing, reporting or reviewing APARs

Consequences of non-filing or delay in filing, reporting or reviewing APARs

10.1 APAR deficiencies are one of the main reasons for delay in holding DPCs. The DPCs/Screening Committees have taken an adverse view that a large number of NRCs are drawn in respect of IRS(IT) Officers due to non-reporting or non- reviewing of APARs by the Reporting Officers/Reviewing Officers on time or delayed submission of self-appraisals by the ORUs.

10.2 Reference is invited to the DoPT OM No. 35014/4/83-Estt.A dated 23rd September 1985 and DoPT OM No. 21011/02/2009-Estt.A dated 16th February 2009 regarding timely preparation and proper maintenance of APARs. Accordingly, detailed instructions were issued vide letter F.No. HRD/PM/APAR/403/SPARROW/2021-22 /1088, dated 18/02/2022 on **Timely completion of APARs as per the timelines of the DoPT by Group A & Group B Officers of the Income Tax Department. The guidelines are as**

- i. **If no self-work flow is created or no self-appraisal is submitted by the ORU within DoPT timelines (i.e. 30th April):** If the ORU does not create self-workflow or does not submit self-appraisal by the due date, the ORU **shall be considered as a defaulting officer**. If no self-workflow is created by the ORU, the Primary Custodian shall create workflows of such ORUs after obtaining Basic Information of the ORU from the concerned DDOs and initiate their APARs by 15th May. Where the self-appraisal is not submitted by the ORUs, the Primary Custodian shall force forward all such blank APARs to the Reporting Officers by 31st May mentioning reasons in the comments section.
- ii. **If the Reporting Officer does not report the APAR within DoPT timeline (i.e. 30th June):** The Reporting Officer shall forfeit the right to enter any remarks in the APAR, and the APAR shall be **FORCE FORWARDED** on SPARROW by the concerned Primary Custodian to the Reviewing Officer on the next working day. In such situations, **the Reviewing Officer shall report the APAR and a No Review Certificate will be placed in the Dossier.** While reporting the APAR in such cases, the Reviewing Officer shall report about the **INTEGRITY** of the ORU also. The Reporting Officer shall be considered as a defaulting officer in such cases.
- iii. **If the Reviewing Officer does not review the APAR (which has been duly reported by the Reporting Officer) within DoPT timeline (i.e. 31st July):** The Reviewing Officer shall forfeit his right to enter any remarks in the APAR and the APAR shall be **FORCE FORWARDED** by the Primary Custodian to the next stage. A No Review Certificate would be placed in the Dossier in such a case. The Reviewing Officer shall be considered as a defaulting officer in such cases.
- iv. **Where no self-appraisal was submitted by the ORU AND both the Reporting Officer and Reviewing Officer also not reported APAR within timelines:** A **No APAR Certificate**, mentioning all the facts, shall be placed in the Dossier.

The Primary Custodian shall mention all facts regarding non-submission of self-appraisal by ORU, non-reporting by Reporting Officer and non-reporting by the Reviewing Officer in remarks section while force forwarding the APAR to next stage. These remarks shall have heading of 'No APAR Certificate'. The ORU, the Reporting Officer and the Reviewing Officer shall be considered as defaulting officers in such cases.

