



Swamy's Compilation on
CONFIDENTIAL REPORTS
of
Central Government Employees

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OF
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Confidential Reports

Digest

1. Object

1. The performance of every Government servant is assessed annually through his confidential reports. Hence, confidential reports are of immense importance in his career. The importance is in the interest of efficiency of service and also of the officers, for the work, conduct, character and capabilities of the officer reported upon can be accurately judged from the recorded opinion.

2. It is in the interest of every Government servant that he should know how well or otherwise, he is performing the job assigned to him. In fact, he would be more interested to know particularly his defects and shortcomings, which would affect his career advancement in the long run. Unless he comes to know of them in time and overcomes them by taking remedial measures, he cannot plan his career development in a systematic manner.

3. Thus the system of confidential reports has two principal objectives. First and foremost is to improve the performance of the subordinate in his present job. The second one is to assess his potentialities and provide him appropriate feedback and guidance for correcting his deficiencies and improve his performance.

4. The confidential reports provide the basic and vital inputs for assessing the performance of an officer and his advancement in his career as also to serve the data for judging his comparative merits when questions arise of confirmation, promotion, selection grade, crossing efficiency bar, continuance in service beyond certain age or completion of certain years' service. Government have accepted the principle that these factors should be based solely on the assessment of the confidential dossiers.

2. Periodicity of writing

1. The assessment of the performance of Government servant should cover a definite period over which it is possible to form a reasonably correct assessment. With this end in view, confidential reports are recorded for the period covered by the financial year.

2. Normally there should be only one report covering the year. There may, however, be occasions where it becomes necessary to write more than one report

during a year by different Reporting Officers, when the Reporting Officer or the officer reported upon, is transferred or deputed elsewhere for a period of more than three months, etc. In that event, the condition stipulated is that, the Reporting Officer has at least three months' experience on which he can base his report on the officer reported upon. When more than one report is written, each report should indicate precisely the period covered by it. If the period of observation happens to be less than three months, this fact only need be indicated in the report. At any rate, a report must be written invariably at the end of the year which must be done within one month.

3. When a report does not cover an earlier period during the year, the Reporting Officer should mention at the top of the report the period of gap indicating the reasons for which report could not be written for the period.

4. The annual report should be recorded within one month of the expiry of the report period. Any delay in this regard should be adversely commented upon. If there is delay in submission of self-appraisal by the officer reported upon, the Reporting Officer should give the report without self-appraisal making a suitable note.

3. How to be written

1. In view of its utmost importance, a confidential report should necessarily be prepared scrupulously and carefully after following the procedure prescribed and personally assessing the performance of the public servant. The report should be based on an objective assessment of the work quality of the officer reported upon. The officer recording the remarks must realise the importance of entries made by him and write them with the greatest possible care. Slightest default or negligence on the part of the Recording Officer may lead to grave injustice to the officer reported upon by marring his future.

2. The Reporting Officer should not be in a hurry to write the reports on all the officers working under him on a single day. He should, however, write them within the period stipulated.

3. The forms have been devised with a view to ensuring maximum objectivity in the preparation of the report. In filling up the forms, tick marks and dashes should not be used. Both the Reporting and the Reviewing Officers should indicate their opinion by writing out in full the appropriate alternatives which best describe the officer's qualities.

4. Cryptic, vague or non-committal remarks are to be avoided. Sometimes entries may not be sufficiently meaningful. Such reports should be returned to the Reporting Officer for reconsideration, amplification or explanation.

4. By whom to be written / countersigned

1. Except in cases where there is only one supervisory level above the officer reported upon, it has been laid down that in order to ensure a greater degree of objectivity and fairness, the confidential report of every employee

should contain the assessments of more than one officer. A two-tier system of reporting has been provided to minimize the operation of the subjective human element and of conscious/unconscious bias in reporting. The judgment of the immediate superior, though fair, might sometimes be too narrow and subjective to do justice to the officer reported upon. The confidential report is prepared by an officer (Reporting Officer) who has the opportunity to personally watch the work and conduct of the employee which has to be further reviewed by the next authority (Reviewing Officer).

2. The Reviewing Officer who has to countersign the report should consider it his duty to personally know and form his own judgment of the work and conduct of the officer reported upon. He should exercise positive and independent judgment on the remarks of the Reporting Officer under different detailed headings in the form of the report as well as on general assessment. He should express clearly his agreement or disagreement with those remarks, more particularly in regard to adverse remarks. He is also free to make his own remarks on points not mentioned by the Reporting Officer, particularly when the report is too brief, vague or cryptic.

3. There is no provision for any authority other than the Reporting Officer and the Reviewing Officer for recording his remarks/comments of the work and conduct of an officer, in his confidential record.

4. Specific instructions are available in the following cases:—

	Order
(a) Transfer of Reporting and/or Reviewing Officer in the middle of the year	(7)
(b) When there is no Reporting Officer having the requisite experience	(10)
(c) Writing of Report by an officer under suspension ...	(12)
(d) When Reporting / Reviewing Officer is related to the Government servant	(13)
(e) When the Reporting Officer / Reviewing Officer retires	(14)
(f) Where the Reviewing Officer is not sufficiently familiar with the work of the Government servant ...	(17)
(g) In the case of officers on deputation ...	(40)
	& (41)
(h) Writing on officers appointed on contract	(51)

5. What it should contain

1. It is well settled that confidential report should be performance-oriented, based on an objective assessment of the performance of the officer reported upon.

2. A confidential report should give full particulars of the official such as his name, designation and the office in which he works. Below the signature of

the Reporting Officer and Countersigning Officer, both their names and designations should be written in capital letters or their rubber stamps affixed.

3. An assessment of certain qualities of general importance such as integrity, intelligence, keenness, industry, tact, attitude to superiors and subordinates, relations with fellow-employees, etc., should invariably find place in the report. In addition to the above, every confidential report should carry a general appreciation of the character, conduct and aptitudes and shortcomings of the officer reported upon. Suitable entries may also be made on points like, the fact the officer has attended an approved course of training or study, a substance of the report received from the head of such institution, outstanding performance in the field of sports, athletics and art, whether there is any physical defect, such as bad eye-sight, etc. It should also contain a summing up in general terms of the officer's good and bad qualities. Entries should normally reflect both the 'good' and the 'adverse aspects' in regard to the performance of the individual concerned.

4. There should be no hesitation on the part of the Reporting Officer to record adverse remarks in justified cases. Such entries should, however, be based on established facts and not on mere suspicion. Remarks like "doubtful character", "complaints received about taking illegal gratification", are not permissible.

5. An entry relating to penalty awarded should be recorded in the report for the year in which the punishment order is issued, indicating the period to which the incidents leading to the disciplinary proceedings relate.

6. Reference to specific incidents may be made, if at all, only by way of general nature, e.g., inefficiency, dilatoriness, lack of initiative or judgment, etc.

7. There may be cases where a specific incident is not important enough to call for disciplinary proceedings, but requires special mention in the confidential report. Before making such an entry, the Reporting Officer should satisfy himself that his own conclusion has been arrived at only after a reasonable opportunity having been given to the official to present his case relating to that incident.

8. Every warning/reprimand/displeasure issued in writing need not automatically find a place in the confidential report. Only cases in which despite such warning, etc., the officer has not improved, appropriate mention of such warning, etc., may be made in the confidential report.

9. Detailed instructions are available on the procedure for filling up the column relating to "integrity" *vide* Order (18) and *Instructions* at the end of forms.

10. It should be ensured that no employee is adversely affected by prejudicial reports recorded without proper consideration. At the same time, none should be rewarded for extraneous considerations by excessively flattering

reports which are not based on facts, which may prejudice just claims of relatively deserving officials.

6. Result / performance-oriented appraisal system

1. With a view to have the quantitative and qualitative assessment of work performed by a Government servant with which are related rewards and punishments, reflected in his confidential report, result-oriented performance appraisal system has been introduced. Under this system, except in the case of clerical and other categories of officials doing jobs of a repetitive nature, every official at the end of each year should submit a brief resume, not exceeding 300 words, of the work done by him during the year, bringing out any special achievements. This should be precise to the point and refer only to the areas of his responsibility.

2. The resume which forms part of the confidential report should be submitted to the Reporting Officer, who, after taking due note make his own comments and assessments and submit the entire record to the Reviewing Officer. One should be careful in making the self-appraisal. Though one may indulge in a little bit of self-praise, it should be ensured that this does not unduly prejudice the Reporting and Reviewing Officers, and the scope for disagreement is reduced to the absolute minimum.

3. Nothing prevents the Reporting Officer to point out the inadequacies or exaggerations, if any, in the self-appraisal and ask the officer if he would like to reconsider it, which may reduce disagreement to the minimum.

4. The grading of the officer has to be done by the Reporting Officer. Grading 'outstanding' should be only when the officer has exceptional qualities and performance. The ground for giving such a grading should be clearly brought out.

5. The Reviewing Officer is to add his own comments and also do the grading in regard to fitness for promotion.

7. Communication of adverse entries

1. It is the duty of every Reporting Officer not only to make an objective assessment of his subordinate's work and qualities, but also to give him at all times the necessary advice, guidance and assistance to correct his faults and deficiencies. It is, therefore, necessary that every Government servant should know what his defects are so that he could try to remove them. It has been provided that all adverse entries in the confidential report, both on performance as well as basic qualities and potential and also remediable and irremediable defects, should be communicated to the Government servant concerned.

2. The communication should be in writing and by the Reviewing Officer or by the Reporting Officer in case there is no Reviewing Officer.

3. Great attention is to be paid to the manner and method of communication. The memo should be couched in such a language as it does not produce a sense of resentment in the officer receiving it, but he takes it as a chance to try and improve himself in respect of those defects. If there are any good points worth mentioning in praise of the Government servant, such as his having made efforts to remedy or overcome defects pointed out in the earlier report, the same should also be mentioned along with communication of the defects.

4. A copy of the communication with the official's acquittance should be kept in the CR Dossier. The fact of communication should also be recorded in the report itself, by the authority communicating the same.

5. While communicating the adverse remarks, it is not normally necessary to disclose the identity of the officer who made the adverse remarks.

6. Remarks about physical defects noted in the confidential report need not be communicated.

7. The grading of the officer done on the basis of general remarks in the report should not also be communicated, even if it happens to be adverse.

8. Adverse remarks are to be communicated within a period of one month from the date they are recorded, which should in turn be done within one month of the expiry of the report period.

9. While communicating the adverse remarks to the Government servant, the time-limit prescribed, viz., one month, within which representation is to be submitted, should be specifically brought to his notice.

8. Representation against adverse remarks

1. Only one representation against adverse remarks should be allowed within one month of the date of communication of such remarks.

2. Representation will lie to the authority immediately superior to the countersigning authority, if any, or to the Reporting Officer. If the immediate superior had already reviewed the confidential report in question and also expressed his view, either agreeing or disagreeing with the adverse remarks recorded and accepted by the countersigning authority, in that event the representation lies to the next higher authority.

3. A representation against adverse remarks should be decided by the Competent Authority within three months from the date of submission of the representation. If necessary, he may consult the Reporting Officer and the countersigning authority.

4. If the Competent Authority feels that there is no sufficient ground for interference, the representation should be rejected and the petitioner informed accordingly.

5. If, however, it feels that the remarks should be toned down, it should make necessary entry separately with proper attestation at the appropriate place of the report. The correction should not be made in the earlier entries.

6. If the Competent Authority comes to the conclusion that the adverse remarks are inspired by malice or were entirely incorrect or unfounded and therefore deserves expunction, it should order accordingly.

7. When a representation against adverse remarks is wholly or partially upheld, a copy of the order should be recorded in the report itself.

8. If the remarks are ordered to be expunged, they should be effectively obliterated both in the confidential report as well as in the copy of the letter communicating those remarks.

9. Where a penalty is set aside on an appeal/review, the copy of the punishment order should be removed from the CR file as well as the adverse remarks recorded on the basis of the penalty expunged. Where the penalty is modified, the entry in the confidential report originally made on the basis of the penalty awarded, should also be suitably modified accordingly.

10. In a case where the Competent Authority comes to the conclusion that the remarks deserve expunction and that after such expunction the relevant column would be left blank, it should order modification of the relevant remarks in a suitable manner so that the column is not allowed to remain blank.

11. Adverse remarks should not be deemed to be operative if any representation is filed within the prescribed time and is pending. If no representation is made within the time prescribed, or the one preferred has been finally disposed of, there is no bar to take notice of the adverse remarks.

12. A memorial or appeal against the rejection of the representation against adverse remarks is to be allowed within six months of such rejection. Pendency of any memorial or appeal would mean that the adverse remarks are not final and cannot be acted upon.

9. General

1. The confidential reports dossier is the very foundation on which the career of a Government servant is built. It is, therefore, imperative that the various principles and procedures relating to preparation and maintenance of confidential reports are carefully observed.

2. The Head of every Department/Office should regard it as his personal and special responsibility to ensure that annual confidential reports are properly maintained in respect of all persons working under his direct or ultimate control.

3. CR files should be handled like confidential documents and kept in the personal custody of the officers required to maintain them and they should hand them to their successors in the office when they relinquish charge.

Whenever it is necessary to send them by post, they must be closed in a confidential cover and sent by registered post.

4. With the annual confidential reports is linked an official's advancement in his career, like crossing efficiency bar, promotion and the like. The principle is well settled that in accordance with the rules of natural justice, an adverse report in a confidential roll cannot be acted upon to deny promotional opportunities unless it is communicated to the person concerned so that he can exercise the right afforded to make a representation against the same. The Competent Authority is required to consider the representation on merits and pass a reasoned order. Only then it can be acted upon.

10. Sum up of the legal position in regard to confidential reports

1. Maintenance of character rolls is not enjoined by any statute or rules framed under Article 309 of the Constitution. Principles regarding record of confidential reports and communication of adverse remarks have been laid down in administrative instructions issued from time to time. The circular which holds the field at a particular point of time is to be followed in its entirety.

2. Character rolls are maintained primarily for the benefit of the Government as the master is to make its own estimate of the calibre of its servants and to exploit the talents of its servants for its own end.

3. The instructions prescribe guidelines for subordinate officers in making assessments of the worth and calibre of their subordinates.

4. These circulars bind the departments under the administrative control of the Government.

5. Action is taken on the basis of remarks in the character roll in the matter of allowing crossing of efficiency bar, promotion, supersession or reversion, etc. Adverse entries affect the service prospects of an employee and have civil consequences.

6. At the time of record of confidential reports, the employee is not entitled to any hearing.

7. It is only after the record of the confidential reports and the communication thereof, he is given an opportunity to make a representation against the adverse entry.

8. Time prescribed in the circular for communication of the adverse entry is not mandatory but directory. If the adverse entry is not communicated in time, it is not wiped out.

9. If the employee does not make a representation against the adverse entry after communication, it becomes final.

10. Character roll can be acted upon before final disposal of the representation. There is no provision in the administrative instructions that action would await the final disposal of the representation. Such a view would militate against exigencies of public service.

11. If the representation is ultimately rejected, the action taken on the basis of the confidential report would stand.

12. If, on representation, the adverse entry is set aside or substantially modified, the case is to be reconsidered and earlier action taken on such adverse entry is to be quashed if a different view is taken on reconsideration and retrospective benefits are to be conferred.

13. If the adverse entry is not communicated at all for an unusually long period and action is taken on the basis of the adverse entry, a Government servant can ask for an appropriate writ directing the Government to communicate the adverse entry and to dispose of the representation, if any. In appropriate cases depending on facts and circumstances, adverse action taken against the Government servant is liable to be quashed.

[S.S.S. Venkatarao v. State of Orissa, 1975 SLJ 266 (F.B.) (Orissa).]

Copies of Orders

1. Importance of Annual Confidential Reports.— Since Government have accepted the principle that confirmation, crossing of efficiency bar, promotion, etc., should be based on the assessment of the confidential dossiers, this matter is of the greatest importance for the efficiency and morale of the services. It is in the interest of Government no less than that of the employee that the value of a proper system of confidential reports is recognized by all concerned.

[C.S., O.M. No. 51/5/72-Ests. (A), dated the 20th May, 1972, Para. 2.1.]

It is very important both in the interest of efficiency of the service and also of the officers that the reports are written with the greatest possible care so that the work, conduct, character and capabilities of the officers reported upon can be accurately judged from the recorded opinion. Officers recording remarks must realize the importance of these entries as their own competency will be judged partly from the confidential remarks they record about officers working under them.

[Para. 174 (7) of P. & T. Manual, Vol. III.]

2. Responsibility for the maintenance of confidential reports.— The Head of every Department / Office should regard it as his personal and special responsibility to ensure that Annual Confidential Reports are properly maintained in respect of all persons working under his direct or ultimate control.

[C.S., O.M. No. 51/5/72-Ests. (A), dated the 20th May, 1972, Para. 3.1.]

3. Objectivity in confidential reports and assessment at more than one level.— In order to minimize the operation of the subjective human element and of conscious or unconscious bias, the confidential report of every employee should contain the assessments of more than one officer except in cases where there is only one supervisory level above the officer reported upon. The confidential report should be written by the immediate superior and should be submitted by the Reporting Officer to his own superior.