- v. In the month of October, the Primary Custodian shall **prepare a list of such defaulting officers**, i.e.
 - a. ORUs, who have not created self-workflow and/or not submitted self-appraisal within timeline (i.e. 30th April),
 - b. Reporting Officers, who have not reported APARs within the timeline (i.e. 30th June),
 - c. Reviewing Officers, who have not reviewed the APARs (or not reported the unreported APARs) within timeline (i.e. 31st July).
- vi. In case the defaulting officer is up to the level of PCIT, the Primary Custodian shall submit this list to the Pr.CCIT(CCA) concerned. Where the defaulting officer is of the level of CCIT & above, the Primary Custodian shall send this list to the Pr.DGIT(HRD).
- vii. The Pr.CCIT(CCA) may **call for the explanation of the concerned officers (up to the level of PCIT) for not having performed the public duty of writing the APARs within the due date and in the absence of proper justification may direct that a written warning/advisory for the delay in completing the APAR be placed in the APAR folder of the defaulting officer concerned**. For the ORUs, who are on deputation, the Pr.DGIT(HRD) may call for the explanation as above. In the cases of the defaulting officers of the level of CCIT & above, the Pr.DGIT(HRD) may call for the explanation as above after approval from the Chairman, CBDT.
- viii. In such cases where the Reporting officer or Reviewing Officer have forfeited their right to make any entry in the APAR of the ORU (although the self-appraisal had been submitted by the ORU in time), the APAR format with the self-appraisal submitted by the ORU will be placed in the APAR dossier of the ORU.
- ix. **If the APAR is not accepted/represented by the ORU within 15 days of communication**; The ORU will forfeit right to make any representation and the APAR shall be force forwarded/closed by the Primary Custodian (mentioning reasons of force closing in remarks section).
- x. The whole exercise of closure of APAR cycle after disposing all representations and issuing of written warning/advisory to defaulting officers shall be completed by 30th November.
- xi. **1st April to 15th April will be observed as "APAR Fortnight" in the Department every year to enhance timely compliance.**

10.3. As per the above instructions, the duties/ responsibilities of the various officers/ sections regarding APARs shall be as under:

Table A : Responsibilities of the Officer Reported Upon (ORU)

Timeline	Responsibility	Action upon failure
Immediately after 31 st March (advisable to do it in the first week of April only)	<ul style="list-style-type: none"> i. Login to SPARROW account; ii. Create self-work flow correctly and save it; iii. Prepare basic information correctly filling all 18 points, get it verified from the ODO and send it to the respective Primary / Alternate Custodian for initiation of APAR 	<p>The explanation shall be called for by -</p> <p>Pr.CCIT(CCA): for ORUs upto PCIT level</p> <p>Pr.DGIT(HRD): for ORUs who are on deputation</p> <p>Pr.DGIT(HRD): for ORUs of CCIT & above levels with prior approval of the Chairman, CBDT.</p>
By 30 th April	Submit self-appraisal to the Reporting Officer online on SPARROW portal	
Within 15 days from the date of receipt of communication of APAR	<ul style="list-style-type: none"> i. Accept the APAR ii. Or submit a representation on the SPARROW portal 	If not accepted/represented within 15 days of communication, the ORU shall forfeit right to make any representation and the APAR shall be force closed by the Primary Custodian.
Within 15 days from change of Reporting Officer (due to transfer / retirement / any other reason) anytime during the year	<ul style="list-style-type: none"> i. Login to SPARROW account; ii. Create self-work flow correctly and save it; iii. Prepare basic information correctly filling all 18 points, get it verified from the ODO and send it to the respective Primary / Alternate Custodian for initiation of APAR; iv. After initiation of APAR by the Custodian, submit self-appraisal to the Reporting Officer 	

Table B: Responsibilities of the Reporting Officer

Timeline	Responsibility	Action upon failure
After 30 th April up to 30 th June	<p>i. Report the APARs of all such ORUs whose performance has been observed for more than 3 months.</p> <p>ii. Where the ORU had not created self- <u>workflow</u> and/or <u>had not submitted self-appraisal</u>, then after completing the process of initiating the APAR by the Primary Custodian, the Reporting Officer will report the APAR on the basis of the experience of the work and conduct of the ORU. While doing so, the Reporting Officer can also point out the failure of the ORU to create self-workflow within the stipulated time and/or submit self-appraisal within the stipulated time.</p>	<p>i. The explanation shall be called for by -</p> <p>Pr.CCIT(CCA): for defaulting Reporting Officers upto PCIT level</p> <p>Pr.DGIT(HRD): for defaulting Reporting Officers of CCIT & above levels with prior approval of the Chairman, CBDT</p> <p>ii. Reporting Officer shall forfeit right to enter any remarks in the APAR of the ORU beyond 30th June.</p>
Comments on representation	The Reporting Officer may send his/her comments as sought by the Primary Custodian on representation within 15 days.	If no comments are received within 15 days, the Primary Custodian will proceed further for disposal of the representation without such comments.
Within one month of retirement/ VRS	The Reporting Officer is expected to report the APARs submitted by the ORUs to him within one month of his retirement/ VRS.	

Table C: Responsibilities of the Reviewing Officer

Timeline	Responsibility	Action upon failure
<p>After 30th June up to 31st July</p>	<p><u>Where ORU has submitted self-appraisal</u></p> <ul style="list-style-type: none"> i. Review the APARs of the ORUs which have been received after reporting by the concerned Reporting Officers. ii. If the Reporting Officer did not report in time and the APAR has been received by the Reviewing Officer force forwarded by the Primary Custodian, the Reviewing Officer shall report the APAR and shall report about the INTEGRITY of the ORU also. <p><u>Where ORU has not submitted self-appraisal</u></p> <ul style="list-style-type: none"> i. After initiation of APAR by the Primary Custodian, if the Reporting Officer has reported the APAR within time, the Reviewing Officer shall review the APAR. ii. After initiation of APAR by the Primary Custodian, if the Reporting Officer also failed to report the APAR within due date and the blank APAR is force forwarded to the Reviewing Officer, the Reviewing Officer will proceed to report the APAR on the basis of the experience of the work and conduct of the ORU. While doing so, the Reviewing Officer can also point out the failure of the ORU to submit self-appraisal within the stipulated time and failure of the Reporting Officer to report the APAR within the stipulated time. The Reviewing Officer shall report about the INTEGRITY of the ORU also. After reporting this APAR, the Reviewing Officer will submit the APAR to CR Section. 	<ul style="list-style-type: none"> i. The explanation shall be called for by - <ul style="list-style-type: none"> Pr.CCIT(CCA): for defaulting Reviewing Officers upto PCIT level Pr.DGIT(HRD): for defaulting Reviewing Officers of CCIT & above levels with prior approval of the Chairman, CBDT iii. The Reviewing Officer shall forfeit right to enter any remarks in the APAR of the ORU beyond 31st July.
<p>Comments on representations</p>	<p>The Reviewing Officer may send his comments as sought by the Primary Custodian within 15 days.</p>	<p>If no comments are received within 15 days, the Primary Custodian will proceed further for disposal of the representation without such comments.</p>

**Table D: Responsibilities of the Primary Custodian /Alternate Custodian/
the APAR section**

Timeline	Responsibility
From 1 st to 30 th April	<ul style="list-style-type: none"> i. The Primary/Alternate Custodians shall keep reminding all officers of their charge from time to time to create self-work flow for APAR on the SPARROW portal. ii. They shall initiate APARs promptly as and when self-work flow is received on SPARROW from the ORUs.
After 30 th April up to 15 th May	<ul style="list-style-type: none"> i. The Primary Custodian shall prepare a list of such ORUs who have not created self-workflow. ii. The Primary Custodian shall get Basic Information of such ORUs from their DDOs in the format for Basic information. The DDOs shall prepare and verify the basic information on the basis of service books/records. iii. Then the Primary Custodian shall create workflow of such ORUs and initiate their APAR. iv. The Alternate Custodians shall assist the Primary Custodian in this process.
By 15 th May	If the Primary Custodian finds any APAR still pending in the account of any ORU, the Primary Custodian shall force forward that blank APARs to the Reporting Officers concerned for reporting (mentioning reasons of force forwarding in remarks section).
From 16 th May up to 30 th June	The Primary/Alternate Custodians shall keep reminding all Reporting Officers of their charge to report the APARs on SPARROW portal.
Next Working day after 30 th June	Where the Reporting Officers have not reported the APARs till 30 th June, the Primary Custodian shall FORCE FORWARD all such unreported APARs (mentioning reasons of force forwarding in remarks section) to the next stage (i.e. to the concerned Reviewing Officers). Then the Reviewing Officers shall report such APARs.
1 st July to 31 st July	The Primary/Alternate Custodians shall keep reminding all Reviewing Officers of their charge to review the APARs (which have been duly reported by the Reporting Officers) or report the APARs (where the Reporting Officers had forfeited rights to report due to non-reporting within due date) on SPARROW portal.
Next working day after 31 st July	The Primary Custodian shall FORCE FORWARD all such APARs to the CR section (mentioning reasons of force forwarding in remarks section), where the Reviewing officers have not reviewed or reported the APARs, as the case may be, within due date.
1 st August To 1 st September	The Primary Custodian shall disclose the reviewed APARs on SPARROW portal to the concerned ORUs. The Primary Custodians should disclose the APARs immediately as and when the reviewed APARs are received by the CR section. In any case, this process must be completed by 1 st September.
By mid-September	Categorize the representations received on the SPARROW portal as and when received and take action as indicated below:

	<p>(a) <u>Representations of CIT and above:</u> The HRD will seek comments/views of the Reporting and Reviewing Officers concerned on such representations and submit the same to the Competent Authority for decision.</p> <p>(b) <u>Representations of officers below CIT level where the Competent Authority is Board:</u></p> <p>If representation pertains to any officer of the grade of Addl.CIT or below and where the Pr.CCIT is reporting or reviewing officer and the Competent Authority is Zonal Member or Hon'ble Chairperson, the Primary Custodian concerned shall get the comments/views of the Reporting and Reviewing Officers concerned on the representations. After receipt of the comments/views of the Reporting and Reviewing Officers, the representation along with these comments/views should be sent to the HRD for putting up to the Competent Authority at CBDT level. If no comments are received within 15 days from the Reporting/Reviewing Officers, only the representation should be sent to the HRD mentioning the facts that comments have not been received.</p> <p>(c) <u>Where the Competent Authority to decide the representations are upto Pr.CCIT(CCA):</u></p> <p>The Primary Custodian concerned shall obtain the comments/views of the Reporting and Reviewing Officers concerned on the representations. After receipt of the comments/views of the Reporting and Reviewing Officers, the Primary Custodian shall put up / send the representation along with the comments/views of the Reporting and Reviewing Officers to the concerned Competent Authority for disposal with a request to dispose the same within one month from the date of receipt of representation. The Competent Authority may also be requested to dispose of the representation by passing detailed reasoned speaking order in view of the OMs dated 13th April 2010, 19^h May 2011 and 31st January 2014 of the DoPT. If no comments are received within 15 days from the Reporting/Reviewing Officers, the Primary custodian may proceed further without these comments.</p>
First week of October	<p>i. Prepare a list of following defaulting officers:</p> <p>a) ORUs, who had not created self-work flow on SPARROW or not submitted self- appraisal within timeline (i.e. upto 30th April)</p> <p>b) Reporting Officers, who did not report APARs within timeline (i.e. 30th June)</p> <p>c) Reviewing Officers, who did not review APARs within timeline (i.e. 31st July)</p> <p>ii. Submit the above details to</p> <p>Pr.CCIT(CCA): for defaulting officers upto PCIT level</p> <p>Pr.DGIT(HRD): for defaulting officers of CCIT & above levels</p>
By 15 th October	<p>1. <u>Primary Custodian of Pr.CCIT(CCA):</u> Issue Show Cause Notices seeking explanations from the defaulting officers (upto PCIT level) after approval</p>

	<p>of the Pr.CCIT(CCA).</p> <p>2. <u>Primary Custodian of Pr.DGIT(HRD)</u>: Issue Show Cause Notices seeking explanations from the defaulting officers (who are on deputation) after approval of the Pr.DGIT(HRD).</p> <p>3. <u>Primary Custodian of Pr.DGIT(HRD)</u>: Issue Show Cause Notices seeking explanations from the defaulting officers (of the level of CCIT & above) after approval of the Chairman, CBDT.</p>
By 15 th November	<p>In respect of Representations</p> <p>i. Upload the decision of the Competent Authority on representations on the SPARROW portal.</p> <p>In respect of Defaulting Officers</p> <p>ii. After receipt of the explanations from the defaulting officers, the Primary Custodian shall get decisions on the same from the Competent Authority [Pr.CCIT(CCA)/Pr.DGIT(HRD)/Chairman(CBDT)] and place an appropriate warning/advisory in the APAR dossier of the defaulting officers as per the decision of the Competent Authority.</p>
By 30 th November	<p>Close the APAR cycle on the SPARROW portal after preparing NRCs wherever applicable mentioning detailed reasons of the NRCs. NRCs upto the PCIT level are to be drawn by the Primary Custodian. NRCs of CCIT & above and of deputation officers shall be drawn by the HRD.</p> <p>Where the Reporting officer or Reviewing Officer have forfeited their right to make any entry in the APAR of the ORU, the APAR format with the self-appraisal submitted by the ORU will be placed in the APAR dossier of the ORU.</p>