While it might be difficult for the higher officer to get to know a large number of employees two grades below him, his overall assessment of the character, performance and ability of the reported officer is vitally necessary as a built-in corrective. The judgment of the immediate superior even though completely fair in its intent might sometimes be too narrow and subjective to do justice to the officer reported upon. The officer superior to the Reporting Officer should, therefore, consider it his duty to personally know and form his own judgment of the work and conduct of the officer reported upon. He should accordingly exercise positive and independent judgment on the remarks of the Reporting Officer under the various detailed headings in the form of the report

as well as on the general assessment, and express clearly his agreement or disagreement with those remarks. This is particularly necessary in regard to adverse remarks (if any) where the opinion of the higher officer shall be construed as the correct assessment.

The Reviewing Officer is free to make his remarks on points not even mentioned by the Reporting Officer. Such additional remarks would, in fact, are necessary where the report is too brief, vague or cryptic.

[C.S., O.M. No. 51/5/72-Ests. (A), dated the 20th May, 1972, Para. 7.]

4. Period of reporting.— In every Department, confidential reports should be recorded annually preferably for the period covered by the financial year.

[C.S., O.M. No. 51/5/72-Ests. (A), dated the 20th May, 1972.]

5. Uniform year (Financial) for writing CRs.— At present, the reporting period for the members of the Central Secretariat Service, Central Secretariat Clerical Service and Central Secretariat Stenographers Service is on Calendar Year basis. It has now been decided that the reporting period of the Confidential Reports in respect of these officers may be changed from the Calendar Year to the Financial Year in order to fall in line with the majority of the Services and to coincide with the period of Annual Action Plan of the Ministries / Departments of the Government of India.

[G.I., Dept. of Per. & Trg., O.M. No. 1/3/88-CS. I, dated the 19th July, 1988.]

6. Frequency of reporting and eligibility to write a report.— While normally, there should be only one report covering the year of report, there can be situations in which it becomes necessary to write more than one report during a year. There is no objection to two or more independent reports being written for the same year by different Reporting Officers in the event of a change in the Reporting Officer during the course of a year, provided that no report should be written unless a Reporting Officer has at least three months' experience on which to base his report. In such cases, each report should indicate precisely the period to which it relates and the reports for the earlier part or parts of the year should be written at the time of the transfer or immediately thereafter and not deferred till the end of the year. The responsibility for obtaining confidential reports in such cases should be that of the Head of the Department or the Office.

[C.S., O.M. No. 51/5/72-Ests. (A), dated the 20th May, 1972.]

Treating of the period of Earned Leave taken during the period of report for the purpose of computing 3 months of service under a Reporting / Reviewing Officer.— In accordance with the existing instructions of this Department, the Reporting and Reviewing Officers are required to have at least 3 months' experience of supervising the work and conduct of the Government servant reported upon to record their assessment in the Annual Confidential Report (ACR). The question of treating the period of Earned Leave availed at a time for more than 15 days by the officer to be reported upon, during the period of report has been considered in this Department. It has now been decided that where an officer has taken Earned Leave for a period of more than 15 days,

the total period spent on leave can be deducted from the total period spent on any post, for purposes of computing the period of 3 months which is relevant for writing of entries in the ACR. Leave taken for short-term duration need not be treated as relevant for the purpose.

[G.I., Dept. of Per. & Trg., O.M. No. 21011/1/2006-Estt. (A), dated the 16th January, 2006.]

7. Transfer of Reporting and / or Reviewing Officer in the middle of the reporting year.— If an officer is transferred during the middle of the reporting year, he should immediately write the CRs of his subordinates in respect of the year for the period up to the date of his transfer, provided that the period is at least six months, and the reports should be submitted to the reviewing authority who will retain them in his custody and record his remarks in the reviewing portions in the last of the reports for the year, taking into account the reports for the previous portions of the year also, submitted to him by the transferred officers, at the time of their transfer. If the reviewing authority is transferred not simultaneously with Reporting Officer, but after some time, he will hand over such reports to his successor and the successor will review the reports if he happens to have three months' experience. Otherwise, the previous reviewing authority will review the reports at the end of the year. If, however, a reviewing authority retires while there is no change in the Reporting Officer and the subsequent reviewing authority does not have three months' experience of the work and conduct of the reportee, the reviewing portion will be left blank with a suitable note, recorded therein. This note can be recorded by the new reviewing authority who could not review the report because he did not have even three months' experience, or by the Reporting Officer himself.

[D.G., P. & T., Letter No. 27-3/79-Disc. I, dated the 11th September, 1981.]

8. Reason for gap in the report to be indicated.— When a confidential report does not cover an earlier period during the year, the Reporting Officer should, at the top of the report, mention the period of gap indicating the reasons for which a report for that period has not been written.

[Para. 174 (3) of P. & T. Manual, Volume-III.]

9. Report to be written within one month of the expiry of report period.— The annual report should be recorded within one month of the expiry of the report period and delay in this regard on the part of the Reporting Officer should be adversely commented upon; if the officer to be reported upon delays submission of self-appraisal, this should be adversely commented upon by the Reporting Officer.

[G.I., D.P. & A.R., O.M. No. 21011/1/77-Estt., dated the 30th January, 1978.]

10. When there is no Reporting Officer having the requisite experience.— A question has been raised as to the course of action to be adopted when, in the case of an officer, there is no Reporting Officer having the requisite experience of three months or more during the period of report, as a result of which no Reporting Officer is in a position to initiate the report. It has been

decided that where for a period of report there is no Reporting Officer with the requisite experience to initiate the report, the Reviewing Officer himself may initiate the report as a Reporting Officer, provided the Reviewing Officer has been the same for the entire period of report and he is in a position to fill in the columns to be filled in by the Reporting Officer. Where a report is thus initiated by the Reporting Officer, it will have to be reviewed by the officer above the Reviewing Officer.

[G.I., Dept. of Per. & Trg., O.M. No. 21011/8/85-Estt. (A), dated the 23rd September, 1985.]

11. Authority other than Reporting / Reviewing authority precluded from making entries.— Under the present scheme of writing of confidential reports there are only two levels for writing reports, namely, the Reporting Officer and the Reviewing Officer. There is no provision for any other authority for writing his remarks / comments about the work and conduct of an officer in his confidential reports. The Department of Personnel have advised that since there are only two levels for writing the confidential reports, i.e., Reporting and Reviewing Authority, the remarks by an officer other than the Reporting and Reviewing Officers in the confidential report are not in order.

[D.G., P. & T., Letter No. 27-2/83-Vig. II, dated the 21st January, 1983.]

12. Writing of confidential reports by officers under suspension.— It has been decided that if the Reporting / Reviewing Officer is under suspension when the confidential report has become due to be written / reviewed, it may be got written / reviewed by the officer concerned within two months from the date of his having been placed under suspension or within one month from the date on which the report was due, whichever is later. An officer under suspension shall not be asked to write / review confidential reports after the time-limit specified above.

[G.I., D.P. & A.R., O.M. No. 21011/2/78-Estt. (A), dated the 1st August, 1978.]

The policy of the Government has been reviewed in the light of a suggestion received from the Central Vigilance Commission and it has been decided in partial modification of the above orders that no officer under suspension should be allowed to write / review the ACRs on his subordinates, if during major part of writing / reviewing he is under suspension as he might not have full opportunity to supervise the work of his subordinates.

[G.I., Dept. of Per. & Trg., O.M. No. 21011/8/2000-Estt. (A), dated the 25th October, 2000.]

13. Whether a relative of a Government employee can write the report of the latter.— A question had arisen whether a Reporting Officer could write reports on his close relative who may happen to be his subordinate officially. The matter has been examined carefully and the following decisions taken:—

- (i) The Administrative Authority may take care that, to the extent possible, a close relative of an official is not placed under the direct

charge of that official where the latter has to write the CR of the former.

- (ii) Should such a situation become inescapable, it should not be allowed to continue beyond the barest minimum time possible.
- (iii) In such a situation, the employee should abstain from writing the Annual Confidential Report of the employee who is his close relative and instead, the Reviewing Officer should take on the role of the Reporting Officer.
- (iv) If a similar relationship exists between the Reviewing Officer on the one hand and the officer reported upon on the other, the same would apply in respect of the Reviewing Officer and the role of the Reviewing Officer would be transferred to the authority next higher up.
- (v) In cases of this nature, where there is any doubt, it would be incumbent upon the Reporting Officer to consult the next higher authority before he writes the confidential report.

[G.I., D.P. & A.R., O.M. No. 21011/3/78-Estt. (A), dated the 31st March, 1978.]

14. Reporting Officer can write CR of his subordinates within one month of his retirement.— When the Reporting Officer retires or otherwise demits office, he may be allowed to give the report on his subordinates within a month of his retirement or demission of office. However, a reviewing authority cannot review the CR after his retirement.

[G.I., D.P. & A.R., O.M. No. 21011/1/77-Estt., dated the 30th January, 1978 and Min. of I. & B., U.O. No. A. 280-22/2/85-Vig., dated the 2nd January, 1986.]

It has been decided to extend this provision to the Reviewing Authority also to enable him review the ACRs of his subordinates within one month of his retirement or demission of office.

[G.I., Dept. of Per. & Trg., O.M. No. 21011/1/93-Estt. (A), dated the 14th January, 1993.]

15. Contents and manner of writing of confidential reports.— Officers writing the confidential reports should have carefully observed the work and conduct of those under their control, and have provided the required training and guidance, where necessary. The Annual Confidential Reports should be based upon the results of such observation as well as the periodical inspections.

The form in which the confidential reports are recorded might vary from Department to Department and as between different levels of responsibility within a departmental hierarchy, depending upon the nature of work and duties attached to various posts. However, an assessment of certain qualities of general importance such as integrity, intelligence, keenness, industry, tact, attitude to superiors and subordinates, relations with fellow-employees, etc., should invariably find place in the report. In addition to the detailed assessment of specific attributes, every confidential report should carry a general appreciation

of the character, conduct and aptitudes and shortcomings of the officer reported upon. Reference to specific incidents may be made, if at all only by way of general nature, e.g., inefficiency, dilatoriness, lack of initiative or judgment, etc.

[C.S., O.M. No. 51/5/72-Ests. (A), dated the 20th May, 1972, Paras. 3.3 and 5.1.]

A confidential report should give full particulars of the official reported upon such as his designation and the office in which he works. Below the signature of the Reporting and Countersigning Officers, either their names and designations should be written in capital letters or their rubber stamps affixed. CR files should be maintained in book form, the reports being placed one after the other in chronological order and pages being serially numbered from top downwards. Relevant entries in the index of a CR file should be filled in immediately after a report is written up.

Confidential reports should, as a rule, give general appreciation of the character, conduct and qualities of an officer reported upon and a reference to a specific incident should be made, if at all, only by way of illustration to support adverse comments of a general nature, as for example, inefficiency, delay, lack of initiative, judgment, etc. Specific incidents on the basis of which penalties have been awarded in the course of departmental proceedings must, however, be indicated. An entry relating to a penalty should be recorded in the report for the year in which the punishment order is issued. In this entry, an indication may, however, be given about the period to which the incidents leading to the disciplinary case relate. Warning, even though not a statutory penalty should be mentioned in the report if issued as a result of disciplinary proceedings. If the Reporting Officer feels that although a specific incident is not important enough to call for disciplinary proceedings, it is important enough to be specifically mentioned in the confidential report, he should, before making such an entry, satisfy himself that his own conclusion has been arrived at only after a reasonable opportunity has been given to the official reported upon to present his case relating to that incident. The authority issuing a warning should not normally be one lower than the Reporting Officer. Further, once investigations are started into specific allegations, the case should not be closed by the issue of a warning without the knowledge of the competent disciplinary authority. Unless so ordered by any higher authority it would be in the discretion of the Reporting Officer either to record or not to record such a warning.

Apart from the remarks in regard to work and conduct, in appropriate cases, suitable entries may also be made on the following points:—

- (i) the fact that an officer has attended an approved course of study or training;
- (ii) the report received from the Head of such institution or its substance;
- (iii) comments on the quality of the report submitted by an officer on return from deputation or training abroad and whether he has made good use of his period of study or training;

- (iv) outstanding performances in the field of sports, athletics and art;
- (v) suggestions which have been accepted and considered useful for achieving economy and high standard of efficiency in administration;
- (vi) whether there is any physical defect, such as bad eye-sight.

CR file should not contain any extraneous paper other than punishment and appellate orders and letters communicating the adverse remarks.

[Paras. 174 (4), (8), (10), (11) and 6 of P. & T. Manual, Volume-III.]

The forms have been devised with a view to ensuring maximum objectivity in the preparation of the confidential report. In filling up the forms, tick marks and dashes should not be used. The Reporting and Reviewing Authorities should apply their mind carefully to the various alternatives suggested under the different headings and indicate their opinion in writing out in full the appropriate alternative which according to them should best describe the officer's qualities.

[G.I., D. P. & A.R., O.M. No. 51/3/74-Estt. (A), dated the 23rd July, 1975.]

16. Principles to be observed by Reporting Officers in writing reports.—The general principles which are required to be observed by the Reporting Officers for writing annual reports are indicated below—

- (1) Remarks like "Doubtful Character", "complaints received about his taking illegal gratification", are not permissible. Entries should be based on established facts and not on mere suspicion.
- (2) No employee should be adversely affected by prejudicial reports recorded without fullest consideration. At the same time, none should be rewarded by excessively flattering reports which are not based on facts. With a view to checking up such possibilities, the following procedure is prescribed:—
 - (a) the memo. of services should invariably be consulted at the time of writing the annual report though the report itself should necessarily be based on the employee's performance during the year as a whole;
 - (b) where an adverse remark is recorded in respect of an official having consistently good record, some details regarding the same should invariably be given;
 - (c) the report should give a clear opinion on the main points like character, integrity, industry, etc.;
 - (d) there should be no hesitation on the part of the Reporting Officers to record adverse remarks in justified cases;
 - (e) Reporting Officers should not be in a hurry to write all the reports on one day.

[Para. 174 (9) of P. & T. Manual, Volume-III.]

17. Duties of Reviewing / Endorsing Officer.— The following instructions are brought to the notice of the Ministries / Departments for information, guidance and compliance:—

- (i) Reporting, Reviewing and Endorsing Officers should have been acquainted with the work of the official reported upon for at least three months during the period covered by the confidential report;
- (ii) With a view to enabling the reviewing authority to discharge his responsibility in ensuring the objectivity of the confidential reports, it has been decided that where he is not sufficiently familiar with the work of the officer reported upon so as to be able to arrive at a proper and independent judgment of his own, it should be his responsibility to verify the correctness of the remarks of the Reporting Officer after making such enquiries as he may consider necessary, he should also give a hearing to the person reported upon before recording his remarks.
- (iii) While it is expected that the detailed format with alternative answers now prescribed for confidential reports would go a long way to minimize cryptic, vague or non-committal remarks being made in the reports, there may be cases where the entries are not sufficiently meaningful. Such reports should be returned to the Reporting Officer for amplification or explanation.
- (iv) If the Reporting Officer feels that a prescribed course of training is required by an official in order to equip him better for his duties or to develop his potentialities, he may make a separate recommendation to the Appropriate Authority on this matter. The confidential report would not be a proper place for such a recommendation.

[G.I., D.P. & A.R., O.M. No. 51/3/74-Estt. (A), dated the 22nd May, 1975.]

18. Procedure for filling up the column relating to integrity.— The procedure for filling up the column relating to integrity is as follows:—

- (a) 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 taken expeditiously by making confidential enquiries departmentally or by referring the matter to the Special Police Establishment. At the time of recording the Annual Confidential Report, this diary should be consulted and the material in it utilized for filling the column about integrity. If the column is not filled on account of the unconfirmed nature of the suspicions, further action should be taken in accordance with the following sub-paragraphs.

- (b) The column pertaining to integrity in the Character Roll should be left blank and a separate secret note about the doubts and suspicions regarding the officer's integrity should be recorded simultaneously and followed up.
- (c) A copy of the secret note should be sent together with the Character Roll to the next superior officer who should ensure that the follow-up action is taken with the due expedition.
- (d) If, as a result of the follow-up action, an officer is exonerated, his integrity should be certified and an entry made in the Character Roll. If suspicions regarding his integrity are confirmed, this fact can also be recorded and duly communicated to the officer concerned.
- (e) There are occasions when a Reporting Officer cannot in fairness to himself and to the officer reported upon, either certify integrity or make an adverse entry, or even be in possession of any information which would enable him to make a secret report to the Head of the Department. Such instances can occur when an officer is serving in a remote station and the Reporting Officer has not had occasion to watch his work closely or when an officer has worked under the Reporting Officer only for a brief period or has been on long leave, etc. In all such cases, the Reporting Officer should make an entry in the integrity column to the effect that he has not watched the officer's work for sufficient time to be able to make any definite remark or that he has heard nothing against the officer's integrity, as the case may be. This would be a factual statement to which there can be no objection. But, it is necessary that a superior officer should make every effort to form a definite judgment about the integrity of those working under him, as early as possible, so that he may be able to make a positive statement.
- (f) There may be cases in which after a secret report / note has been recorded expressing suspicion about an officer's integrity, the enquiries that follow do not disclose sufficient material to remove the suspicion or to confirm it. In such a case, the officer's conduct should be watched for a further period, and in the meantime, he should, as far as practicable, be kept away from positions in which there are opportunities for indulging in corrupt practices.

Specific mention should be made in the confidential reports on officers working in or holding charge of Top Secret / Secret Sections about their trustworthiness especially in matters affecting departmental security.

[C.S., O.M. No. 51/572-Estt. (A), dated the 20th May, 1972, Para. 5.]

See also INSTRUCTIONS for filling entries in Confidential Report Forms, at the end of this Chapter.

19. Mention of warnings / reprimands in CRs.— Questions have been raised from time to time regarding the stage at which a mention about

warnings, admonitions, reprimands, etc., administered in the course of normal day-to-day work by superior officers should be mentioned in the confidential report of the official to whom the warning, reprimand, etc., has been administered. As there seems to be some doubt in this regard, the position is clarified in the following paragraph:—

2. There may be occasions when a superior officer may find it necessary to criticize adversely the work of an officer working under him or he may call for an explanation for some act of omission or commission and taking all circumstances into consideration, it may be felt that while the matter is not serious enough to justify the imposition of the formal punishment of censure, it calls for some formal action such as the communication of a written warning / displeasure / reprimand. Where such a warning / displeasure / reprimand is issued, it should be placed in the personal file of the officer concerned. At the end of the year, the reporting authority, while writing the confidential report of the officer, may decide not to make a reference in the confidential report to the warning / displeasure / reprimand, if, in the opinion of that authority, the performance of the officer reported on after the issue of the warning or displeasure or reprimand, as the case may be, has improved and has been found satisfactory. If, however, the Reporting Authority comes to the conclusion that despite such warning / displeasure / reprimand, the officer has not improved, it may make appropriate mention of such warning / displeasure / reprimand, as the case may be, in the relevant column in Part-III of the form of confidential report relating to assessment by the Reporting Officer and, in that case, a copy of the warning / displeasure / reprimand referred to in the confidential report should be placed in the CR Dossier as an annexure to the confidential report for the relevant period. The adverse remark should also be conveyed to the officer and his representation, if any, against the same disposed of, in accordance with the procedure laid down in the instructions issued in this regard.

[G.I., D.P. & A.R., O.M. No. 21011/1/81-Estt. (A), dated the 5th June, 1981.]

Representations against “warnings” or “communication of the displeasure of the Government” or “reprimand” which are recorded in the confidential report of the Government servant should be dealt with in accordance with the procedure laid down for dealing with representations against adverse entries in confidential reports, unless an opportunity had already been given to the officer concerned to make a representation in the matter relating to the relevant incident or faults and such representation had been duly considered and a decision taken before the “warning” or “reprimand” was administered or the “displeasure of the Government” communicated to him.

[G.I., M.H.A., O.M. No. 51/3/69-Ests. (A), dated the 27th September, 1969 and D.P. & A.R., O.M. No. 51/5/72-Ests., dated the 20th May, 1972, Para. 9.6.]

At present, administrative devices like warning, letter of caution, reprimand, etc., are being used by the various administrative Ministries / Departments for cautioning the Government servants against such minor lapses as negligence, carelessness, lack of thoroughness and delay in disposal of official work with a

view to toning up efficiency or maintaining discipline. These administrative actions do not, however, constitute any of the penalties specified in Rule 11 of the CCS (CCA) Rules, 1965. Doubts have often been raised about the actual effect of such informal administrative actions as warning, letter of caution and reprimand on the promotion of a Government servant.

In this connection, the existing provisions regarding the effect of warning etc., as distinguished from Censure on promotion are reiterated and clarified as follows:—

- (i) There is no objection to the continuance of the practice of issuing oral or written warnings. However, where a copy of the warning is also kept on the Confidential Report dossier, it will be taken to constitute an adverse entry and the officer so warned will have the right to represent against the same in accordance with the existing instructions relating to communication of adverse remarks and consideration of representations against them.
- (ii) Warnings, letters of caution, reprimands or advisories administered to Government servants do not amount to a penalty, and, therefore, will not constitute a bar for consideration of such Government servants for promotion.
- (iii) Where a departmental proceeding has been instituted, and it is considered that a Government servant deserves to be penalized for the offence / misconduct, one of the prescribed penalties may only be awarded and no warning recordable or otherwise, should be issued to the Government servant.
- (iv) The term 'empanelment' occurring in Para. 1 of DoP&T's O.M. No. 11012/11/2007-Estt. (A), dated 14-12-2007 relating to guidelines on grant of vigilance clearance does not cover cases of promotion. Cases of promotion of Government servants during the pendency of disciplinary proceedings would be regulated by DoP&T's O.M. No. 22011/4/91-Estt. (A), dated 14-9-1992, O.M. No. 22012/1/99-Estt. (D), dated 25-10-2004 and after imposition of any of the prescribed penalties as per O.M. No. 22034/5/2004-Estt. (D), dated 15-12-2004.

All Ministries / Departments are, therefore, requested to keep in view the above guidelines while dealing with cases of promotion of the Government servants.

[G.I., Dept. of Per. & Trg., O.M. No. 11012/6/2008-Estt. (A), dated the 7th July, 2008.]

20. Communication of adverse entries and how to be done.—All adverse entries in the confidential report of Government servant, both on performance as well as on basic qualities and potential should be communicated along with a mention of good points within one month of their being recorded.

This communication should be in writing and a record to that effect should be kept in the CR Dossier of the Government servant concerned.

[G.I., D.P. & A.R., O.M. No. 21011/177-Estt., dated the 30th January, 1978.]

Only such of the adverse entries as are accepted by the countersigning authority, if any, need be communicated. The countersigning authority should, therefore, normally indicate whether it agrees or disagrees with the remarks of the Reporting Officer. It should also record, additional remarks, wherever necessary, if the report is too brief, cryptic or vague. Along with the adverse entry, the substance of the entire report including what may have been stated in praise of the officer should also be communicated. The improvements made in respect of the defects mentioned in the earlier report should also be communicated to the officer in a suitable form. A copy of the letter communicating the adverse remarks duly acknowledged by the official concerned should be kept in the CR file and the fact of communication of the entries should be recorded in the report itself by the authority communicating them.

Great attention should be paid to the manner and method of communication of adverse remarks in order to ensure that the advice given and warning or censure administered, whether orally or in writing shall, having regard to the temperament of the officer concerned, be most beneficial to him. The memo. forwarding the adverse remarks to the officer reported upon should be couched in such a language that it does not produce a sense of resentment in the officer reported upon and that it makes it clear to him that the intention of communicating these defects to him is that, he should try to improve himself in respect of those defects.

Remarks about the physical defects of the officers noted in the confidential reports need not be communicated. The grading of officers being done on the basis of the general remarks in the report should not also be communicated, even if it is adverse.

[Rule 174 (12) of P. & T. Manual, Volume-III; M.H.A., O.M. No. 51/7/68-Estt. (A), dated the 19th September, 1969 and D.P. & A.R., O.M. No. 51/3/74-Estt. (A), dated the 22nd May, 1975.]

21. Disclosure of identity of superior officers who made adverse remarks not necessary.—1. It is not necessary to disclose the identity of the superior officer who made the adverse remarks while communicating them to the Government servant concerned since, what the Government servant should be interested in, are the defects/shortcomings which his superior officers have found in his work and conduct and not the particular superior officer who recorded them in the confidential report and the representations on the adverse remarks, if any, should be objective pertaining to the shortcomings noticed. Apart from this, disclosure of identity of the superior officer is also likely to lead to unpleasantness and personal animosity. It is, therefore,

desirable that while communicating the adverse remarks to the Government servant concerned, the identity of the superior officer making such remarks should not normally be disclosed.

2. Care should be taken to ensure that the remarks are communicated in such a form that the identity of the officer making particular remarks is not disclosed.

3. If, however, in a particular case, it is considered necessary to disclose the identity of the superior officer, the authority dealing with the representation may at his discretion allow the identity to be communicated.

[G.I., M.H.A., O.M. No. 51/2/64-Ests. (A), dated the 30th March, 1964; D.P. & A.R., O.M. No. 51/3/74-Estt. (A), dated the 22nd May, 1975.]

22. Representations against adverse remarks.—Only one representation against adverse remarks (including reference to 'warning' or communication of displeasure of the Government or 'reprimand' which are recorded in the confidential report of the Government servant) should be allowed within one month of their communication. While communicating the adverse remarks to the Government servant concerned, the time-limit should be brought to his notice. However, the Competent Authority may, in its discretion, entertain a representation made beyond this time if there is satisfactory explanation for the delay.

[G.I., D.P. & A.R., O.M. No. 21011/1/77-Ests., dated the 30th January, 1978 and O.M. No. 51/14/60-Estt. (A), dated the 31st October, 1961.]

23. To whom representation lies.—Representation against adverse remarks will lie to the authority immediately superior to the countersigning authority, if any, or to the Reporting Officer. If the immediate superior authority has already reviewed the confidential report in question and has also expressed his view either agreeing or disagreeing with the adverse remarks recorded and accepted by the countersigning authority, the representation should, in that event, lie to the next higher authority.

[G.I., D.P. & A.R., O.M. No. 21011/1/77-Estt., dated the 30th January, 1978 and Rule 174 (12) of P. & T. Manual, Volume-III.]

24. Time-limit for disposal of representation against adverse remarks and when note to be taken of such remarks.—All representations against adverse remarks should be decided expeditiously by the Competent Authority and in any case, within three months from the date of submission of the representation. Adverse remarks should not be deemed to be operative if any representation filed within the prescribed time-limit is pending. If no representation is made within the prescribed time, or once this has been finally disposed of, there would be no further bar to take notice of the adverse remarks."

[G.I., D.P. & A.R., O.M. No. 21011/1/77-Estt., dated the 30th January, 1978.]

25. Manner of disposal of representation.—The following procedure should be adopted in dealing with representations from the employees against the adverse remarks communicated to them:—

- (1) Representations against adverse remarks should be examined by Competent Authority in consultation, if necessary, with the Reporting Officer and countersigning authority, if any.
- (2) If it is found that the remarks were justified and that the representation is frivolous, a note may be made in the confidential report of the petitioner that he did not take the correction in good spirit.
- (3) If the Competent Authority feels that there is no sufficient ground for interference, the representation should be rejected and the petitioner informed accordingly.
- (4) If, however, it feels that the remarks should be toned down, it should make necessary entry separately with proper attestation at the appropriate place of the report; the correction should not be made in the earlier entries themselves.
- (5) In the rare event of the Competent Authority coming to the conclusion that the adverse remark was inspired by malice or was entirely incorrect or unfounded, and therefore deserves expunction, it should order accordingly. Before, however, taking such an action, it should bring it to the notice of the Head of the Circle or other Administrative Office if it does not occupy that position and obtain his concurrence.

When a representation against adverse remarks is wholly or partially upheld, the particulars of the orders based thereon should be recorded in the report itself. If it is decided to tone down the remarks, the Competent Authority may make the necessary entries at the appropriate place of the report under proper attestation, but the past entries should not be corrected. If the remarks are ordered to be expunged, they should be effectively obliterated both in the confidential report as well as in the copy of the letter communicating those remarks. A copy of the order based on such a representation should not be kept in the CR file. Where a penalty is set aside on an appeal or review, the copy of the punishment order should be removed from the CR file as well as the adverse remarks recorded on the basis of the penalty expunged. In a case where the penalty is modified by the appellate or revising authority, the entry in the confidential report originally made on the basis of the penalty awarded should also be immediately modified accordingly.

[Rule 174 (13) and (14) of P. & T. Manual, Volume-III, D.G., P. & T., Letter No. 27/4/78-Disc. I, dated the 19th April, 1978 and D.P. & A.R., O.M. No. 51/5/72-Ests. (A), dated the 20th May, 1972, Para. 9.5.]

26. Column of report should not be kept blank after expunction of adverse remarks.—It has been observed that in a few cases, after the expunction of the adverse remarks, the relevant column(s) was/were left blank, i.e., without any remarks, thus making the report incomplete.

It may be appreciated that an incomplete report cannot be relied upon for a fair and objective assessment of the officer concerned for his confirmation, promotion, etc. It is essential that the annual confidential reports are complete in all respects. In the circumstances, where on consideration of a representation against adverse remarks, the Competent Authority comes to the conclusion that the remarks deserve to be expunged, it should see whether total expunction of the remarks will leave the relevant column(s) blank; and if it finds the position to be so, it should order modification of the relevant remarks in a suitable manner so that the column(s) in question does/do not remain blank.

[D.G., P. & T., Letter No. 27-2/83-Vig. II, dated the 9th January, 1984.]

The overall grading recorded in the ACR is also not to be changed in any way even after the expunction of the adverse remarks either fully or partially by the competent authority.—In accordance with the existing instructions of this Department, adverse entries/remarks recorded in the ACR of the official have to be communicated to him for further improvement in his performance and the official concerned has also an option to make a representation against the adverse remarks within the prescribed time-limit. According to the existing instructions, the overall grading given in the ACR should however, not be communicated even when the grading given is below the benchmark prescribed for promotion to the next higher grade. The overall grading recorded in the ACR has also not to be changed in any way even after the expunction of the adverse remarks, either fully or partially by the competent authority.

The Hon'ble Supreme Court has declared in its judgment, dated 22-11-2005 in *UoI and another v. Major Bahadur Singh* (Civil Appeal No. 4482 of 2003) that the judgment of the court, dated 31-1-1996 in *UP Jal Nigam and others v. Prabhat Chandra Jain and others*, SLP (Civil) No. 16988/95 has no universal application and the judgment itself shows that it was intended to be meant only for the employees of UP Jal Nigam.

All Ministries/Departments are accordingly requested to ensure that any challenge to the existing instructions of this Department in regard to the communication of adverse remarks in any court taking shelter in the Supreme Court judgment in *UP Jal Nigam* or any other judgment based on *UP Jal Nigam* Judgment is properly defended keeping in view the above declaration of the *Supreme Court in UoI v. Major Bahadur Singh*.

[G.I., Dept. of Per. & Trg., O.M. No. 21011/1/2006-Estt. (A), dated the 28th March, 2006.]

27. Further memorial or appeal against rejection of representation.—No memorial or appeal against the rejection of the representation against adverse entries should be allowed six months after such rejection.

[G.I., D.P. & A.R., O.M. No. 21011/1/77-Estt., dated the 30th January, 1978.]

28. Procedure of dealing with memorial addressed to the President.—

1. It has been decided that in cases of officers of the Central Secretariat Services of the rank of Under Secretary, Deputy Secretary, Director working in different Ministries, where representation against adverse remarks had been rejected at a level lower than that of Minister-in-charge of the Ministry where the official is posted during the period of the report, such memorials addressed to the President should be disposed of by the Minister of the concerned Ministry. However, where representation has been rejected by the Minister-in-charge of the concerned Ministry, then such memorial would be decided by the Cabinet Minister in the Ministry of Personnel, Public Grievances and Pensions which is the cadre controlling authority.

2. In respect of officers belonging to other cadres who are working in Ministries other than their own, on deputation, any memorial to the President following the rejection of their representation against adverse remarks in the ACR, will be disposed of by the Minister-in-charge of the Ministry in case the representation has been rejected at a level lower than that of Minister-in-charge. In case, where the representation has been rejected at the level of Minister-in-charge, the memorial would be disposed of by the Cabinet Minister in the Ministry controlling the cadre of the officer.

[G.I., Dept. of Per. & Trg., O.M. No. 21011/8/89-Estt. (A), dated the 6th March, 1989.]

29. Result/Performance-oriented appraisal system.—(i) Except clerical and other categories of officials doing jobs of a repetitive nature, the official reported upon should, at the end of each year submit a brief resume not exceeding 300 words, of the work done by him bringing out any special achievements. The resume should be submitted to the Reporting Officer and should form a part of confidential report. The Reporting Officer should duly take note of the resume and after making his own comments and assessments submit the entire record to the next higher officer, viz., the Reviewing Officer. The Reviewing Officer should add his own comments, if any, and also do the grading in regard to fitness for promotion. In respect of the categories of officials doing jobs of a repetitive nature, a brief statement of the official reported upon during the year may be recorded by the Reporting Officer.

(ii) The confidential report should be performance-oriented and its form should provide sufficient space for an objective assessment of the performance of the officer reported upon.

(iii) For all categories of staff, excepting officers of the level of Secretary/ Additional Secretary / Joint Secretary (for whom there should be a different pro forma), the format of the report should be detailed and should contain alternative answers to a number of specified headings relating to the different aspects of the officers' performance. Provision should also be made for a summing up in the end.

[G.I., D.P. & A.R., O.M. No. 51/3/74-Estt. (A), dated the 22nd May, 1975.]

30. Self-appraisal not necessary for a period less than three months.—

The Reporting/Reviewing Authority can write/review the confidential report of an officer if it has at least an experience of three months of work and conduct of the officer reported upon. The officer reported upon need not submit his self-appraisal if the period of observation of his work and conduct by the reporting/reviewing authority is less than three months.

[D.G., P. & T., Lr. No. 27/3/80-Vig. II/Pt. II, dated the 11th September, 1980, issued in consultation with Dept. of Per.]

Self-appraisal to be confined in the space allotted and no additional sheet allowed.—In the forms for the performance of self-appraisal, sufficient spaces have been allotted for making necessary entries both by the officer reporting upon and by the Reporting and Reviewing Officer. It was envisaged that the space allotted would only be used for making any entries and that no extra sheets would be attached. It has been observed that some of the officers, while preparing the self-appraisal are in the habit of attaching additional sheets and exceeding the spaces allotted. All may be informed that they should confine their self-appraisal to the space allotted and any ACR which would contain additional sheets by way of self-appraisal may not be accepted.

The Department of Personnel and Training have taken strong objection to the enclosing of additional pages and have issued instructions to all Ministries and Departments.

[G.I., Dept. of Posts, Lr. No. 33-12/91-Vig., dated the 31st October, 1991.]

31. Guidelines for self-appraisal and report thereon by the Reporting Authority.—1. With the introduction of the confidential report form providing for self-appraisal by the officer reported upon, about his performance during the period of the report, numerous instances have come to notice wherein the column meant for the purpose, the Reporting Officer has recorded his disagreement with the self-appraisal of the officer, for one reason or other.

2. The question whether such disagreement be deemed as an adverse remark about the conduct and performance of the officer reported upon, was examined in consultation with the Department of Personnel. It is reiterated for the guidance of all concerned that the self-appraisal should be precise to the point and refer only to the areas of responsibility of the officer reported upon and should be strictly within the prescribed limit of 300 words. While human nature is to indulge in a little bit of self-praise, one should be careful in making the self-appraisal so that one does not unduly prejudice the senior officers who have to record their observations on the work and conduct of the officers. The self-appraisal should reflect actual achievements during the period so that the scope for disagreement with it is reduced to the absolute minimum. While writing the self-appraisal, it would be best if the officer were to write about his performance in a way, as what his best and sincere friend would frankly say to him about his performance in case he were asked to express his opinion.

3. While it is not possible to make any generalization on the question which of the remarks of the Reporting Officer in relation to the self-appraisal of the officer reported upon should be treated as adverse or otherwise, the following may be taken as general guidelines by all concerned.

4. If the Reporting Officer records along with reasons against the column provided that the self-appraisal contains too much of self-praise, such disagreement will not be considered as adverse remarks. Therefore, while recording reason for disagreement with the self-appraisal, the Reporting Officer may make it clear, whether or not his observations on the self-appraisal are to be taken as adverse remarks. If the Reporting Officer disagrees with the self-appraisal and intimates such disagreement to be taken as adverse, he may back it up with factual details and put them on record. Nothing prevents the Reporting Officer to point out the inadequacies or exaggerations in the self-appraisal and ask the officer if he would like to reconsider it. Such an approach may rule out the possibility of disagreement in a large number of cases.

5. Adverse remarks in regard to the performance and conduct of the officer, recorded on the basis of sufficient material against any other column should as usual be communicated to the officer reported upon. The Reporting Officer's observations have necessarily to be with reference to the actual performance of the officer during the period and that too on the basis of established facts and other relevant materials contained in the memorandum of services, etc.

[D.G., P. & T., Letter No. 27/13/79-Disc., dated the 14th February, 1980.]

32. Writing of CRs of Group 'D' staff only if it serves public interest.—In the case of Ministries/Departments where confidential reports are not at present maintained for Group 'D' staff, the present practice may continue. Other Ministries/Departments should examine the necessity for continuing the practice of maintaining confidential reports for Group 'D' employees under them having regard to the specific purpose for which such reports are not at present being used. Where such reports are not required for any specific purpose or do not serve a public interest, the practice may be discontinued. In this connection, it may be borne in mind that in respect of Group 'D' staff entrusted with sensitive work, it may be necessary to continue the system of confidential reports for maintaining efficiency in exercising proper control and discipline. These should be clearly identified by the Ministries with Departments concerned. Where the confidential reports are dispensed with, the punishments including recordable warnings, commendations, etc., conveyed to the employees, should be entered in the Service Book.

[G.I., D.P. & A.R., O.M. No. 51/3/74-Estt. (A), dated the 22nd May, 1975.]

As already stated above, the practice of writing confidential reports on Group 'D' employees should be continued only if it serves public interest, e.g., where the staff is employed on sensitive work.

[G.I., D.P. & A.R., O.M. No. 35014/11/76-Estt. (A), dated the 25th August, 1977.]

If, after a fresh review, it is considered essential to have the system of writing confidential reports on Group 'D' employees in any particular office or organization, this Department should also be consulted before a final decision is taken in this regard.

[G.I., Dept. of Per. & Trg., O.M. No. 35014/2/81-Ests. (A), dated the 16th May, 1985.]

It has been decided that—

- (i) writing of confidential reports of Group 'D' employees is no longer necessary except in respect of those who are engaged in sensitive work;
- (ii) if there is any shortcomings in the performance of the allotted work or any act of indiscipline or violation of conduct rules, the administration would take recourse to disciplinary action; and
- (iii) punishment including the recordable warnings, commendations, etc., conveyed to the employees should be entered in the Service Book and the relevant information furnished to the Departmental Promotion Committee when their cases are considered for promotion, efficiency bar crossing, etc., in the absence of confidential reports.

[C. & A.G., New Delhi, Letter No. 1455-N. 2/78-85, dated the 24th December, 1986.]

33. Introduction of a separate column to indicate the effectiveness in the development and protection of SCs/STs.—It has been decided that in the CR forms for officers of Central Services, there should be a column enabling the Reporting Officer to give his specific comments on the effectiveness of the officer concerned in the development and protection of SCs and/or STs. Accordingly, all cadre controlling authorities may be directed to incorporate in the Reporting Officers' part of the CR form a column as under—

* Effectiveness in the development and protection of Scheduled Castes and/or Scheduled Tribes.

- (a) Attitude towards Scheduled Castes and/or Scheduled Tribes... ..
- (b) Sensitivity to social justice
- (c) Ability to take quick and effective action to prevent and quell atrocities/and ensure justice to Scheduled Castes and/or Scheduled Tribes
- (d) Effectiveness in bringing about the development of Scheduled Castes and/or Scheduled Tribes

[G.I., D.P. & A.R., O.M. No. 21011/2/83-Estt. (A), dated the 8th April, 1983.]

* To be filled in only in the case of officers dealing with development and protection of SCs and/or STs. Where the column is not applicable in the case of any officer, it may be so stated against the column.

34. Filling up of column relating to grading.—The annual confidential report should also contain a general assessment of the Government servant and he should be graded according to his performance. A Government servant should not be graded outstanding unless exceptional qualities and performance has been noticed in him. Grounds for giving such a grading should be clearly brought out.

[G.I., Dept. of Per. & Trg., O.M. No. 12/2/84-PP, dated the 17th December, 1986.]

35. Deletion of the column relating to “fitness for promotion” from CR form.—1. It has since been decided that the column relating to “Fitness for Promotion” shall be deleted in the form of CR for employees of the level of Assistants and below. Action may be taken to delete the column relating to “Fitness for Promotion” in the forms of CR for various services and posts.

[G.I., D.P. & A.R., O.M. No. 35014/2/81-Estt. (A), dated the 16th May, 1985.]

36. Reports received in respect of approved course of training undergone to be kept in confidential report dossier.—1. The following principles were laid down in O.M. No. 51/2/62-Ests. (A), dated the 12th April, 1962, for the guidance of all concerned regarding the procedure to be observed for recording the confidential reports of officers who had undergone an approved course of study or training at an institution in India or abroad:—

- (i) Whenever an officer attends an approved course of study or training, the fact of his having done so should be entered in his confidential report. Approved course of training includes courses sponsored by the Government financed wholly or partly by Government attended with the permission of Government or for which Government grant study leave.
- (ii) The report, if any, received from the Head of the Institution should either be placed in original in the confidential report dossier of the officer or the substance of it entered therein.
- (iii) An entry about the report, if any, submitted by the officer on his work abroad should also find mention in his confidential report if it is either outstandingly good or of poor quality indicating that the officer had not made good use of his period of study or training.

2. During the course of review of the confidential reports of officers who had attended approved course of study, etc., it has been observed that the instructions cited in the preceding paragraph are not being followed strictly. In view of the fact that entries regarding courses of study or training undergone by an officer in his confidential report would be useful in giving a more complete picture of the officer’s experience and accomplishments, it is essential that the points enumerated above should always be kept in view. The report received from the Head of the Institution in which the training course was undergone

should also be placed in original in the confidential reports or the substance of it entered therein.

[G.I., D.P. & A.R., O.M. No. 21001/13/75-Ests. (A), dated the 14th January, 1975.]

37. Setting up of Special Cell for maintenance of up-to-date character rolls.—1. In their 27th Report for the year 1976-77, the Union Public Service Commission had observed as under—

It is the considered view of the Commission that the question of systematic recording and maintenance of character rolls should receive the urgent and careful attention of the Government, so that Government servants are not denied their legitimate promotions on account of administrative lapses. It will be appreciated that the character rolls form the basis of selection for promotion and would, therefore, have a significant effect on career management. It is also necessary to take steps to ensure the utmost objectivity in the writing of character rolls, so that uniform standards could be applied in assessing the officers and selecting them for promotion. The Commission suggests that in order to attend to these matters and to ensure that no Departmental Promotion Committee meeting is delayed due to the absence and incompleteness of character rolls, a Special Cell should be set up in each Ministry/Department entrusted with the task of maintaining up-to-date seniority lists and character rolls of all officers. This cell should not only ensure that the character rolls are written in time but also see that adverse remarks, if any, are communicated to the officers in time and a decision taken on the representations submitted by them within a reasonable period as contemplated in the instructions issued on the subject.

2. The above observation of the UPSC is brought to the notice of all Ministries and Departments for appropriate action. The Special Cell contemplated by the UPSC should be constituted from within the existing strength of staff. This office memorandum should not be considered as carrying with it a sanction for creating fresh posts for the Special Cell that may be constituted for maintaining up-to-date confidential reports and seniority lists.

[G.I., D.P. & A.R., O.M. No. 21011/5/78-Est. (A), dated the 19th August, 1978.]

38. Custody and handling of confidential reports.—The confidential reports on officers of the organized services should be kept by the Ministry/Department/Office which controls the service.

The reports of the Heads of Departments and their deputies, other than those in the IAAS where such reports are kept by the Comptroller and Auditor-General, should be kept by the Administrative Ministry concerned.

The reports of other Group 'A' and Group 'B' Officers should be kept by the Head of the Department or any other authority specified by him.

The reports of Group 'C' and Group 'D' employees should be kept by the authority specified by the Head of the Department.

The reports should not, in any case be kept by an authority higher than the Appointing Authority.

[C.S., O.M. No. 51/5/72-Ests. (A), dated the 20th May, 1972, Para. 4.]

CR files should be handled like confidential documents. The officer concerned should ensure that no room is given for complaints about any leakage of information. These files will be kept in the personal custody of the officers required to maintain them, viz., either the reporting or the countersigning authority, if any, unless some special arrangements have been made for their maintenance centrally with one particular officer. The officer responsible for maintaining the CR files should hand them to his successor in the office when he is transferred. Whenever it is necessary to send them by post, they must be closed in a confidential cover and registered. When an officer is transferred for more than three months, the file containing the confidential reports on him should be forwarded direct to the officer by whom it has to be maintained.

[Para. 174 (5) of P. & T. Manual, Volume-III.]

39. Maintenance of memorandum of services serving as basis for writing annual reports.—With a view to enabling the Reporting Officers to make correct overall assessment of the work and conduct of their subordinates, the Reporting Officers are required to maintain memorandum of services in respect of each officer employed under them. All instances of good and bad work coming to the notice of the Reporting Officer should be promptly noted in the memo. of services. Impression formed by the officer at the time of visits, inspections, interview, etc., should also be included in that memorandum. This memorandum should not be reduced to a black book by recording instances of only adverse nature. Instances of good work should also be liberally recorded. The memoranda of service should, invariably, be consulted at the time of writing of annual reports. In case the Reporting Officer is not the immediate superior of the officer to be reported upon, the immediate superior should also maintain a memo. of services which should be consulted by the Reporting Officer at the time of writing the report. The memo. of services in respect of an officer should be a complete and continuous record of his service and accordingly, it should not be destroyed after the annual report has been written. The entries in the memo. of services should be based on facts and documentary evidence. The memo. of services may also be consulted on the occasions of making transfer, promotion or writing special reports. For writing the annual report, only those entries in the memo. which pertain to the year of the report should be taken into account. The entries in the memo. of services need not necessarily be communicated. As the memo. of services is the sole basis for writing the annual reports, the Reporting Officer at the time of submitting reports to the countersigning authorities, if any, should make a specific mention in the forwarding letters that memoranda of services have been maintained and consulted. With a view to checking up that these memoranda are being properly and regularly maintained, the countersigning authorities may call for them and check them up. The negligence on the part of the Reporting Officers in this regard should be duly noticed.

[Para. 174 (7) of P. & T. Manual, Vol.-III.]

40. In the case of officers on deputation.—In the case of Central Government Officers who are deputed to other Departments/State Governments or are on foreign service, the confidential rolls should be maintained by their parent departments and the periodicity of such confidential reports should be the same as in the parent department. It will be the responsibility of the parent department to obtain the reports of their officers on deputation and maintain them.

[C.S., O.M. No. 51/5/72-Ests. (A), dated the 20th May, 1972, Para. 3.2.]

41. Maintenance of confidential reports on officers on deputation to UNO or its agencies.—It has been decided that the following procedure may be followed in the matter:—(a) Where there is no practice of writing periodical assessment reports by the concerned agency, it is not necessary to get confidential reports on Government servants on deputation to United Nations or its Agencies. An entry, however, may be made in the confidential report dossier of the officer to the effect that he is on deputation to an UN Agency where there is no practice of writing annual confidential reports.

(b) In respect of officer working on deputation under the World Bank, Asian Development Bank and International Monetary Fund, confidential reports may be obtained through the Executive Directors, normally at the end of the tenure of the officers, and, in special cases, when an officer is to be considered for promotion. Ministry of Finance (Department of Economic Affairs) may be approached for obtaining such reports as and when required by any cadre authority.

[G.I., D.P. & A.R., O.M. No. 51-1/67-Ests. (A), dated the 10th October, 1974.]

No confidential report need be obtained on an officer deputed to foreign Government (other than the Government of Bhutan) and contract assignment under bilateral arrangements and assignments under ITEC, SCAPP, etc. A note may be kept in the CR dossier of such officers indicating that during the relevant period the officer was on foreign assignment.

[G.I., D.P. & A.R., O.M. No. 1/26/85-FAS, dated the 22nd February, 1985.]

42. Maintenance of CR dossiers complete and up to date of those on deputation to Army Postal Services.—CR dossiers of officials on deputation to APS are maintained by the respective civil units where they held the lien. (Para. 179 of Postal Manual, Volume-III refers.) The responsibility for keeping a watch over the receipt of CR sheets every year, and as and when due, falls on the Heads of Postal Regions/Divisions.

2. It has come to our notice that, though due CRs are initiated and despatched by APS authorities to the concerned civil units and acknowledgements obtained by them, frequent references are made to APS units calling for the wanting CRs at the time of DPC for promotion, confirmation, etc. This ultimately causes avoidable and infructuous correspondence, resulting in delay in confirmation or promotion of the individuals working in APS. By the time their genuine representations are disposed of favourably, the

juniors, by virtue of their continuance in civil and immediate promotions, become seniors to APS personnel. Refixation of seniority and pay and allied service matters affect a chain of persons at a later date. This situation can be avoided with conscious efforts at the level of Heads of Postal Regions/ Divisions.

3. Some of the suggested steps are—

- (a) Preparation of list of personnel on deputation to APS.
- (b) Maintenance of check-lists by the Heads of Civil Postal Units in respect of officials on deputation to APS.
- (c) Watching every year the receipt of CR sheet from the APS authorities and calling for them, if not received by the 30th June.
- (d) Prompt filing of the CR sheets in the CR dossiers and immediate indexing.
- (e) Disposal of the CR sheets received missent or wrongly addressed under intimation to the concerned APS authorities.
- (f) Prompt disposal of the CR sheets of the officials to the present civil units, if there is any change in the lien held by the deputationists, under intimation to APS units.
- (g) Addressing P & T Administration Cell, Kamptee, if present address of the individual or the particulars of APS unit is not known.
- (h) Scrutinizing the CR dossier up to 1992-93 and obtaining the wanting reports from the APS units by 31st October, 1993.

4. Please obtain confirmation from the Heads of Postal/RMS Divisions under your control that the CR dossiers in respect of the officials on deputation to APS are complete in all respects and that no report is wanting. Similar exercise may be carried out every year and completion report obtained and kept on your record.

[G.I., Dept. of Posts, No. 87-2/93-SPB. III, dated the 12th October, 1993.]

43. Addition of History Sheet to CR dossier of officers of Central Services.—It has been decided that a History Sheet as in the form at Annexure-I may be added at the beginning of the Character Roll of Government servants belonging to the Central Services and any subsequent additional qualifications or experience, if any, acquired by them, should be entered in the sheet.

NOTE.—A passport size photograph of the officer concerned should be affixed at the right hand top corner of the History Sheet, placed at the beginning of the CR dossier, in so far as Group 'A' officers are concerned.

[G.I., D.P. & A.R., O.M. No. 21011/2/76-Ests. (A), dated the 31st May, 1976 and O.M. No. 21011/9/85-Ests. (A), dated the 18th September, 1985.]

The History Sheet may be added at the beginning of the Character Roll dossier of all Government servants and subsequent additional qualifications or experience acquired, if any, by them may be entered in the sheet.

[D.G., P. & T., Letter No. 27/25-Disc. I, dated the 4/8th October, 1976.]

44. Inclusion of column regarding Annual Property Returns in the ACR of Groups 'A' and 'B' Officers.—1. In accordance with the instructions contained in M.H.A., O.M. No. 25/10/55-Estt. (A), dated 12-1-1956, every Government servant holding a Group 'A' or 'B' post is required to submit the immovable property return in the prescribed form in respect of every calendar year by 31st January of the next year. The need for obtaining these returns regularly and in time and making a careful and minute scrutiny of the same was emphasized in this Department's O.M. No. 11013/12/85-Estt. (A), dated 11-10-1985. It has, however, been noticed that the immovable property returns are not submitted in time, as required under the instructions referred to above. The question of enforcing the requirement of timely submission of the return has been considered in this Department and, as one of the steps in this direction, it has been decided to include a column in the ACR format of Group 'A' and Group 'B' Officers which shall be placed as Column 4 in Part-II (Self-appraisal) of the ACR as under—

“Please state whether the annual return on immovable property for the preceding calendar year was filed within the prescribed date, i.e., 31st January of the year following the calendar year. If not, the date of filing the return should be given.”

2. Ministry of Finance, etc., are requested to ensure that a column on the above lines is duly included in the ACR form while taking action for getting the reports for the Year 1993-94 onwards completed in respect of various Group 'A' and Group 'B' officers under their control.

3. The various cadre authorities who have prescribed their own ACR formats for members of their services are also requested to consider including a similar column in the ACR formats applicable to Group 'A' and Group 'B' officers.

[G.I., Dept. of Per. & Trg., O.M. No. 21011/28/93-Estt. (A), dated the 20th October, 1993.]

45. Performance-oriented appraisal system in CRs introduced.—1. The CR formats for different level of posts in Group 'C' and Group 'B' (non-Gazetted) employees have, therefore, been revised incorporating provisions for 'self-appraisal'. The revised formats are at Annexures-II, III and IV. (The format at Annexure-II relates to LDC/UDC, that at Annexure-III relates to Assistant in the Central Secretariat and the one at Annexure-IV relates to Private Secretary/Senior Personal Assistant/Stenographers 'C' and 'D' of CSSS). These formats are issued in supersession of this Department, O.M. No. 21011/1/77-Estt. (A), dated the 4th March, 1978 (*not printed*).

2. In regard to various posts of Group 'C' and Group 'B' (non-Gazetted), other than those mentioned above under the administrative control of the Ministries/Departments, the CR formats at Annexures-II and III are intended to serve as a model, and the Ministries/Departments may, if considered necessary, modify the formats to suit the functions attached to such posts under their control. It should, however, be ensured that Part-II and Item I of Part-III of the formats are included in all the formats so modified. As regards attributes/traits under Part-III, appropriate additions/modifications may be made depending on the nature of duties and responsibilities attached to such posts.

[G.I., Dept. of Per. & Trg., O.M. No. 12/2/84-PP. I, dated the 18th December, 1986 and dated the 3rd February, 1987.]

46. Introduction of qualitative and quantitative assessment of performance in CR formats for Officers of the Central Secretariat.—

1. Revision of the Confidential Report formats prescribed for the officers of the Central Government has been under consideration of the Government for some time with a view to evolving a new work culture and a new work ethics wherein the administration is result bound and not procedure bound. The rewards and punishments are related to performance and the Government servants are made accountable to the tasks and targets assigned to them. The quantitative and qualitative assessment of work performed by a Government servant should, therefore, necessarily be reflected in his CR. Accordingly, it has been decided to introduce a result-oriented performance appraisal system for employees in the Central Government from the reporting year ending 31st March, 1987.

2. All the Cadre Controlling Authorities of the various Central Services, Group 'A', have already been advised to review and revise the CR formats prescribed for their officers in order to make it a tool for qualitative and quantitative assessment of performance. As regards the officers of the Central Secretariat Service, CR format in respect of Section Officer, Desk Officer, Under Secretary, Deputy Secretary and Director have been reviewed and revised. The format given at Annexure-V is meant for officers of the level of Section Officer/Desk Officer/Under Secretary and the one given at Annexure-VI is intended for the officers of the level of Deputy Secretary/ Director. These formats will supersede the formats issued under this Department's O.M. No. 21011/1/77-Estt. (A), dated the 4th March, 1978 (*not printed*).

3. The revised CR formats for officials of the level of Assistant, Upper Division Clerk, Lower Division Clerk, Private Secretary, Senior Personal Assistant and Stenographers 'C' and 'D' of the CSSS are being issued separately (*See Annexure-IV*).

4. In regard to the isolated posts and group of posts not included in any organized service under the administrative control of the various Ministries/Departments, the formats given at Annexures-V and VI may be used as a model, and the Ministries/Departments may, if considered necessary, modify the

formats to suit the requirements of the posts in question. However, Part-II and Part-III of the formats should necessarily be included in all the formats and the attributes/traits given under Part-III 'B' may be suitably amended/modified according to the nature of duties and responsibilities assigned to such posts.

5. Attention is also invited to Part-II and Part-III 'A' of the formats at Annexures-V and VI wherein the officer reported upon is required to specify in order of priority eight to ten items of targets/objectives/goals in quantitative or other terms of work set by himself or were set for him in the beginning of the year and to indicate his achievements against each targets/goals/ objectives. The comments of the Reporting Officer on the entries against various columns under Part-II should be made in Part-III (*not printed*).***

6. For the reporting year from 1st April, 1987 and onwards, the practice of fixing physical/financial targets/objectives/goals for each year shall be adopted for each officer. These targets/objectives need not always be expressed in quantitative and physical measures. Wherever possible, they should be so expressed, but some targets/objectives could be set and described in qualitative terms or as goals or milestones which are intended to be achieved during the year. If an adequate analysis is made, every job can be broken down into tasks/goals/milestones. An endeavour should be made to look at one's job as consisting of specific targets/objectives/goals/milestones, whether they are described in quantitative terms or qualitative terms. Even in the case of officers in the Departments in the Secretariat with functions which are regulatory in character, enumeration of Annual Action Plan of the Division can be the targets/goals/objectives that could be filled under Part-II of the format.

7. The new appraisal system, to be effective, require certain attitudinal changes. The Reporting and Reviewing Officers should not shy away from mentioning shortcomings in performance, attitudes and overall personality of the officer reported upon. It should further be realized by the Reporting and Reviewing Officer that the whole objective is to develop the officer and the exercise of report writing is not intended to be a fault-finding process, but a developmental one. It would, therefore, be necessary that the import of the revised CR format, especially the points made herein, are clearly brought home to all the officers in the Ministry, Department, Office, etc.

8. So far, the CRs of the officers of some of the Central Services working in the Central Secretariat on posts of Under Secretary/Deputy Secretary and Director on deputation were being written in the CR formats prescribed for the respective service. It has been decided that the CRs of all officers working in the Central Secretariat in Secretariat posts of Under Secretary/Deputy Secretary/Director would be written in the formats prescribed for these posts. The formats at Annexures-V and VI shall, therefore, be used for writing CRs of all officers in the Central Secretariat holding posts of Under Secretary/Deputy Secretary and Director, irrespective of the Service to which they belong. The CRs of the officers of the All India Services would, however, continue to be written in the formats prescribed under Rule 4

of the All India Services (Confidential Rolls), 1970, to comply with the statutory requirement.

[G.I., Dept. of Per. & Trg., O.M. No. 12/2/84-PP, dated the 17th December, 1986.]

The confidential reports of all Central Service Officers and Central Secretariat Service Officers serving in the various Ministries/Departments of the Government of India on posts of the rank of Joint Secretary and equivalent may be recorded in Form II of the format prescribed for the IAS. In the case of Additional Secretary, Secretary and equivalent, the format as in Form III (Fixed Pay levels) of the format prescribed for the IAS may be used. These forms may be used for recording the confidential reports of the concerned officers from the reporting year ending 31st December, 1986/31st March, 1987 and onwards.

[G.I., Dept. of Per. & Trg., O.M. No. 12/2/84-PP, dated the 24th February, 1987.]

The reporting period of officers of those Central Services holding Secretariat posts under Central Staffing Scheme should be the same as that followed by the Service to which the officers belong; but in the case of officers holding posts of Under Secretary/Deputy Secretary/Director, the formats should be the ones prescribed for the CSS officers of that level.

[G.I., Dept. of Per. & Trg., O.M. No. 12/2/84-PP, dated the 25th March, 1988.]

47. CR dossiers of candidates called for interview on direct recruitment to be made available in time to UPSC.—Whenever officers already working in the Government apply for appointment by direct recruitment against vacancies advertised by the UPSC, the CR dossiers of such candidates should be made available for the perusal of the Commission for the purpose of finalizing selection of candidates. In this connection, the following procedure will be followed. The UPSC will forward to the requisitioning department a list of candidates and their employees as soon as the names of the candidates to be called for interview are finalized by the Commission. On receipt of the list, the requisitioning department will expeditiously collect the CR dossiers from the employers and make them available to the Commission before the interview takes place. It will not, however, be possible for the UPSC to hold up interviews for any recruitment in the event of the requisitioning department not sending the CR dossiers in time. The UPSC will consider the CR dossiers (to the extent they are available) before making their final recommendations.

[G.I., Dept. of Per. & Trg., O.M. No. 22011/14/86-Estt. (D), dated the 17th June, 1988.]

2. The above instructions were reiterated *vide* DoP&T, O.M. No. 22011/2/97-Estt. (D), dated the January 5, 1998.

3. UPSC has brought to Government's notice that quite often, complete CR Dossiers of all short-listed candidates were not made available by the requisitioning Departments. In some cases, only 2rd CRs were forwarded by

the Departments while in others, CR Dossiers of all the candidates were not made available.

4. As it will not be possible to delay selections till CRs of all the candidates serving in the Government become available, the Commission is obliged to hold selections on the basis of the available CRs. This expediency becomes unavoidable as most requisitioning Departments fail to provide to the Commission all the required CRs in good time. It may, even lead to odd situations such as selection of a candidate, whose CRs may have contained adverse remarks which would not be noticed because these were not supplied to UPSC in good time. Therefore, the need for the requisitioning Department to obtain and furnish full CR dossiers of all candidates short-listed by the Commission needs no emphasis.

5. Therefore, it is reiterated that all out efforts need to be made by the requisitioning Ministry/Department to collect and forward up-to-date CR Dossiers in respect of the short-listed candidates serving in the Government before the date of interview fixed by the Commission. If complete CR Dossiers are not available for any valid reason, the same should be ascertained and furnished to the Commission. Where a candidate has suffered any penalty, relevant details in this regard should also be furnished to the Commission. However, as already stated, it will not be possible for the Commission to defer the interview only for want of full CR dossiers and the selection will be made after taking into consideration the CRs to the extent they are available at the relevant time.

[G.I., Dept. of Per. & Trg., O.M. No. 22011/4/2005-Estt. (D), dated the 19th September, 2005.]

48. Reports of retired and deceased officers.—Confidential reports or copies thereof should not be given to a retired officer or anybody who has otherwise relinquished Government service. However, on request from such a person, there should be no objection to the issue of an objective testimonial based on his work and conduct.

Confidential reports relating to a deceased officer may be destroyed after a period of two years from the date of his death and that of a retired Government servant, five years after his date of retirement.

[C.S., O.M. No. 51/5/72-Ests. (A), dated the 20th May, 1972.]

48-A. Retention/custody of CRs of retired employees whose cases are pending in courts and with UPSC.—MHA's O.M. No. 51/14/60-Ests. (A), dated 21-10-1961 and Dept. of Per. & Trg's O.M. No. 51/5/72-Estt. (A), dated 20-5-1972 provide that Annual Confidential Reports of retired Government servants may be retained for a period of five years after the date of retirement.

2. Since a lot of problems were being faced in the absence of the Annual Confidential Reports, when the proposals by the Ministries/Departments were sent to the Union Public Service Commission for consideration of their promotion after the retirement of the officers whose cases are pending in

courts. Therefore, the existing system of retention of ACR dossiers of Government servants has been revised by this Department as per recommendation of Union Public Service Commission.

3. Accordingly, it has been decided that the Annual Confidential Reports of the officers who have retired will be preserved/kept in safe custody till the time for filing of an appeal, has lapsed or till a final decision in the appeal, filed by an officer in the court, has been taken or the promotion case of the officer is pending with UPSC.

4. All the Ministries/Departments are requested to bring this into the notice of all concerned for information and necessary action.

5. This issues with the approval of Joint Secretary (E), Department of Personnel and Training.

[G.I., Dept. of Per. & Trg., O.M. No. 2101 1/6/2001—Estt. (A), dated the 14th May, 2001.]

49. Consideration of CRs for—(a) For Promotion.—Confidential Rolls are the basis inputs on the basis of which assessment is to be made by each DPC. The evaluation of CRs should be fair, just and non-discriminatory. Hence—

- (a) The DPC should consider CRs for equal number of years in respect of all officers considered for promotion subject to (c) below.
- (b) The DPC should assess the suitability of the officers for promotion on the basis of their service record and with particular reference to the CRs for 5 preceding years. However, in cases where the required qualifying service is more than 5 years, the DPC should see the record with particular reference to the CRs for the years equal to the required qualifying service. (If more than one CR has been written for a particular year, all the CRs for the relevant year shall be considered together as the CR for one year.)
- (c) Where one or more CRs have not been written for any reason during the relevant period, the DPC should consider the CRs of the years preceding the period in question and if in any case even these are *not* available, the DPC should take the CRs of the lower grade into account to complete the number of CRs required to be considered as per (b) above. If this is also not possible, all the available CRs should be taken into account.
- (d) Where an officer is officiating in the next higher grade and has earned CRs in that grade, his CRs in that grade may be considered by the DPC in order to assess his work, conduct and performance, but no extra weightage may be given merely on the ground that he has been officiating in the higher grade.
- (e) The DPC should not be guided merely by the overall grading, if any, that may be recorded in the CRs but should make its own

assessment on the basis of the entries in the CRs, because it has been noticed that sometimes the overall grading in a CR may be inconsistent with the grading under various parameters or attributes.

- (f) If the Reviewing Authority or the Accepting Authority, as the case may be, has overruled the Reporting Officer or the Reviewing Authority, as the case may be, the remarks of the latter authority should be taken as the final remarks for the purposes of assessment, provided it is apparent from the relevant entries that the higher authority has come to a different assessment consciously after due application of mind. If the remarks of the Reporting Officer, Reviewing Authority and Accepting Authority are complementary to each other and one does not have the effect of overruling the other, then the remarks should be read together and the final assessment made by the DPC.

[Dept. of Per. & Trg., O.M. No. 22011/5/86-Estt. (D), dated the 10th April, 1989—Para. 6.2.1.]

(b) *For Premature Retirement.*—Entries in the CR dossier of an officer will of course, form a very important part of the total service record taken into consideration while reviewing any proposal for premature retirement. There are, however, certain misconceptions relating to the procedure to be adopted in this behalf and clarifications are given below based on judicial pronouncements.

The general impression prevalent that the Review Committee shall not take into account any remark that has not been communicated to the officer, is not a self-restraint that should invariably hold good in all circumstances. Non-communication of an adverse entry in regard to doubtful integrity may not be fatal in certain circumstances.

In a particular case, while an odd adverse remark that may not have been communicated to the officer concerned, could be taken into account as part of the total service record considered by the Review Committee, it would not, as a matter of course, be appropriate to take into account adverse remarks which have not been communicated to the officer.

The Supreme Court has also not accepted the contention that a remark of a genuine nature, without basing it on a specific instance, does not give an adequate opportunity for representation against it and should not, therefore, be taken into account.

Another point to be kept in view is that, when an overall assessment is made of the record of a Government servant, more than ordinary value should be attached to the confidential remarks pertaining to the years immediately preceding the review. It is possible that a Government servant having a somewhat erratic record in the early years of service may have so greatly improved with the passage of time that it would be appropriate to continue him in service up to the prescribed age of superannuation. Whatever value the confidential remarks

of earlier years may possess, those pertaining to the later years immediately preceding the review are of direct relevance and hence of utmost importance.

[G.I., Dept. of Per. & Trg., O.M. No. 25013/30/85-Estt. (A), dated the 7th August, 1985 and No. 25013/38/85-Estt. (A), dated the 7th March, 1986.]

(49-A) Entry of punishments in confidential rolls.—It has been decided that if as a result of disciplinary proceedings any of the prescribed punishment (e.g., censure, reduction to a lower post, etc.) is imposed on a Government servant, a record of the same should invariably be kept in his confidential roll.

[G.I., M.H.A., O.M. No. 38/12/59-Ests. (A), dated the 23rd April, 1960.]

50. Pro formas of Confidential Report in bilingual form.—A need has been felt for bringing out the CR formats bilingually. Accordingly, the confidential reports in respect of officers holding posts of Director/Deputy Secretary/Under Secretary/Desk Officer/Section Officer, Assistant, UDC/ LDC, Private Secretary/Senior Personal Assistant/Stenographers 'C' and 'D' of CSSS shall henceforth be written in the bilingual format (*not printed*) and the officer reported upon and the Reporting Officer/ Reviewing Officer shall give their self-appraisal or assessment, as the case may be, in either English or Hindi, as they may so desire. All the Cadre Controlling Authorities for the various Central Government servants/posts are requested to undertake a similar exercise and ensure that the CR format prescribed by them are also brought out bilingually from the reporting year ending 31st March, 1989.

[G.I., Dept. of Per. & Trg., O.M. No. 21001/17/88-Estt. (A), dated the 20th January, 1989.]

Wherever adequate number of CR forms in the old format are available, the same may be allowed to be used for the Current Year 1988-89 and new format be made applicable from the subsequent year, i.e., 1989-90.

[G.I., Dept. of Per. & Trg., O.M. No. 21011/17/89-Estt. (A), dated the 4th April, 1989.]

51. Writing of CRs on officers appointed on contract.—A question has been raised whether confidential reports should be written on officers appointed on contract. The matter has been carefully examined in this Department. Confidential report is an annual assessment of the work and conduct of every officer serving under the Government and there is no reason for dispensing with the writing of CRs in the case of officers appointed on contract. Further, the CR written on the officer appointed on contract will enable the authorities to keep a watch on his performance and decide whether to terminate the contract or renew it, according to the circumstances of each individual case. In the circumstances, CRs may be written even in respect of an officer appointed on contract by his immediate superior, i.e., the officer under whose supervision he is placed and it should also be got reviewed by the officer superior to the Reporting Officer, where applicable.

[G.I., D. P. & A.R., O.M. No. 21011/1/84-Estt. (A), dated the 26th April, 1984.]

52. Time-Schedule for preparation of Confidential Reports.—1. In spite of the instructions issued by this Department from time to time, confidential reports on Central Government employees are not written expeditiously with

the result that complete CR dossiers are not available when employees are considered for confirmation, promotion, deputation to *ex cadre* posts, etc. This often results in delay in the issue of orders of promotion, etc., and thereby causes hardship to the employees whose cases are due for consideration. To improve this situation and further streamline the procedure for writing the annual CRs of Central Government employees, it has been decided that a strict time-schedule should be prescribed for various stages in the matter of writing of CRs and this time-schedule should be adhered to by all the authorities concerned. The time-schedule to be followed is given in the enclosed statement and it should be strictly complied with. Any failure on the part of the Reporting/Reviewing Officers to comply with the time-schedule should be viewed seriously and in the absence of proper justification for such delay, the officers superior to the Reporting/Reviewing Officers can issue a written warning for the delay in completing the ACRs and place the warning in the ACR folder of the Reporting/Reviewing Officers concerned. Clarifications in regard to some of the items in the enclosed statement are also given in the succeeding paragraphs for avoidance of doubts.

2. In regard to Item 2 in the time-schedule, it is clarified that a Reporting Officer should not wait till the expiry of the time-limit for self-appraisal of the officer to be reported upon. After the expiry of the first week, if self-appraisal is not received by that time, the Reporting Officer should take it upon himself to remind the officer to be reported upon in writing, asking him to submit the self-appraisal by the stipulated date. It should also be made clear in the reminder that if the officer to be reported upon fails to submit the self-appraisal by the stipulated date, the report will be written without self-appraisal. If no self-appraisal is received by the stipulated date, the Reporting Officer can obtain another blank CR form and proceed to write the report on the basis of his experience of the work and conduct of the officer reported upon. While doing so, he can also point out the failure of the officer reported upon to submit his self-appraisal within the stipulated time.

3. When the Reporting Officer completes his part of the report and submits the report to the Reviewing Officer for review, he may do so under intimation to the Administration or CR Section/Cell, as the case may be. Thereafter, it shall be the duty of the Administration or CR Section/Cell, as the case may be, to keep in touch with the Reviewing Officer to secure the timely completion of the CR.

4. The Administration or CR Section/Cell should not wait till the expiry of the time allotted to the Reviewing Officer for the completion of his part of the report. They should remind the Reviewing Officer at least 5 days before the expiry of the stipulated date for completing the CRs, if the completed CRs are not received by that time. If in spite of such reminders, the complete CR is not received by the stipulated time, the fact may be brought to the notice of the officer superior to the Reviewing Officer for taking appropriate action.

5. It shall be the duty of the Reviewing Officer to forward the complete CR to the Administration or CR Section/Cell so as to reach them on or before the stipulated date. If, for unavoidable reasons, some delay is expected to

occur in forwarding the complete CR, the Administration or CR Section/Cell should be informed suitably and every effort should be made to send the complete CR within one week after the stipulated date.

It may be noted that in Item 3 of the time-schedule attached to this OM, there is a third set of dates. This has been prescribed with a view to giving sufficient time to Reporting Officers who may also be Reviewing Officers for officers two levels below them so that they may have time to keep a watch on the completion of reports by Reporting Officers under them by the due dates prescribed for Reporting Officers. Correspondingly, there is a third set of time-limit in Item 4 also.

6. Where the stipulated dates happen to be holidays or closed days, the working day immediately following the closed day or holiday should be deemed to be the stipulated date.

7. It shall be the duty of the Administration or CR Section/Cell to keep a regular watch on the progress in the completion of CRs at different stages. If no intimation is received from the Reporting Officer regarding the submission of the CRs by him to the Reviewing Officer within 5 days after the expiry of the stipulated date for completion of his part of the CR, the matter should be taken up immediately with the Reporting Officer so that the report is submitted by him to Reviewing Officer without any further delay. Similar action should be taken if the complete report is not received from the Reviewing Officer. Any delay on the part of the Reporting/Reviewing Officer, in spite of their being reminded as above, should be brought to the notice of the Reviewing Officer/officer superior to the Reviewing Officer, as the case may be.

8. Whenever there is a change in the Reporting Officer, it shall be the duty of the Administration or CR Section/Cell to get the report written by the earlier Reporting Officer within 3 weeks of such change, if no self-appraisal by the officer reported upon is required, and within 5 weeks of such change if the self-appraisal by the officer reported upon is required to be given. The reports so written by the earlier Reporting Officer may be got reviewed immediately (without waiting till the end of the calendar year or financial year, as the case may be) within two weeks after the receipt of the report from the earlier Reporting Officer. The successor Reporting Officer writing the report up to the end of the year should adhere to the time-limit specified in the attached statement, provided he has the requisite experience of three months or more of the work and conduct of the officer reported upon.

ENCLOSURE
TIME-SCHEDULE FOR PREPARATION
OF CONFIDENTIAL REPORTS

Nature of action	Date by which to be completed
1. Distribution of blank CR 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).	31st March. (This may be completed even a week earlier).

Nature of action	Date by which to be completed
2. Submission of self-appraisal to Reporting Officer by officer to be reported upon (where applicable).	15th April.
3. Submission of report by Reporting Officer to Reviewing Officer.	
—Where self-appraisal by officer reported upon is prescribed.	7th May.
—Where self-appraisal by officer reported upon is <i>not</i> prescribed.	21st April.
—Where officer reported upon is himself a Reporting Officer for subordinates under him.	22nd May.
4. Report to be completed by Reviewing Officer and sent to Administration or CR Section/ Cell.	23rd May where the due date for the <u>Reporting Officer is 7th May.</u>
	7th May where the due date for the <u>Reporting Officer is 21st April.</u>
	5th June where the due date for Reporting Officer is 22nd May.

[G.I., Dept. of Per. & Trg., O.M. No. 35014/4/83-Estt. (A), dated the 23rd September, 1985.]

53. Instructions for timely completion of Annual Confidential Reports, reiterated.—The undersigned is directed to refer to the instructions contained in this Ministry's O.M. No. 35014/4/83-Estt. (A), dated 23-9-1985 on the subject noted above and to say that according to the prescribed time-schedule, the Annual Confidential Reports (ACRs) should be completed by the 5th June, in respect of a financial year.

2. A case has come to the notice of this Ministry where ACRs of some of the officers were not available for four years, out of the assessment period of five years, the reason being that reporting/reviewing officers had retired from service. As a result, the Union Public Service Commission (UPSC) had to recommend officers for promotion to the next higher grade on the basis of available ACRs of the preceding years. This led to a situation where the Departmental Promotion Committee (DPC) had to assess ACRs for the periods which were the basis of promotion of officers to the post presently held by them.

3. The case cited in the preceding paragraph has arisen because of non-adherence to the instructions about timely completion of Annual Confidential Reports. Non-availability of ACRs for abnormally long periods could affect just and fair selection by the Departmental Promotion Committees and the UPSC.

4. It is requested that the instructions contained in this Ministry's O.M., dated 23-9-1985 should be carefully observed for ensuring availability of ACRs for just and fair selections.

[G.I., Dept. of Per. & Trg., O.M. No. 21011/02/98-Estt. (A), dated the 20th April, 1998.]

54. SC/ST community column in Part-I of the CR formats of Group 'A' officers, deleted.—The undersigned is directed to say that Confidential Report formats of Central Services Group 'A' officers and other Group 'A' officers, including CHS officers, have a column in Part-I to indicate whether they belong to SC/ST community. A suggestion was made that this column should be deleted from the CR formats as it operated to the disadvantage of SC/ST officers.

2. This suggestion was examined in consultation with the National Commission for Scheduled Castes and Scheduled Tribes. The Commission agreed to the deletion of the column in Part-I of CR formats of Group 'A' officers meant to indicate whether they belong to SC/ST community.

3. It has, therefore, been decided to delete the said column in CR formats of Group 'A' officers with effect from the next reporting year.

4. CR formats prescribed by this Department *vide* O.M. No. 12/2/84-PP, dated 18-12-1986, *inter alia* for the post of Under Secretary, Deputy Secretary/Director in the Central Secretariat would stand modified accordingly.

5. All the Cadre Controlling Authorities are requested to delete the said column in CR formats of Central Services Group 'A' officers and other Group 'A' officers, including CHS officers.

[G.I., Dept. of Per. & Trg., O.M. No. 21011/6/97-Estt. (A), dated the 17th February, 1999.]

55. Post of Under Secretary to be clubbed with Deputy Secretary/Director in the CR format.—The undersigned is directed to refer to this Department's OM, of even number, dated 17-2-1999 on the subject noted above and to clarify that instructions relating to deletion of the column in Part-I of CR formats of Group 'A' officers meant to indicate whether they belong to SC/ST community would be effective from the next reporting year, i.e., 1999-2000.

2. It is further clarified that CR formats prescribed by this Department, *vide* O.M. No. 12/2/84-PP, dated 18-12-1986 *inter alia* for the post of Under Secretary may be segregated from the format meant for Section Officer/Desk Officer and clubbed with the format prescribed for the post of Deputy Secretary/Director.

[G.I., Dept. of Per. & Trg., O.M. No. 21011/6/97-Estt. (A), dated the 5th April, 1999.]

56. Writing of ACRs of J.S./Directors in-charge of the PSU.—The undersigned is directed to say that consequent upon creation of the Department of Disinvestment (DoD), which is fully dedicated to and responsible for

disinvestment, it has become necessary to equip this Department with appropriate control, only for the purpose of disinvestment, over the officers of Administrative Ministries dealing with Public Sector Undertakings (PSUs).

2. It has, therefore, been decided that for implementation of Government decisions relating to disinvestment of Government equity from a PSU, the Joint Secretary or the Director in-charge concerned with that PSU in the Administrative Ministry would continue to be responsible. He/She would, however, put up the files to Secretary/Minister of DoD instead of the Secretary/Minister of the Administrative Ministry concerned, using the existing intermediate channels. It has also been decided that the Annual Confidential Reports (ACRs) of such a Joint Secretary or Director in-charge would be written at the level of Secretary to Government by both Secretary of DoD as well as the Secretary of the Administrative Ministry in the following manner:—

- (i) ACR of the officer concerned would be first written by the Secretary of the Administrative Ministry/Department under whose administrative control the PSU falls.
- (ii) The Secretary, DoD would also write a report on Joint Secretary or Director in-charge of a PSU in the Administrative Ministry/Department. If the Director/Joint Secretary of the Administrative Ministry/Department is looking after more than one component of work in addition to the disinvestment work, then the report/review/acceptance of ACR by the Department of Disinvestment will be limited to only the disinvestment component of work.
- (iii) The reports referred to at (i) and (ii) above would then be submitted to the Minister in-charge of the Administrative Ministry for a review.
- (iv) After the review by the Minister in-charge, the report would be submitted to the Minister in-charge of the DoD for his counter-signature.
- (v) Where the Minister in-charge in an Administrative Ministry is the Prime Minister himself, the reports at (i) and (ii) above would, in the first instance be submitted to the Minister in-charge of DoD for a review and thereafter submitted to P.M.
- (vi) The ACRs will be recorded in Form II of the format prescribed for IAS Officers (Super Time Scale).

[G.I., Dept. of Per. & Trg., O.M. No. 21011/2/2000-Estt. (A), dated the 9th March, 2000.]

57. Clarifications regarding CRs of Junior Telecom Officers.—A large number of references from various circles are being received in the aftermath of-classification of JTO post as (GCS) Group 'B'—Gazetted, seeking

clarifications on certain points. The point of doubts raised therein are clarified at seriatim:—

Points of Doubts	Clarifications
1. Whether the ACR in respect of JTO is to be written in Form APP-11 as was being done earlier even though the JTO post has been classified as GCS Group 'B' Gazetted or to be written in Form APP-54 as applicable in respect of TES Group 'B'- Gazetted?	For the period 1999-2000, the ACR in respect of JTO is to be written in the Form APP-11 as being done earlier. However, the ACR for the period from 2000-2001 onwards is to be written in Form APP-54.
2. Who is the Competent Authority to accept the resignation and voluntary retirement notices of JTOs now?	Advisor DTS has been made Appointing Authority in respect of JTO [<i>vide</i> notifications No. 13-13/92-Vig. III, dated 19-5-2000]. Thus, the case of resignation and voluntary retirement in respect of JTO are required to be forwarded to Directorate, for approval of the Competent Authority.
3. Whether the JTO cadre belongs to Circle cadre or All India cadre?	The JTO cadre still remains Circle cadre even after classifying it as (GCS) Group 'B'-Gazetted.
4. Whether the JTOs are still covered to be transferred under Rule-38 of P & T Manual (Volume-IV)?	Since the JTO cadre still remains Circle cadre. In view of this, the concerned CGMs are competent to consider the request of JTOs for transfer under Rule-38.
5. Whether Heads of Circles are still empowered to issue orders for local officiating from (GCS) Group 'B' to TES, Group 'B'?	Yes. Circle Office is empowered to effect the local officiating promotion in the TES, Group 'B' cadre.
6. The placement in the higher scale under Lateral Advancement Scheme is still to be given even after the JTO post has become (GCS) Group 'B'-Gazetted. If so, what composition of DPC is required to be followed?	Yes, Lateral Advancement scale is continued to be granted to JTOs even though the JTO post has been classified as (GCS) Group 'B'-Gazetted. As regards composition of DPC, in all such cases DPC composition as mentioned in the Recruitment Rules, 1999 is required to be followed.

Points of Doubts	Clarifications
7. Whether the JTOs appointed prior to 31-8-1999 have also been classified as (GCS) Group 'B' — Gazetted as the revised Recruitment Rules, 1999, has come into effect only on 1-9-1999.	The existing strength of JTOs automatically stands absorbed in the Grade of (GCS) Group 'B'—Gazetted (Non-Ministerial) with effect from 1-9-1999.

[G.I., Dept. of Telecom., No. 5-17/99-NCG, dated the 17th July, 2000.]

58. ACRs of Integrated Financial Advisers.—In the matter of writing Reports on the Integrated Financial Advisers, the following procedure should be followed:—

- (1) The Confidential Report on the Integrated Financial Adviser would be initiated by the Secretary of the Administrative Ministry/Department to which the Integrated Financial Adviser is attached.
- (2) Where the Integrated Financial Adviser is attached to more than one Ministry/Department, the Secretaries in the Ministries/Departments concerned would write separate reports.
- (3) The Secretary concerned in the Ministry of Finance would write a report on each of the Integrated Financial Advisers.
- (4) The Reports referred to at (1), (2) and (3) above would then be submitted to the Minister in charge of the Administrative Ministry for a review.
- (5) After review by the Minister(s) in the Administrative Ministry/Ministries, the report or reports would be submitted to the Finance Minister for his counter-signature.
- (6) Where the Minister in the Administrative Ministry is the Prime Minister himself, the reports referred to at (1), (2) and (3) above would, in the first instance, be submitted to the Finance Minister for a review and thereafter submitted to the Prime Minister.

[G.I., D.P. & A.R., O.M. No. 21011/2/77-Estt. (A), dated the 22nd June, 1977 and Para. 6.3 of Brochure on Preparation and Maintenance of Confidential Reports.]

59. ACRs of Chief Controllers/Controllers of Accounts.—In the case of Chief Controllers/Controllers of Accounts, whose reports are written by Integrated Financial Adviser and reviewed by the Secretary in the Administrative Ministry/Department, the Controller General of Accounts will communicate his remarks or observations, whenever he feels it necessary, to the Secretary concerned for incorporating the same in the Confidential Reports of the Chief Controller/Controller of Accounts. On receipt of such remarks from the Controller General of Accounts, the Secretary concerned,

as the Reviewing Officer, may incorporate them, adding his own comments, if necessary.

[G.I., D.P. & A.R., O.M. No. 21011/2/79-Estt. (A), dated the 26th April, 1979 and Para. 6.4 of Brochure on Preparation and Maintenance of Confidential Reports.]

60. ACRs of Chief Vigilance Officers.—In regard to Chief Vigilance Officers, who are working on a full-time basis, their Confidential Reports shall be written by the Secretary of the Ministry/Department concerned. Thereafter, the Report would be reviewed by the Minister. As regards Chief Vigilance Officers working on a part-time basis in addition to other items of work, where the vigilance work forms the major part of the Government servant's work, the Head of the Department would write the Confidential Report after obtaining the opinion of the immediate superior about the performance of the Government servants reported upon in the non-vigilance areas and thereafter the report would be reviewed in the manner indicated above. Where the vigilance work forms only a small part of the work of the part-time Chief Vigilance Officer and he is mostly engaged on other work, the Reporting Officer in respect of the major items of work would record his assessment in respect of non-vigilance work and submit the same to the Head of the Department, who will not only review the Report but also add his remarks about vigilance work. The work of the Chief Vigilance Officer will also be assessed by the Central Vigilance Commissioner as provided in the Government Resolution setting up the Central Vigilance Commission.

[G.I., Dept. of Per. & Trg., O.M. No. 122/2/85-AVD.I, dated the 28th January, 1986 and Para. 6.6 of Brochure on Preparation and Maintenance of Confidential Reports.]

61. Placing of letter of appreciation or notes of commendation in CR Dossier should be discouraged.—The practice of granting letter of appreciation or notes of commendation to Government servants and placing them in Confidential Reports Dossier should be discouraged except in the following cases:—

- (i) Letters of appreciation issued by the Government or a Secretary or Head of Department in respect of any outstanding work.
- (ii) Letters of appreciation issued by special bodies or commissions or committees, etc., or excerpts of their Reports expressing appreciation for a Government servant by name.
- (iii) Letters of appreciation from individual non-officials or from individual officials (other than a Secretary or Head of Department) may go into the Confidential Report if confined to expressing appreciation for services rendered far beyond the normal call of duty and provided the Secretary or the Head of the Department so directs.

Appreciation of work should be recorded in Annual Confidential Report rather than in letters of appreciation which do not give complete perspective of the Government servant's good and bad points.

[G.I., D.P. & A.R., O.M. No. 51/5/72-Estt. (A), dated the 20th May, 1972 and Para. 7.8 of Brochure on Preparation and Maintenance of Confidential Reports.]

62. Only photocopy of CR dossier should be sent to outside authority.—Whenever it becomes necessary to send the Confidential Reports dossier to an outside authority for purpose of selection, promotion, appointment, etc., it would be advisable to keep the original Confidential Reports dossier with the cadre authorities and send out only a photocopy. If the Character Roll is required simultaneously at more than one place, the requisite number of photocopies may be prepared and sent. However, sufficient safeguards should be taken to ensure that the confidentiality of the Character Roll is not lost and the minimum number of copies are made under the supervision of a responsible Government servant. Care should also be taken to ensure that the photocopies are destroyed immediately after the purpose for which they were made has been accomplished.

[G.I., Dept. of Per. & Trg., O.M. No. 21011/1/85-Estt. (A), dated the 23rd August, 1985 and Para. 7.3 of Brochure on Preparation and Maintenance of Confidential Reports.]

63. Where ACRs are prepared in duplicate.—In some cadres, the Annual Confidential Reports of the Government servants are prepared in duplicate. In such cases, whenever Confidential Report of a Government servant is needed by any outside authority, the duplicate copy may always be sent, keeping back the original. In other cases, it would be advisable to have a single photocopy of the entire Confidential Reports so that the original can be kept back by the cadre controlling authorities and only photocopy sent out. While doing so, the cadre controlling authorities should prescribe the safeguards to ensure the security and confidentiality of the Confidential Report dossier.

[G.I., Dept. of Per. & Trg., O.M. No. 21011/1/85-Estt. (A), dated the 23rd August, 1985 and Para. 7.4 of Brochure on Preparation and Maintenance of Confidential Reports.]

64. Copies of CR dossiers or the substance of the Reports should not be sent to private bodies.—Copies of Confidential Report dossiers or the substance of the Reports contained in the dossier should not be sent to private bodies in connection with any purpose whatsoever. However, where a request is received from a public undertaking or an autonomous body controlled by Government, a gist of the relevant Confidential Reports may be supplied, unless Government's own interest requires that the management of the public undertaking or autonomous body should see the Confidential Reports in full. In such cases, the full dossier may be furnished to the offices concerned after taking the orders of administrative Ministry/Department in the case of Group 'A' or Group 'B' Government servant.

[G.I., Dept. of D.P. & A.R., O.M. No. 51/5/72-Estt. (A), dated the 20th May, 1972 and Para. 7.5 of Brochure on Preparation and Maintenance of Confidential Reports.]

65. Timely submission of ACR of CHS Officer.—Reference this Ministry's O.M. of even number, dated the 9th December, 2005 asking all the Officers belonging to the Central Health Service (CHS) to ensure completion of their Annual Confidential Reports (ACRs) in order to consider the case for timely promotion, confirmation, etc., in different grades.

The levels of Reporting/Reviewing Officers have already been conveyed *vide* Order No. A. 28012/2/2000-CHS V, dated 30-5-2000. It has also been provided in the said order that the Officer In-charge of the Hospital/Dispensary/Institutions shall be responsible for timely completion of ACR and subsequent submission to the Ministry. Over the years, it has however, been observed that neither the Officers to be reported upon, Reporting Officer nor the Reviewing Officer made any sincere efforts to complete this important document in time. The Heads of the Hospital/Dispensary/Institutions also did not succeed in ensuring the timely completion/submission of the ACRs.

It may be pertinent to mention that completion/submission of the ACRs is a collective responsibility of the Officer to be reported upon, Reporting Officer and Reviewing Officer. If any of these levels falters in its responsibility, the whole system gets derailed, thereby resulting in avoidable delay in processing the cases of holding of DPCs for confirmation/promotion of eligible Officers and taking other crucial decisions by this Ministry regarding Service matter of the Officers belonging to the Service.

The situation of non-submission/availability of ACRs in time has been reviewed. Keeping in view of the diversity of the various sub-cadres of the Central Health Services comprising over hundred participating units, spread over the entire country and as the individual Officer had failed in ensuring timely completion of the ACRs, it has been decided that one Officer may be designated as Nodal Officer in respect of all CHS Officer posted in various participating units, located at one place. A list of Officers designated as Nodal Officer location-wise is Annexed.

The Nodal Officer will be responsible for getting the ACRs of the CHS Officers posted at that station in any Office/Unit, completed within the prescribed time-frame and forwarding the ACRs to the Ministry in a time-bound manner. For this purpose, they will interact with the Heads of the Offices of various participating units located in that place and pursue with them the completion of the ACRs of all CHS Officers posted in that Office in time. In case of non-compliance of the time-frame for submission of ACR by any of the Head of the Offices, the Nodal Officer will report the same to the Ministry of Health and Family Welfare for resorting to further course of action, as deemed fit.

ANNEXURE

List of Nodal Officers

S. No.	Designation of the Nodal Officer	Location	Name of the Offices	
1.	Addl. Director (CGHS)	Allahabad	♦	CGHS, Allahabad
			♦	Labour Welfare Org.
2.	Addl. Director (CGHS)	Ahmedabad	♦	CGHS, Ahmedabad
			♦	Regional Office of Health and Family Welfare, Ahmedabad

SWAMY'S — CONFIDENTIAL

Designation of the Nodal Officer	Location	
Addl. Director (CGHS)	Bangalore	♦
		♦
		♦
		♦
Addl. Director (CGHS)	Bhubaneshwar	♦
		♦
		♦
Joint Director (CGHS)	Bhopal	♦
		♦
		♦
		♦
		♦
		♦
Addl. Director (CGHS)	Chennai	♦
		♦
		♦
		♦
		♦
Joint Director (CGHS)	Chandigarh	♦
		♦
		♦
		♦
Addl. Director (CGHS) Headquarter	Delhi	♦
Director (A&V) Dte. GHS	Delhi	♦
		♦
		♦

SWAMY'S — CONFIDENTIAL

Designation of the Nodal Officer	Location	
		♦
Addl. Director (CGHS)	Lucknow	♦
		♦
		♦
		♦
Addl. Director (CGHS)	Mumbai	♦
		♦
		♦
		♦
		♦
		♦
		♦
		♦
Addl. Director (CGHS)	Patna	♦
		♦
		♦
Addl. Director (CGHS)	Ranchi	♦
		♦
Addl. Director (CGHS)	Shillong	♦
		♦
		♦
		♦
Regional Director, ROHFW	Shimla	♦
Addl. Director (CGHS)	Trivandrum	♦
		♦
		♦

66. Disclosure of Annual Confidential Reports under the RTI Act, 2005.—The undersigned is directed to say that a number of applications are received under the Right to Information Act, 2005 requesting for supply of copies of Annual Confidential Reports (ACRs) of employees. The matter regarding disclosure of the ACRs under the Act has been examined in consultation with the Department of Legal Affairs.

2. Clause (j) of sub-section (1) of Section 8 of the RTI Act provides that there is no obligation to give any citizen an information which relates to personal information and disclosure of which has no relationship to any public activity or interest, or which would cause unwarranted invasion of privacy of the individual unless the Public Information Officer or the Appellate Authority, as the case may be, is satisfied that the larger public interest justifies the disclosure of such information. An ACR contains information about the character, capability and other attributes of the official reported upon, disclosure of which to any other person amounts to cause unwarranted invasion of the privacy of the individual. Besides, an ACR, as its name suggests, is a confidential document. The Official Secrets Act, 1923 is not completely superseded by the Right to Information Act. Sub-section (2) of Section 8 of the 2005 Act gives a discretion to the public authority to disclose or not to disclose the ACRs of an officer to himself or to any other applicant.

3. It is clear from the above discussion that the public authority is not under obligation to disclose ACRs of any employee to the employee himself or to any other person inasmuch as disclosure of ACRs is protected by Clause (j) of sub-section (1) of Section 8 of the RTI Act; and an ACR is a confidential document, disclosure of which is protected by the Official Secrets Act, 1923. However, the public authority has a discretion to disclose the Annual Confidential Reports of an employee to the employee himself or to any other person, if the public authority is satisfied that the public interest in disclosure outweighs the harm to the protected interests. If it is felt that public interest in disclosure of ACR of any employee outweighs the protected interests, decision to disclose the ACRs should be taken with the approval of the competent authority. Competent authority in the matter may be decided by the concerned public authority.

[G.I., Dept. of Per. & Trg., O.M. No. 10/20/2006-IR, dated the 21st September, 2007.]

ANNEXURE-I

HISTORY SHEET

A—To be filled by the Officer

1. Name in (full)
2. Father's name
3. Date of birth
4. Place of birth
5. Home Village / Town [in accordance with
M.H.A., O.M. No. 43/1/55-Estt. (A), Pt. II,
dated 10-10-1956]

6. Whether belongs to Scheduled Castes
Scheduled Tribes
 (If so, exact caste or tribe to be specified)

7. Educational Qualifications:

Degree or Examination passed	University	Year	Division or Distinction obtained, if any
------------------------------	------------	------	--

8. Details of qualifications in Hindi or other special qualifications (e.g., Science, Commerce, Accounts, etc.), if any:

Examination passed	University or other recognized Institution	Year	Division or Distinction obtained, if any
--------------------	--	------	--

B — To be filled by the Department/Office

I. Brief Record of service:

Appointment held and scale of pay	Department / Office	Period	
		From	To

II. Details of approved courses of training / study, including refresher courses undergone or departmental examinations passed, if any:

Particulars of the Course of study / training or departmental examinations	Whether completed successfully or passed	Details of distinction obtained or special commendations received, if any
--	--	---

III. Details of qualifications in Hindi or other special qualifications (e.g., in Science, Commerce, Accounts, etc.) acquired, if any:

Examination passed	Name of authority conducting the examination	Year of examination	Class or Distinction obtained, if any
--------------------	--	---------------------	---------------------------------------

5. Proficiency in his work, viz., maintenance of prescribed registers and charts, etc.
6. Intelligence, keenness and industry
7. Has he ever been entrusted with work other than routine? If so, indicate his capacity to express himself with clarity and comprehension, in his notes and drafts
8. Amenability to discipline
9. Punctuality in attendance
10. Relations with fellow employees/Public Relations (wherever applicable)
11. Has the officer been reprimanded for indifferent work or for other causes during the period under report? If so, please give brief particulars
12. Has the officer done any outstanding or notable work meriting commendation? Briefly mention them
13. Integrity (Please *See* Note below the Instructions)
14. Grading (Outstanding/Very Good/Good/ Average/ Below Average)
(An Officer should not be graded outstanding, unless exceptional qualities and performance have been noticed; grounds for giving such a grading should be clearly brought out.)
15. Effectiveness in the development and protection of Scheduled Castes and/or Scheduled Tribes:
 - (a) Attitude towards SCs and/or STs
 - (b) Sensitivity to social justice
 - (c) Ability to take quick and effective action to prevent and quell atrocities and ensure justice to SCs and/or STs
 - (d) Effectiveness in bringing about the development of SCs and/or STs

Signature of the Reporting Officer:

Place:

Name in Block letters:

Date:

Designation:

(during the period of report)

Part - IV — Remarks by Reviewing Officer

1. Length of service under Reviewing Officer ...
2. Is the Reviewing Officer satisfied that the Reporting Officer has made his/her report with

- due care and attention and after taking into account all the relevant material?
3. Do you agree with the assessment of the officer given by the Reporting Officer?
(In case of disagreement, please specify the reasons.)
Is there anything you wish to modify or add?
 4. If the Officer reported upon is a member of a Scheduled Caste / Tribe, please indicate specifically whether the attitude of the Reporting Officer in assessing the performance of the SC/ST Officer has been fair and just
 5. General remarks with specific comments about the general remarks given by the Reporting Officer and remarks about the meritorious work of the officer including the grading
 6. Has the Officer any special characteristics, and/or any abilities which would justify his/her selection for special assignment or out-of-turn promotion?..

Signature of the Reviewing Officer:

Place:

Name in Block letters:

Date:

Designation:
(during the period of report)

ANNEXURE – III

FORM OF CONFIDENTIAL REPORT OF ASSISTANTS

Ministry / Department / Office

Report for the year / period ending

Part - I — Personal Data

(To be filled by the Administrative Section of the Ministry / Department / Office)

1. Name of Officer
2. Designation / Post held
3. Date of birth
4. Whether the officer belongs to Scheduled Caste/Scheduled Tribe
5. Date of continuous appointment to the present grade, viz.
6. Whether Permanent / Quasi-Permanent or Temporary

- | | Section | Period |
|---|---------|--------|
| 7. Sections in which served during the year under report and period of service in each | ... | ... |
| 8. Period of absence from duty on leave, training, etc., during the year | ... | ... |

Part - II — Self-Appraisal

(To be filled by the officer reported upon)

1. Brief description of duties
2. Brief resume of the work done by you during the year / period from to bringing out any special achievements during the year / period. In the event of shortfall in achievements furnish reasons. (The resume is to be furnished within the space provided limited to 300 words and is required to be signed)

Part - III — Assessment of the Reporting Officer

(Read carefully the instructions given at the end of the form before filling the entries)

1. Does the Reporting Officer agree with the statement made in Part-II?
If not, the extent of disagreement and reasons therefor
2. State of health
3. General intelligence and keenness to learn
4. Please state briefly the quantum of O and M aspects of work done in regard to recording, indexing and weeding out of files, maintenance of Guard files and registers, furnishing of returns, etc.
5. Knowledge of office procedure
6. Knowledge of Rules, Regulations and Instructions in general and with particular reference to the work allotted to him
7. Quality of work:
 - (a) Ability to apply the relevant Rules and Regulations correctly
 - (b) Capacity for examining cases thoroughly
 - (c) Quality of Noting and Drafting
 - (d) Promptness in disposal of work
8. Amenability to discipline
9. Punctuality in attendance

10. Relations with fellow employees/Public Relations (wherever applicable)
11. Integrity (Please *see* Note below the Instructions)
12. Has the officer been reprimanded for indifferent work or for other causes during the period under report? If so, please give brief particulars ...
13. Has the officer done any outstanding or notable work meriting commendations? Briefly mention them
14. Grading (Outstanding/Very Good/Good/Average/Below Average)
(An officer should not be graded outstanding unless exceptional qualities and performance have been noticed; grounds for giving such a grading should be clearly brought out.)
15. Effectiveness in the development and protection of Scheduled Castes and/or Scheduled Tribes:
 - (a) Attitude towards SCs and/or STs
 - (b) Sensitivity to social justice
 - (c) Ability to take quick and effective action to prevent and quell atrocities and ensure justice to SCs and/or STs
 - (d) Effectiveness in bringing about the development of SCs and/or STs ...

Signature of the Reporting Officer:

Place:

Name in Block letters:

Date:

Designation:

(during the period of report)

Part - IV — Remarks by Reviewing Officer

1. Length of service under Reviewing Officer ...
2. Is the Reviewing Officer satisfied that the Reporting Officer has made his/her report with due care and attention and after taking into account all the relevant material?
3. Do you agree with the assessment of the officer given by the Reporting Officer?
4. If the Officer reported upon is a member of a Scheduled Caste / Tribe, please indicate specifically whether the attitude of the Reporting Officer in assessing the performance of the SC/ST Officer has been fair and just

5. General remarks with specific comments about the general remarks given by the Reporting Officer and remarks about the meritorious work of the officer including the grading
6. Has the officer any special characteristics, and/or any abilities which would justify his/her selection for special assignment or/out-of-turn promotion? If so, specify

Signature of the Reviewing
Officer:

Place:

Name in Block letters:

Date:

Designation:

(during the period of report)

ANNEXURE – IV

FORM OF CONFIDENTIAL REPORT ON PRIVATE SECRETARY/SENIOR PERSONAL ASSISTANT/STENOGRAPHER GRADES 'C' AND 'D' OF CSSR

Ministry / Department / Office of

Report for the year / period ending

Part - I — Personal Data

*(To be filled by the Administrative Section concerned
of the Ministry / Department / Office)*

1. Name of Officer
2. Date of birth
3. Designation of the post held
4. Whether the officer belongs to Scheduled Caste /
Scheduled Tribe
5. Present grade
6. Date of appointment to the present grade ...
7. Name of officers with designations with whom
employed during the year and the period served
with each
8. Period of absence from duty on leave, training,
etc., during the year

Part - II — Self-Appraisal

(To be filled by the officer reported upon)

1. Brief description of duties
2. Brief resume of the work done by you during the
year/period from to
bringing out any special achievements during the

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year/period. In the event of shortfall in achievement furnish reasons. (The resume is to be furnished within the space provided limited to 300 words and is required to be signed) ...

Part-III — Assessment of the Reporting Officer

(Please read carefully the instructions given at the end of the form before filling the entries)

1. Does the Reporting Officer agree with each and every significant statement contained in the resume (Col. 2 of Part-II) of the work done by the officer?
2. State of health
3. Regularity and punctuality in attendance
4. Proficiency and accuracy in stenographic work ...
5. Intelligence, keenness and industry
6. Trustworthiness in handling secret and top secret matters and papers
7. Maintenance of engagement diary and timely submission of necessary papers for meetings, interviews, etc.
8. General assistance in ensuring that matters requiring attention are not lost sight of ...
9. Initiative and tact in dealing with telephone calls and visitors
10. Ability to draft notes, letter, minutes, briefs and ability to prepare summary, etc. (in case such items of work have been performed by the officer) ...
11. (a) Has the officer any special characteristics and/or any outstanding merits or abilities which would justify his/her selection for special assignments? If so, please mention these characteristics briefly
(b) Recommendations regarding suitability for other spheres of work
(This should be substantiated.)
12. Has he/she been reprimanded for indifferent work or for other causes during the period under report? If so, give brief particulars
13. General assessment of personality, character and temperament including relations with fellow employees, amenability to discipline, etc. ...
14. Integrity (Please *see* Note below the Instructions)

- 15. Grading (Outstanding/Very Good/Good/ Average/ below Average)
 (An officer should not be graded outstanding unless exceptional qualities and performance have been noticed; grounds for giving such a grading should be clearly brought out.)
- 16. Effectiveness in the development and protection of SCs and/or STs:
 - (a) Attitude towards SCs and/or STs
 - (b) Sensitivity to social justice
 - (c) Ability to take quick and effective action to prevent and quell atrocities and ensure justice to SCs and/or STs
 - (d) Effectiveness in bringing about the development of SCs and/or STs

Signature of the Reporting Officer:

Place:

Name in Block letters:

Date:

Designation:

(during the period of report)

ANNEXURE – V

*** FORM OF CONFIDENTIAL REPORT FOR OFFICERS OF THE CENTRAL SECRETARIAT SECTION OFFICER/DESK OFFICER**

Ministry/Department/Office of

Report for the year/period ending

Part - I — Personal Data

(To be filled by the Administrative Section concerned of the Ministry/Department/Office)

- 1. Name of Officer
- 2. Whether the Officer belongs to Scheduled Caste/Scheduled Tribe
- 3. Date of birth
- 4. Date of continuous appointment to the present grade Date Grade
- 5. Present post and date of appointment thereto ... Date Grade
- 6. Period of absence from duty (on leave, training, etc.), during the year. If he has undergone training, specify

* Post of "Under Secretary" clubbed with "Deputy Secretary" (Annexure-VI) vide OM, dated 5-4-1999.

Part - II — Self-Appraisal

(To be filled in by the Officer reported upon)

(Please read carefully the instructions given at the end of the form before filling the entries)

1. Brief description of duties
2. A. Please specify targets/objectives/goals (for quantitative or other terms) of work you set for yourself or that were set for you, eight to ten items of work in the order of priority, and your achievements against each target
(Example: Annual Action Plan for your Division)
2. B. Please state, briefly, the target set and the quantum of work done in regard to recording, indexing and weeding out of files, maintenance of Guard Files, Sectional Note Book and other registers, furnishing of O and M and other returns, etc. ...
3. A. Please state, briefly, the shortfalls with reference to the targets/objectives/goals referred to in Item 2. Please specify constraints, if any, in achieving the targets.
3. B. Please also indicate items in which there have been significantly higher achievements and your contribution thereto ...

Targets/Objectives/Goals

Achievements

Part - III — Assessment of the Reporting Officer

(Please read carefully the instructions given at the end of the form before filling the entries)

A. Nature and quality of work

1. Please comment on Part-II as filled in by the officer and specifically state whether you agree with the answers relating to targets and objectives, achievements and shortfalls. Also specify constraints, if any, in achieving the objectives
2. Quality of output:
Please comment on the officer's quality of performance having regard to standard of work and programme objectives and constraints, if any

3. Knowledge of sphere of work:

Please comment specifically on each of these;
level of knowledge of functions, rules and
regulations, related instructions and their
applications

B. Attributes

1. Analytical Ability:

Please comment on the officer's ability relating to
analysis of pros and cons; formulation of
alternatives and their evaluation for solving
problems; ability to indicate decision areas ...

2. Communication Skill:

Please comment on the officer's ability to
communicate with brevity, clarity and accuracy,
both orally and in writing; ability to draft notes,
Cabinet Notes, brief for Parliamentary matters,
etc.

3. Initiative:

Please comment on the capacity and
resourcefulness of the officer in handling normal
as well as unforeseen situations; willingness to
take additional responsibilities and new area of
work

4. Attitude to work:

Please comment how far the officer can be relied
upon; his sense of responsibility; the extent to
which he/she is dedicated and motivated, his/her
willingness to learn and systematize his/her
work

5. Ability to inspire and motivate:

Please comment on the capacity of the officer to
motivate, to obtain willing support by own
conduct and capacity to inspire confidence ...

6. Supervisory Ability:

Please comment on the officer's ability relating
to—

- (i) Guidance in the performance of tasks ...
- (ii) Review of performance (monitoring of key
areas including finance, etc., sanctions) ...
- (iii) Capacity to take decision at his/her level on
matters within delegated areas
- (iv) Maintaining discipline

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7. Inter-personal relations and team-work:
Please comment on the quality of relationship with superiors, colleagues and subordinates, and on the ability to appreciate other's point of view and take advice in the proper spirit. Please also comment on his/her capacity to work as a member of a team and to promote team spirit and optimize the output of the team
8. Relations with the public (wherever applicable):
Please comment on the officer's accessibility to the public and responsiveness to their needs ...
9. Attitude towards Scheduled Castes/Scheduled Tribes/Weaker Sections of Society (applicable in case of officers dealing with the development and protection of SCs and/or STs and Weaker Sections of Society):

Please comment on his/her understanding of the problems of SCs/STs/Weaker Sections and willingness to deal with them
10. Aptitude and potential:
Please indicate possible lines of growth and development of the officer
11. Training:
Please give recommendations for training with a view to further improving the effectiveness and capabilities of the officer

Part - IV — General

1. State of health
2. Integrity ...
(Please see Note below the Instructions)
3. General assessment:
Please give an overall assessment of the officer with reference to his/her strengths and shortcomings and also by drawing attention to the qualities, if any, not covered by the entries above..
4. Grading (Outstanding/Very Good/Good/ Average/Below Average)
(An officer should not be graded outstanding unless exceptional qualities and performance have

been noticed; grounds for giving such a grading should be clearly brought out.)

Place: Signature of the Reporting Officer:
Date: Name in Block letters:
Designation:
(during the period of report)

Part - V — Remarks of the Reviewing Officer

1. Length of service under the Reviewing Officer.
2. Is the Reviewing Officer satisfied that the Reporting Officer has made his/her report with due care and attention and after taking into account all the relevant material?
3. Do you agree with the assessment of the officer given by the Reporting Officer?
(In case of disagreement, please specify the reasons). Is there anything you wish to modify or add?
4. General remarks with specific comments about the general remarks given by the Reporting Officer and remarks about the meritorious work of the officer including the grading
5. Has the officer any special characteristics, and/or any abilities which would justify his/her selection for special assignment or/out-of-turn promotion and if so, specify?

Signature of the Reviewing Officer:
Place: Name in Block letters:
Date: Designation:

ANNEXURE – VI

FORM OF CONFIDENTIAL REPORT OF UNDER SECRETARY/DEPUTY SECRETARY/DIRECTOR OF THE CENTRAL SECRETARIAT

Ministry/Department/Office of

Report for the year/period ending

Part - I — Personal Data

*(To be filled by the Administrative Section concerned of the
Ministry/Department/Office)*

1. Name of Officer

2. Deleted. (vide OM, dated 17-2-1999)
3. Date of birth
4. Date of continuous appointment to the present grade Date Grade
5. Present post and date of appointment thereto ... Date Grade
6. Period of absence from duty (on leave, training, etc.), during the year. If he has undergone training, specify

Part - II — Self-Appraisal

(To be filled by the Officer reported upon)

(Please read carefully the instructions given at the end of the form before filling the entries)

1. Brief description of duties
2. Please specify targets/objectives/goals (in quantitative or other terms) of work you set for yourself or that were set for you, eight to ten items of work in the order of priority and your achievements against each target. (Example : Annual Action Plan for your Division) ...
Targets/Objectives/Goals Achievements
3. (a) Please state, briefly, the shortfalls with reference to the targets/objectives/goals referred to in Item 2. Please specify constraints, if any, in achieving the targets ...
(b) Please also indicate items in which there have been significantly higher achievements and your contribution thereto ...

Part - III — To be filled in by the Reporting Officer

(Please read carefully the instructions given at the end of the form before filling the entries)

A. Nature and quality of work

1. Please comment on Part-II as filled in by the officer and specifically state whether you agree with the answers relating to targets and the objectives, achievements and shortfalls. Also specify constraints, if any, in achieving the objectives
2. Quality of output:
Please comment on the officer's quality of performance having regard to standard of work and programme objectives, and constraints, if any

3. Knowledge of sphere of work:

Please comment specifically on each of these; level of knowledge of functions, rules and regulations, related instructions and their applications

B. Attributes

1. Analytical Ability:

Please comment on the officer's ability relating to analysis of pros and cons; formulation of alternatives and their evaluation for solving problems; ability to indicate decision areas ...

2. Communication skill:

Please comment on the officer's ability to communicate with brevity, clarity and accuracy and both orally and in writing; ability to draft notes, Cabinet Notes, brief for Parliamentary matters, etc.

3. Initiative:

Please comment on the capacity and resourcefulness of the officer in handling normal as well as unforeseen situations, willingness to take additional responsibilities and new areas of work

4. Attitude to work:

Please comment how far the officer can be relied upon; his sense of responsibility; the extent to which he/she is dedicated and motivated; his/her willingness to learn and systematize his/her work

5. Ability to inspire and motivate:

Please comment on the capacity of the officer to motivate, to obtain willing support by own conduct and capacity to inspire confidence ...

6. Supervisory ability:

Please comment on the officer's ability relating to—

- (i) Guidance in the performance of tasks ...
- (ii) Review performance (monitoring of key areas including finance, sanctions, etc.) ...
- (iii) Decision making ...
- (iv) Maintenance of discipline

7. Inter-personal relations and team-work:
Please comment on the officer's quality of relationship with superiors, colleagues and subordinates, and on the ability to appreciate other's point of view and take advice in the proper spirit. Please also comment on his/her capacity to work as a member of a team and to promote team spirit and optimize the output of the team
8. Relationship with the public (wherever applicable):
Please comment on the officer's accessibility to the public and responsiveness to their needs ...
9. Attitude towards Scheduled Castes/Scheduled Tribes/Weaker Sections of Society (applicable in case of officers dealing with the development and protection of Scheduled Castes and/or Scheduled Tribes and Weaker Sections of Society):
Please comment on the officer's understanding of the problems of SCs/STs/Weaker Sections and willingness to deal with them
10. Aptitude and potential:
Please indicate possible lines of growth and development of the Officer
11. Training:
Please give recommendations for training with a view to further improving the effectiveness and capabilities of the officer

Part - IV — General

1. State of health
2. Integrity
(Please see Note below the Instructions)
3. General assessment:
Please give an overall assessment of the officer with reference to his/her strength and shortcomings and also by drawing attention to the qualities, if any, not covered by the entries above
4. Grading (Outstanding/Very Good/Good/Average/Below Average)
(An officer should not be graded outstanding unless exceptional qualities and performance have

been noticed; grounds for giving such a grading should be clearly brought out.)

	Signature of the Reporting Officer:
Place:	Name in Block letters:
Date:	Designation: (during the period of report)

Part - V — Remarks of the Reviewing Officer

1. Length of service under the Reviewing Officer ...
2. Is the Reviewing Officer satisfied that the Reporting Officer has made his/her report with care and attention and after taking into account all the relevant material?
3. Do you agree with the assessment of the officer given by the Reporting Officer?
(In case of disagreement, please specify the reasons.)
Is there anything you wish to modify or add? ...
4. General remarks with specific comments about the general remarks given by the Reporting Officer and remarks about the meritorious work of the officer including the grading
5. Has the officer any special characteristics and/or any abilities which would justify his/her selection for special assignment or/out-of-turn promotion?..

	Signature of the Reviewing Officer:
Place:	Name in Block letters:
Date:	Designation:

INSTRUCTIONS

(To be read carefully before filling the entries in the Confidential Report Forms)

1. The Confidential Report is an important document. It provides the basic and vital inputs for assessing the performance of an officer and for his/her further advancement in his/her career. The officer reported upon, the Reporting Officer and the Reviewing Officer should, therefore, undertake the duty of filling out the form with a high sense of responsibility.
2. Performance appraisal through confidential reports should be used as a tool for human resource development. Reporting Officers should realize that the objective is to develop an officer so that he/she realizes his/her true potential. It is not meant to be a fault-finding process but a developmental one. The Reporting Officer and the Reviewing Officer should

not shy away from reporting shortcomings in performance, attitudes or overall personality of the officer reported upon.

3. The items should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a casual or superficial manner will be easily discernible to the higher authorities.
4. If the Reviewing Officer is satisfied that the Reporting Officer had made the report without due care and attention, he/she shall record a remark to that effect in Item 2 of Part - IV. The Government shall enter the remarks in the Confidential Roll of the Reporting Officer.
5. Every answer shall be given in a narrative form. The space provided indicates the desired length of the answer. Words and phrases should be chosen carefully and should accurately reflect the intention of the officer recording the answer. Please use unambiguous and simple language. Please do not use omnibus expressions like 'Outstanding', 'Very Good', 'Good', 'Average', 'Below Average' while giving your comments against any of the attributes.
6. The Reporting Officer shall, in the beginning of the year, assign targets to each of the officers with respect to whom he is required to report upon for completion during the year. In the case of an officer taking up a new post in the course of the reporting year, such targets/goals shall be set at the time of assumption of the new charge. The targets set should clearly be known and understood by both the officers concerned.
7. Although performance appraisal is a year-end exercise, in order that it may be a tool for human resource development, the Reporting Officer should at regular intervals review the performance and take necessary corrective steps by way of advice, etc.
8. It should be the endeavour of each appraiser to present the truest possible picture of the appraisee's performance in regard to his/her performance, conduct, behaviour and potential.
9. Assessment should be confined to the appraisee's performance during the period of report only.
10. Some posts of the same rank may be more exacting than others. The degree of stress and strain in any post may also vary from time to time. These facts should be borne in mind during appraisal and should be commented upon appropriately.
11. The column relating to "Public Relations" need be filled in by the Reporting Officer only where the duties of the officer reported upon are such that he comes in contact with members of the public.

NOTE.— The following procedure should be followed in filling up the column relating to integrity:—

- (i) If the officer's integrity is beyond doubt, it may be so stated.

- (ii) If there is any doubt or suspicion, the column should be left blank and action taken as under—
- (a) A separate secret note should be recorded and followed up. A copy of the note should also be sent together with the confidential report to the next superior officer who will ensure that the follow-up action is taken expeditiously. Where it is not possible either to certify the integrity or to record the secret note, the Reporting Officer should state either that he had not watched the officer's work for sufficient time to form a definite judgment or that he had heard nothing against the officer, as the case may be.
 - (b) If, as a result of the follow-up action, the doubts or suspicions are cleared, the officer's integrity should be certified and an entry made accordingly in the confidential report.
 - (c) If the doubts or suspicions are confirmed, this fact should also be recorded and duly communicated to the officer concerned.
 - (d) If as a result of the follow-up action, the doubts or suspicions are neither cleared nor confirmed, the officer's conduct should be watched for a further period and thereafter action taken as indicated at (b) and (c) above.

[G.I., M.H.A., O.M. No. 51/4/64-Estt. (A), dated the 21st June, 1965.]

- (e) When a Reporting Officer cannot in fairness to himself and to the Government servant reported upon, either certify integrity or make an adverse entry or even be in possession of any information which would enable him to make a secret report to the Head of the Department, i.e., when a Government servant is serving in a remote station and the Reporting Officer has not had occasion to watch his work closely or when a Government servant has worked under the Reporting Officer only for a brief period or has been on long leave, etc., the Reporting Officer should make an entry in the integrity column to the effect that he has not watched the Government servant's work for sufficient time to be able to make any definite remark or that he has heard nothing against the Government servant's integrity, as the case may be. This would be factual statement to which there can be no objection. But it is necessary that a superior officer should make every effort to form a definite judgment about the integrity of those working under him, as early as possible, so that he may be able to make a positive statement.

[G.I., D.P. & A.R., O.M. No. 51/4/72-Estt. (A), dated the 20th May, 1972.]

IMPORTANT.— In cases where suspicion exists regarding the integrity of a subordinate officer reported upon, an entry in the integrity column can be made only after definite and distinct articles of charges have been framed.

[Letter No. C-30013/1/71-LC/50 (P), dated the 15th February, 1971, of the Dept. of Revenue and Insurance, Ministry of Finance.]

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