10.4. The stage at which an officer becomes a "**Defaulting Officer**" along with actions to be taken is further clarified as under:

Table E: Summary of actions as per various situations

S. No.	Self-appraisal Stage	Reporting Stage	Reviewing Stage	Remarks
(i)	Submitted within timeline	Reported within timeline	Reviewed within timeline	APAR will be disclosed by the Primary custodian.
(ii)	Submitted within timeline	Reported within timeline	Not reviewed within timeline	Reviewing Officer would be defaulting officer and No Review Certificate would be placed in dossier mentioning all facts.
(iii)	Submitted within timeline	Not reported within timeline	Would be force forwarded to Reviewing Officer who will Report	Reporting Officer would be defaulting officer and No Review Certificate would be placed in dossier mentioning all facts.

(iv)	Submitted within timeline	Not reported within timeline	Force forwarded to Reviewing Officer but not Reported by Reviewing Officer also within timeline	Both Reporting and Reviewing Officers would be defaulting officers and the APAR filed by the ORU shall be placed in the dossier with a certificate mentioning all facts.
(v)	Not submitted within timeline	Reported within timeline after initiation of APAR by Primary Custodian	Reviewed within timeline	ORU would be defaulting officer. APAR will be disclosed by the Primary custodian.
(vi)	Not submitted within timeline	Not reported within timeline even after initiation of APAR by Primary Custodian	Would be force forwarded to Reviewing Officer who will Report	ORU and Reporting Officer would be defaulting officers as per para 4(v to vii) above and No Review Certificate would be placed in dossier mentioning all facts.
(vii)	Not submitted within timeline	Not reported within timeline even after initiation of APAR by Primary Custodian	Force forwarded to Reviewing Officer but not Reported by Reviewing Officer also within timeline	ORU, Reporting Officer and Reviewing Officer would be defaulting officers and No APAR Certificate would be placed in dossier mentioning all facts.
(viii)	Submitted after 30 th April up to 15 th May	ORU would be defaulting officer. Rest actions shall be as per situation mentioned above.		

10.5. For any other circumstances in which NRCs are to be issued, the extant DoPT guidelines shall apply.

10.6. Whenever the Primary Custodian force-forwards the APAR to the next stage, it is **mandatory** for the Primary Custodian **to mention reasons of force-forwarding** in detail in the **Remarks** section.

Chapter 11 - Contact Points

For any query related to SPARROW and any feedback on the compiled guidelines, SPARROW team at HRD may be contacted:

email : Sparrow.hrd@incometax.gov.in

Phone : 011-21420422

Annexure- Proforma for filling up of Basic Employee Information

Section I- Basic Information

(To be filled in by the Head of Department)

1. Name of the officer reported upon:

2. Service: 3. Year of recruitment : 4. Year of allotment:

5. Civil/Employee Code No.

6. Date of Birth:

7. Present Grade:

Date of continuous appointment to the present grade

8. Present post held by the officer during the period reported upon:

9. Date of appointment to present post:

10. Reporting and Reviewing Authority*

	Name & Designation	Period Worked
Reporting Authority	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>
Reviewing Authority	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>

* Please mention names of the officers who are going to report and review this period of your APAR.

11. Period of absence on leave etc.

	Period	Type	Remarks
On Leave (specify type)	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>
Others (specify)	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>

12. Education and training programs for which nominated and attended

Nominated	Attended	Institute	Subject	Reason for non-attendance

13. Awards/Honours books publications including journals :

14. Penalties, if any, imposed during the year :

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15. Date of filing the annual immovable property return for year ending December

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16. Date of last prescribed medical examination for officers 40 years of age and above.
(Attach copy of the summary of the medical report)

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17. Position of Staff posted with the officer as on 31st December of the year.

Designation	Sanctioned Strength	Actual Strength

18. Has the officer completed APARs of Group 'A' and 'B' officers working under him/her, in respect of the previous reporting year, within the stipulated time?

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Signature of Officer Reported
Upon

It is verified that the above details are correct as per the office record/service record of the officer.

Name and Signature of the DDO

Date:
