

No. I-11011/16/2022-CRD
Government of India
Ministry of Personnel, Public Grievances and Pensions
Department of Personnel and Training

3rd Floor, Lok Nayak Bhawan,
New Delhi-110003.

Dated: 30th September, 2022.

Office Memorandum

Subject: Consolidated guidelines on cadre review of Central Civil Services.

The Department of Personnel & Training (DoPT) is the nodal agency of the Government of India for personnel management policies. As such, although cadre management and cadre reviewing are primarily the concern of individual Cadre Controlling Authorities (CCAs), the responsibility for laying down standards in the matter and for coordination rests with the DoPT in accordance with its role as nodal agency for formulation and evaluation of personnel policies in Government of India.

2. The concept of cadre review owes its origin to the recommendations made by the First Administrative Reforms Commission in its Report on Personnel Administration released in 1969. The Government of India had accepted recommendation of the ARC and vide OM No. 5/1/71- PP (Vol VI) dated 6th May 1972, a Cadre Review Committee (CRC) was constituted under the Chairmanship of Cabinet Secretary with Secretary of the Ministry controlling the Cadre, Secretary of DoPT and Secretary of Department of Expenditure (DoE) in Ministry of Finance as members of the Committee. Vide the said OM, the Department has also issued certain broad guidelines for objective cadre management. As a part of this Department's endeavour to keep the personnel policies relevant to current and future needs, various instructions were issued on the cadre review.

3. Cadre review encompasses several key elements of cadre management such as formation of service, manpower projection, recruitment planning, training, deputation, encadrement, decadrement, creation of posts, managing reserves, etc. It helps realign a service to the everchanging organizational needs and maintain congruence between functional needs and legitimate aspirations of the officers. The main thrust of cadre review is on manpower projections and recruitment planning on scientific lines aiming at the same time at rationalization of the existing cadre structure of a Service in accordance with certain predefined principles and a given set of objectives like improving the efficiency, morale and effectiveness of the cadre. However, of late, the cadre management has not been getting due attention or has been misconstrued as a process of upgrading /downgrading or creation of cadre posts only, which over a period of time has led to serious distortions in the cadre/service. Hence, keeping in view the issues noticed by the Department while conducting cadre review of various Central Group 'A' Services after

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issuance of consolidated guidelines on 14.12.2010 and to keep the personnel policies relevant to current and future needs, a revised consolidated Guidelines on cadre review of Central Group 'A' Services is being issued through this OM in supersession of the OMs on the subject, viz. OM No. 5/1/71- PP (Vol VI) dated 6th May 1972, F. No. 5(22)/73-PP dated 12.03.1973, OM No. 5/45/77-PP dated 26 August 1977, OM No. 5/45/77-PP dated 26 August 1977, OM No. 5/22/81-PP-II dated 12.01.1982, OM No. 5/38/86-PP.II dated 28.10.1986, OM No. 2/10/87-PP dated 21st May 1987, OM No. 2/1/87-PP dated 23.11.1987, OM No. 2/42/95-PP (CRD) dated 05.04.1995, OM NO. 1/8/96-CRD dated 2.3.2000, OM No. I. 11011/1/2009-CRD dated 14.12.2010, OM NO. I. 11019/17/2016-CRD dated 15.02.2017 and OM No. I. 11019/10/2017-CRD dated 09.07.2018. Some of the OMs are referred here below. Besides, the broad issues concerning cadre review have been elaborated in the revised Monograph on cadre review of Central Group 'A' Services enclosed herewith (**Annexure-I**). The cadre review proposals under consideration of this Department till issue of this OM or already considered by the CRC will not require resubmission, however, the proposals prepared after issue of this OM may be submitted as per its provisions.

4. Cadre Review of Central Group 'A' Services/cadres:

[OM No. I. 11011/1/2009-CRD dated 14.12.2010, Monograph 2010]

4.1. Formulation of Proposal:

(i) While considerable latitude will be available to the cadre authorities in preparing and presenting cadre review proposals, it must be ensured that the necessary statistical data are compiled and updated on a continuing basis in the format given in consolidated guidelines. It is also necessary while presenting review proposals to give a sketch of the historical background of the Service, its inception, its objectives, growth of service in last cadre reviews, the implementation report of last cadre review, status of cadre review of Group 'B' and 'C' cadres/posts in the Department, the functional and organisational structure of the Cadre/Service, special features peculiar to the Service, difficulties and problems faced during the process of cadre management, changes taken place in the cadre structure from time to-time, the reports of any expert committee on the Service and change in role of the Service/organisation. Present as well as the proposed organisational structure of the Department and the Service showing posts at different levels with their designations, pay scales and the functional inter-relationship among them along with organisational chart should be enclosed with the cadre review proposal. The posts to be upgraded should be identified and the justifications for upgradation should be mentioned. Recruitment Rules/Service Rules, as amended till to date, both respect of Service posts as well as its feeder posts, grade-wise seniority lists updated as on first of the 'Current Year' (i.e. Year in which the proposals are being framed) should invariably be attached with the proposal. In the format, the reference year may be taken as beginning from first January of the year in which the proposals are being framed. The cadre review proposal would be prepared by the CCA in the form of a Note for Committee of Secretaries. As

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such, apart from above information, every note should include details of inter-ministerial consultations (if required), financial implications, approval required, annexures of the information in prescribed format (**Annexure II**). A model cadre review proposal for ready reference is at **Annexure-III**.

[OM No. I. 11019/25/2014-CRD dated 12.09.2014]

(ii) The proposal would be formulated, to the extent possible, in consultation with the representatives of service association(s). While drafting the proposal, all issues like mandate of the service, expected changes in the Organization's activities, automation, amendment in the business processes, recruitment planning, plugging the skill gaps, cadre structure, career progression, incumbency, financial implications etc. must be analyzed and made part of the proposal. These issues and their impact on cadre structure have been discussed in the Monograph.

(iii) The proposal may be considered on availability of manpower, functional and strategic requirements. The CCAs should review the vacancies regularly not only for their filling up process but also for the continuance of such posts. It is better to surrender the posts which are not feasible to be filled in long run on permanent basis.

(iv) The identification of each additional post required (either by way of fresh addition to the cadre or through upgradation of an existing post) in terms of specific duties, would be of considerable value in a cadre review proposal. As far as possible, work norms in terms of duties and responsibilities should be unambiguously set out to justify the proposed addition. It must be emphasized in this connection that some amount of increase in work has to be treated as normal and should not lead to any increase in the manpower requirements. Only perceptible and significant increases in activity should be translated into additional personnel requirements. Proposals for increase in cadre strength and introduction of new grades, thus, may generally be avoided and only be moved if there are stringent functional justification. Having estimated the essential additional needs, the levels or grades at which such needs arise should be clearly identified. While making assessment for cadre review proposals, continuance of existing posts and need of the service (zero base review) may also be assessed based on their functional requirement, and if any of the posts/services becomes redundant due to introduction of the advanced technology or changes in mandate of the Govt, such posts/services may be abolished/merged.

(v) The efforts should be made to make the structure sustainable. While suggesting a cadre structure, creation of high percentages of posts at higher level on the cost of lower grades distorting the cadre and affecting the functioning of the organization adversely may be avoided.

(vi) Full functional justification for creation/upgradation of each post should be given. A job evaluation exercise may be undertaken for each category of posts to ensure that different grades are assigned corresponding level of functions and responsibilities.

(vii) It may be ensured that the cadre review would not have an adverse impact on the feeder grade.

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4.2 Reference to Department of Personnel and Training/Department of Expenditure

- (i) The proposal should be referred to DoPT with the approval of Integrated Finance Division and the Minister in charge.
- (ii) The CCA would also give a certificate that there is no Court Case pending having a bearing on the cadre review.
- (iii) The name (s) of contact officer (s) for further/additional information may be clearly indicated in the reference.
- (iv) The proposal should be examined vis-à-vis the checklist provided in section 5 of the Monograph to ensure that the proposal is complete in all respects.

4.3. Financial Implications

- (i) The proposal having additional financial implications would be entertained strictly on functional considerations like consistent increase in workload, horizontal expansion in activities etc. keeping in view the economy instructions issued by the DoE from time-to-time.
- (ii) While calculating the additional expenditure, the impact of Non-Functional Upgradation/Non-Functional Selection Grade/Non-Functional Second Grade/Dynamic Assured Career Progression/Flexible Complementing Scheme etc. (wherever applicable) may be taken into account. The calculation sheet must be enclosed with the proposal.

4.4. Procedure for cadre review

- (i) Every cadre should be reviewed once every five years. The review should be first carried out by the CCA, preferably in consultation with the representatives of the service/cadre in question. However, if it is convinced after such a review that no change in the cadre structure is required, the decision should be conveyed to this Department with the approval of Minister in charge.
- (ii) All the Ministries/Departments may nominate a suitable officer for the purpose of cadre review. It will be the responsibility of the nodal officers, so nominated, to provide the necessary progress report in this regard to the Cadre Review Division of the DoPT.
- (iii) The cadre review proposal, so prepared by the CCA in the form of a Note for Committee of Secretaries be referred to the Cadre Review Division of DoPT. The DoPT would examine the proposal based on the various parameters of cadre review and obtain the approval of Secretary (P) on its observations/recommendations and then refer it to DoE for approval of Secretary (Expenditure).
- (iv) The Note would then be placed before the CRC by DoPT. The Cadre Review Division of the DoPT acts as Secretariat to the CRC.
- (v) Based on the recommendation of CRC, the proposal would be submitted for MOS (PP)'s approval. It would then be referred to the DoE for Finance Minister's approval.
- (vi) The CCA would then take approval of Cabinet. The Note for Cabinet should ideally be prepared within a month of the approval of the MoS (PP) and Finance Minister on the recommendation of CRC.
- (vii) Within three months of the approval of the Cabinet, the CCA may initiate amendment in the draft Recruitment Rules/Service Rules to give effect to the cadre review.

4.5. Composition of Cadre Review Committee-The Cadre Review Committee would comprise the following functionaries:

- | | | |
|-------|---|----------|
| (i) | Cabinet Secretary | Chairman |
| (ii) | Secretary of the Ministry controlling the cadre | Member |
| (iii) | Secretary, Department of Personnel and Training | Member |
| (iv) | Secretary, Ministry of Finance, Department of Expenditure | Member |
| (v) | The senior most member of the service/cadre concerned | Member |

Any additional functionaries related with the proposal may also be included, with the approval of Cabinet Sectt., as invitee to participate in the meeting of CRC.

4.6. The list of Central Group 'A' Services/cadres, which are to be reviewed through the above procedure as contained in para 4.1 to 4.5, are annexed as **Annexure-IV**.

4.7. It is reiterated that apart from the cadre review proposal of Central Group 'A' services/cadres listed herein, the above said procedure would be applicable in case of other proposals like formation of new service/Group 'A' cadre, merger of Central Group 'A' Services, Grant of Organised Group 'A' Central Service status, declaration as dying cadres etc. Cadre review does not automatically grant status of Central Group 'A' service/cadre or organised status, unless specific approval for it has been obtained during the exercise. Such proposal may be moved alongwith cadre review proposal or separately, as per requirement.

4.8. Creation of posts outside cadre review: Normally, addition to a cadre by way of increasing the number of posts at different levels should be considered only in the course of five year cadre review. Mid review changes should be avoided as far as possible. Regular cadre reviews carried out at five years intervals must envisage such eventualities while making advance projections for the five year period of additional manpower requirements. Accordingly, the need for creating posts, encadrement and upgradation of posts not envisaged by the CRC before the next cadre review is due, can be expected to be rare. In the event, however, of such eventuality, it may be ensured that the additional posts so created conform to the cadre structure most recently approved by the CRC. The adhoc measures of creation, encadrement, upgradation of posts is not supported if the cadre review is due, however, in case of unavoidable circumstances, if such a proposal is moved, this should be taken up with the Cadre Review Division of the DoPT first before referring to the DoE alongwith the justification and reasons for not waiting for cadre review for consideration of such proposal.

[OM NO. I. 11019/17/2016-CRD dated 15.02.2017]

4.9 Restriction on direct recruitment- The restriction on direct recruitment to the extent that it should not exceed 3% of the total cadre strength imposed in 1998 (OM No. 1/8/98-CRD dated 5.11.1998) was lifted vide OM No. I. 11011/1/2009-CRD dated

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14th December, 2010 advising the CCAs not to resort to any bulk recruitment as it would create a bulge in the structure leading to stagnation at later stage. The recruitment plan for next five years may invariably be made part of the cadre review proposal and while projecting such recruitment planning attempts may be made to keep it around ideal 3% of the authorized cadre strength per year avoiding clubbing of recruitment. Recruitment planning approved during the cadre review may be followed and for any deviation, fresh plan may be finalized in consultation with the DoPT.

4.10. Maintenance of Statistical Profile: Statistical profile is one of the important tools for not only preparing policy guidelines on cadre management and indication of career progression of a service, but also to examine a cadre review proposal in scientific manner with its impact on other similar services. The statistical profile is maintained half yearly, i.e., 1st January and 1st July of every year. For the purpose the following may be ensured:

- i. All the CCAs will have to provide Statistical Information within a given time frame (1st half yearly report by 31st July and 2nd half yearly report by 31st January). The same may be placed on their respective websites too alongwith details about the Service. The format for Statistical profile is at **Annexure-V**. Difference in cadre strength from the last cadre review may be provided alongwith supporting documents for addition/deletion which includes approval of the Competent Authority and consultation of DoPT.
- ii. The CCA would prepare civil list of the officers of the service preferably every year and make available the same on the website of the Administrative Ministry under intimation to this Department.
- iii. The CCA may provide status of implementation of last cadre review and conditions imposed by the CRC/DoPT/DoE regularly by the end of every year, till the same is fully implemented.
- iv. The CCA may upload latest SRs/RRs on the website and provide a copy to the Cadre Review Division of DoPT.
- v. The CCA may appoint nodal officer and provide name of nodal officer to the Cadre Review Division of this Department.
- vi. Notifications regarding Cadre Review/ Organized status etc. would also be uploaded by the CCAs concerned on their respective websites.
- vii. The senior most member of the service (who is also a member of the CRC) may also take up the matter with the concerned CCAs to provide the information within the given time frame.
- viii. For the CCAs who fail to provide timely information, any request of encadrement, upgradation, creation of posts etc. in the cadre would be considered only on the basis of the cadre strength last approved by CRC.

[OM No. I. 11019/10/2017-CRD dated 09.07.2018]

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5. Cadre reviews of Group 'B' and 'C' employees/posts.

[OM No. 2/1/87-PP dated 23.11.1987]

5.1. Agency for conducting cadre reviews:

- (i) The cadre reviews will be carried out by the CCA in consultation with the DoE.
- (ii) The Departmental CRC may be set up by the respective Ministries/Departments controlling the cadres to be reviewed and should comprise the representatives of the following:
 - (a) Attached/Subordinate Office concerned.
 - (b) Integrated Finance Division.
 - (c) The Personnel unit (Administration/Establishment Division) in the Ministry/Department dealing with the personnel aspects of the cadre.
 - (d) Concerned Field Organizations.
 - (e) Any other member considered necessary by the CCA.

5.2. Principles governing cadre reviews:

- (i) The cadre review may be visualized as an exercise for complete manpower planning— considering the annual intake at the entry level, maintenance needs, growth etc. rather than being viewed only as a need for upgradation of posts to provide promotional opportunities to the members of the staff.
- (ii) The cadre review may be conducted on functional cum-structural consideration with due regard to the duties and responsibilities and the need to promote efficiency in the Organisation/Department. Hence, while conducting cadre review the cadre structure may be made pyramidal with enough officers at all the levels for not only effective functioning of the organization but also to fill higher posts. A structural ratio of 3:1 between two consecutive grades (feeder grade: higher level) is better to fill posts.
- (iii) Wherever SIU norms/yardsticks have already been laid down for provision of staff, these should be considered, while conducting cadre review for various categories/grades.
- (iv) The cadre review exercise may be conducted periodically for the groups 'B' and 'C' posts without linking it to the level of stagnation in the cadre.
- (v) While conducting cadre review, time bound promotions may be considered only in exceptional cases, where it is provided for in the Service Rules of respective categories/grades of the concerned staff. The cadre review should be consistent with the needs and requirements of the organization.
- (vi) While conducting cadre review, the Administrative Ministry may consider rationalization of categories/grades through merger, as over the passage of time, there might have been proliferation of categories, levels and grades in each Service. A multi-disciplinary approach may be considered rather than having strait jacket or water tight compartmentalization.

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(vii) The cadre review exercise may be conducted after every five years. However, if CCA is convinced that no change in the cadre structure is required, the decision should be taken in consultation with the Departmental CRC.

(viii) All the Ministries/Departments may nominate a suitable officer for cadre review of Group 'B' and 'C' posts. It will be the responsibility of the nodal officers, so nominated, to provide the necessary report in this regard to the Cadre Review Division of the DoPT every year (by 31st January)

(ix) The cadre review of Group 'B' and 'C' posts so conducted under the procedure contained in above paras should not result in creation of posts in Central Group 'A' Services or any change in status of the cadres/services from Group 'B'/'C' to 'A' for which Guidelines are applicable as laid out in para 4.

5.3 Role of DoPT in cadre review of Group 'B' and 'C' posts: The primary responsibility for conducting cadre review for Group 'B' and 'C' cadres will be of the concerned CCAs in the respective Ministries/Departments. The DoPT will lay down the policy, issue guidelines and if necessary, review the progress of cadre reviews, conducted by the concerned CCAs/Ministries/Departments. Hence, any new policy issue contained in the cadre review proposal may be referred to Cadre Review Division of this Department.

5.4 Cadre review of Other services/cadres/posts: Apart from the Central Group 'A' Services/cadres listed in para 4.6 and Group 'B' and 'C' posts/employees (para 5), there are Services classified as Central Group 'A' Service in the CCS (CCA) Rules 1965 (as amended from time-to-time). All such services/cadres may also be reviewed through DoPT and the guiding factors for preparation of cadre review proposal in these services/cadres may be same as detailed in para 4. A composite cadre review proposal for all the posts in that Service/cadre may be prepared.

6. Dealing with Isolated posts: In isolated categories where promotion to next grade is not possible, efforts may be made to identify posts after considering the qualifications and experience, duties and responsibilities attached to these posts, for merging them with the existing cadres. While conducting cadre review of various categories of services/cadres/posts, an exercise may be undertaken to identify such isolated posts and to include them for encadrement, if feasible. In case it is not possible to merge them in an existing or proposed hierarchical structure, these posts should not be filled by direct recruitment but by transfer on deputation so that the incumbents of such posts do not stagnate. While conducting cadre review exercise, creation of isolated posts may be avoided, to the extent possible. Often departments create posts for various reasons having similar functional duties and responsibilities as cadre posts. Such posts are manned by both cadre officers and those outside the cadre(s). It should be the constant endeavor of Cadre Authorities to periodically review the position regarding such posts with a view to encadre them keeping in view:

- (a) the nature of functions and responsibilities attached to them.
- (b) the likelihood of their continuing.
- (c) the desirability of deploying cadre officers to such posts.

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7. The above guidelines are being issued in accordance with the role of this Department being nodal department for the manpower planning and policy and hence all the Ministries/Departments may ensure necessary compliance to the above guidelines. At the first stage, all the Ministries/Departments may nominate a nodal officer for the purpose and constitute the Departmental CRC, wherever applicable, within one month of issue of this OM and send a report to this Department (any change in nodal officer or Departmental CRC may be endorsed to this Department). It may also be intimated whether any of the cadres/services under their control (not listed with this OM) are required to be reviewed through the CRC as per the provisions of this OM. Thereafter, the preparation of cadre review proposals, wherever due, may be initiated and attempts may be made to submit the proposal in this regard to this Department or Deptt. of Expenditure (as the case may be) within six months. Calendar issued by this Department for Central Group 'A' Services required to be reviewed through the CRC (para 4.5) from time-to-time may be strictly complied.

[OM No. I. 11019/18/2022-CRD dated 14.02.2022]

HSP Pahuja
30/9/22
(Dr. Harmit Singh Pahuja)

Dy. Secretary to the Government of India

To

1. All the Ministries/Departments of Government of India
2. All Attached and Subordinate Offices of the Ministry of Personnel, Public Grievances and Pensions
3. All Union Territory Governments/Administration
4. Secretary, UPSC/Office of the Comptroller and Auditor General of India
5. Registrar, Supreme Court of India, New Delhi
6. Lok Sabha /Rajya Sabha Secretariat
7. All Sections of the Ministry of Personnel, Public Grievances and Pensions.

Copy to:

1. Cabinet Secretariat.
2. Secretary, Expenditure
3. Secretary, DoPT
4. Spl. Secretary (Pers), Deptt. of Expenditure, North Block
5. Additional Secretary (Cadre Review Division), Deptt. of Personnel & Training, North Block
6. Joint Secretary (Estt.), Deptt. of Personnel & Training, North Block
7. US (CRD)/SO (CRD-I)/SO (CRD-II)
8. Guard File

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30/9/22
(Dr. Harmit Singh Pahuja)

Dy. Secretary to the Government of India

Monograph of 2022

Section-1

Introduction

1. Cadre review encompasses several key elements of cadre management such as manpower projection, recruitment planning, training, deputation etc. It helps realign a service to the ever-changing organizational needs and maintain congruence between functional needs and legitimate aspirations of the officers. The main thrust of cadre review is on manpower projections and recruitment planning on scientific lines aiming at the same time at rationalisation of the existing cadre structure of a Service in accordance with certain predefined principles and a given set of objectives like improving the efficiency, morale and effectiveness of the cadre. However, of late, the cadre management has not been getting due attention or has been misconstrued as a process of upgrading /downgrading cadre posts, which over a period of time has led to serious distortions in the cadre/service.

2. There has been a paradigm shift in the concept of governance with the Government reducing its direct involvement in many areas and putting a renewed thrust on social sectors, skill development and human resource development. Role based Governance with Citizen First approach using Digital Technologies to deliver services at grass root level has a bearing on overall role of many organizations and its cadres, sometimes requiring business process re-engineering. A Cadre Review should cover all the aspect of congruence between efficient delivery of services and skill sets/aptitude improvement of the members of Services while being consistent with Minimum Government Maximum Governance requirement.

3. This Monograph attempts to bring out various issues involved in cadre review particularly in the light of above changes for the guidance of cadre controlling authorities. The consolidated guidelines on cadre review are contained in the Department of Personnel and Training's O.M. No. I-11011/16/2022-CRD dated 29.09.2022.

Plan of the Monograph

4. Section 2 attempts to explain various concepts relevant to cadre management such as the concept of service, cadre, cadre structure, and so on. The issues related to general deficiencies of cadre structure and management are discussed in Section 3. The objectives of the cadre review are given in Section 4. Section 5 contains the broad guidelines for formulation of a Cadre Review proposal.

Section 2

Definitions and Concepts

Classification of Central Government Posts

1. The civil service of the Central Government is organised into four groups, viz. Group 'A' (which includes All India Services), Group 'B' and Group 'C'. Such classification broadly corresponds to the rank, status and the degree of the level of responsibility attached to the posts. Group 'A' posts carry higher administrative and executive responsibilities and include senior management positions in the Ministries/Departments and field organizations. The middle and junior levels of Group 'A' along with Group 'B' constitute middle management. Group 'C' posts perform supervisory as well as operative tasks and render clerical assistances in Ministries and field organizations and also for carrying out routine duties. The Central Services (Classification, Control and Appeal) Rules, 1965 provide a concrete and specific criterion for classification of posts in terms of pay.

The service concept

2. An important characteristic of the civil service system at the Centre is its classification based on the concept of the Service. Under this concept, civilian posts are grouped into distinct homogenous cadres under a common Service named on the basis of specific functions attached to the posts in question. The Study Team on Personnel Administration appointed by the Administrative Reforms Commission (1969) appropriately defined a *cadre* as follows:-

'A cadre comprises persons who have been adjudged suitable and recruited to hold a group of positions requiring similar skills - technical, professional and/or administrative; within a Service there may be more than one grade arranged vertically according to the level of responsibility'

2.1 Having laid down the working definition of a Service or cadre as above, the Study Team went on to spell out the specific requirements for the constitution of a Service as:-

- determining duties and responsibilities of various positions;
- translating these in terms of skill requirements;
- grouping of positions which broadly require similar skills; and
- gradation of position in terms of responsibilities.

2.2 According to the Study Team, the concept so developed further presupposes that within a Service, positions at same level are analogous and any member of the service qualified to hold that grade or position can be posted. Thus, while constituting a Service, positions are not only examined with reference to skill requirement and are graded but it is also determined whether those positions are also inter-changeable. As this Monograph is concerned with Group 'A' Services/Cadres of the Central

Government, the concept will be further explained in the following paragraphs with specific reference to Group 'A' Services.

3. A Central Group 'A' Service represents a group of posts belonging to a distinct functional area arranged in a hierarchical order representing different grades or levels of responsibility. All the posts in the Service carry the same functions involving specific skills. They are thus uni-functional. They only differ in rank and status corresponding to given levels of responsibility attached to different grades of posts. The hierarchical arrangement of posts along with the pay scales attached to different grades constitutes what may be called a cadre and the arrangement itself is known as a cadre structure.

4. Members of a Service are expected to possess an intimate knowledge of the particular area or the function or the skill concerned. For example, the Central Engineering Service (CES) is the name of a service whose members are all civil engineers performing functions in the area of Engineering. To become a member of CES, it is essential that one should possess a basic qualification on the subject matter, i.e. engineering. At successively higher levels in a functional area, as the managerial content and the responsibility steadily increase, the members themselves will belong to different grades corresponding to different levels of responsibility and carrying different scales of pay.

5. There are three All-India Services which are all Group 'A' Services, namely, the Indian Administrative Service, Indian Police Service and Indian Forest Service. These are common to the Centre and the States. The manpower for performing the functions of the Central Government is, however, mainly provided by Central Services and cadres. The Central Group 'A' Services account for the bulk of the Group 'A' posts under the Central Government. They are broadly classified into (I) Non-Technical service, (II) Technical Service (which include engineering services), (III) Health Services and (IV) Other Services (which include some engineering and scientific services).

6. The non-technical services are meant to administer non-technical areas of administration at the Centre like audit, income-tax, posts and railways. The technical services perform similar functions on the technical side of the Central Government in departments like Civil Engineering, Telecom Engineering, Mechanical Engineering, etc. The Group 'A' category also includes officers engaged in research in the scientific and technological fields besides isolated - so called General Central Services - posts in the non-technical fields.

Duty Posts and Reserves

7. A well-structured Group 'A' cadre consists of two distinct parts: (i) Regular Duty Posts and (ii) Reserves. The regular duty posts which constitute the core of the cadre are meant for performing the functions for which the service has been constituted. As mentioned above, the duty posts are structured into different levels of hierarchy in the time scale, junior administrative grade, senior administrative grade, etc. corresponding to different levels of responsibility. Incidentally, it is the

structure of the regular duty posts which is examined in a cadre review along with need of Reserves, if any.

8. The reserves are of four types, viz. (i) probationers reserve (ii) leave reserve (iii) training reserve and (iv) deputation reserve. Every organised service normally provides for probationers reserve in order to cater to the requirements of probation which has to be undergone by direct recruits to the service. Probationers reserve cannot be considered part of regular duty posts of a service as they are not intended to perform the regular service functions. Officers undergoing probationary training are shown against probationer reserve. The strength of reserve depends upon the size of the normal annual intake through direct recruitment and the period of probation required to be put in by direct recruits. The other reserves, namely leave, training and deputation reserves are intended to serve as substitute for regular duty posts in the event of service officers holding duty posts being temporarily away from their cadre on leave, training or deputation. That is, it is expected that at any time there will be some officers who are on leave, deputation or training. In order that the work does not suffer due to their absence, extra posts are provided. The various types of reserves including probationers reserve are usually created in the junior time scale.

➤ **Probationers Reserve**

Direct recruits are normally given initial training for periods ranging from one year to three years or as decided by the cadre controlling authorities, while on probation. The posts against which they are shown during the training period, which includes post-entry institutional as well as on-job training should not be included in the strength of regular duty posts, but should be shown separately as probationers reserve. In case such reserve already forms part of junior duty posts or other reserves, necessary adjustment will have to be made to show it as a separate reserve.

➤ **Other Reserves**

'Other' reserves comprise leave, training and deputation reserves. There is an important difference between the probationers reserve and 'other' reserves. The former is set apart for a definite category of service personnel, viz. fresh recruits directly appointed to the lowest rung of the Service. The latter serve a more general purpose of providing substitutes against vacancies caused due to Service officers proceeding on long leave, training or deputation. Those reserves are needed in order to ensure that the regular duty posts are continuously manned by competent officers and are ordinarily created in the entry grade of the Service.

• **Leave Reserve**

Actual utilisation of leave by officers (for at least 45 days at a time) and the utilisation of the existing leave reserve (if any) by the Department during the preceding 3 to 5 years should normally determine the size of leave reserve. In

addition, the practicability of filling up of leave vacancies, especially where the duty posts are widely scattered over field formations, may also be examined while determining desired size of the leave reserve.

- **Training Reserve**

The imperative need for imparting on the job refresher/ professional training periodically to the personnel at various levels of the Service in order to equip them to meet the growing challenges of developmental administration can hardly be over-emphasised. For this purpose, a training reserve of an appropriate size will have to be provided for the cadre structure. The size is to be worked out on the basis of past experience (of, say, the last 5 years) and a well drawn-out programme for training of officers over the next 5 years.

- **Deputation Reserve**

Officers of organised Service are in constant demand for manning posts on deputations in the Secretariat and other Headquarter Organisations, Public Sector undertakings etc. Spells of deputation to such ex-cadre posts afford the officers an opportunity to apply and test their knowledge, skills and talents in new fields and situations. Deputation also helps in imparting fresh outlook to their work on return to their organisation. However, while sending officers on deputation, it should be ensured that the essential needs of the service are not sacrificed, nor does it give rise to distortions in the recruitment programme or to other cadre management problems. Normally sending officer on deputation should not be allowed in case of existing vacancies in the service particularly in the same grade. As regards the size of the deputation reserve, it may be fixed in the light of past experience and the estimated minimum number of officers likely to be away on deputation during the next five years. Once the size of deputation reserve is fixed, a conscious effort should be made to see that there is neither over-utilisation nor under-utilisation so as to avoid problems in the smooth management of the cadre.

8.1 The DoPT has issued guidelines on percentage of officers on various reserves and that should be kept in mind while finalizing the number of officers in Reserves. At present, the following norms for Reserves are prescribed in the Organised Group 'A' Central Services:

- (i) Training Reserves – Not exceeding 1.5% of Senior Duty Posts
- (ii) Leave Reserves – Not exceeding 1.5% of Senior Duty Posts
- (iii) Deputation Reserves - Not exceeding 5% of Senior Duty Posts

(Fixation of Deputation Reserves should be guided by the number of officers on deputation).

- (iv) Probationary Reserves- It should be equivalent to the period of probation prescribed multiplied with the normal batch of Direct Recruit officers.

The Cadre Controlling Authorities of Organised Group 'A' Central Services are required to keep these norms in view while formulating proposals for cadre review. The Reserve requirements of the services having higher reserve provision than the above should be reviewed in Cadre Review keeping in mind the past utilisation of reserves and the vacancy position.

Recruitment

9. Recruitment is made to a 'Service' rather than to a post, at least in so far as organised services are concerned. In general, recruitment to a Group 'A' Service takes place at the lowest level, i.e. at the level of Junior Time Scale which may be called the entry point. There are generally two sources of recruitment, viz. (a) direct recruitment i.e. recruitment from the open market through an open competitive examination or an interview or a combination of the two and (b) recruitment through promotion from the Group 'B' cadre.

10. Direct recruitment to all non-technical Group 'A' Services is made through a combined competitive examination (Civil Service Examination) conducted by the Union Public Service Commission on an annual basis. Candidates selected for different services as a result of this examination are trained in the functional fields to which they are subsequently allotted. As regards technical services, there is a different type of combined competitive examination also conducted by the U.P.S.C. in different areas of specialization, e.g. Civil Engineering, Economics, etc.

11. In the case of departmental promotion (from Group 'B' feeder cadres) to Group 'A' the promotion quota for the purpose varies from Service to Service. Above the level of Junior Time Scale, posts/vacancies are generally filled through promotion from the next lower levels. There are, however, a few exceptions in which lateral entry (i.e. direct recruitment from open market) takes place at levels higher than junior/senior time scale. Such lateral entry is generally through an interview (without a written test). In a few cases promotion of Group 'B' Officers is effected directly to the senior scale of the concerned Group 'A' Service, the junior scale posts being exclusively confined to direct recruits from the open market.

Cadre Structure

12. A typical uni-functional Group 'A' Service has a cadre structure which is constituted in the form of a pyramid with its various layers corresponding to different levels of responsibilities with no functional distinction. The pyramid starts with Junior Time Scale, which is generally a probation-cum-training grade for direct recruits, and passes through Senior Time Scale, Junior Administrative Grade and Senior Administrative Grade (and higher levels). In a number of services, a Selection

Grade also exists as part of Junior Administrative Grade. In some cases, it is functional and in others it is non-functional.

13. The feasibility of evolving a model or ideal pyramid for adoption by cadre authorities for the cadre structures of the Services under their control has been examined in depth. It must be understood that functional justifications and not considerations of promotional opportunities play a paramount role in deciding the proportion of posts in different grades in a given cadre. This stipulation precludes any concept of an ideal pyramid towards which cadre controlling authority could attempt to move. No attempt has been made to build or suggest a model pyramid for the cadre structure of various organised Group 'A' Services.

14. At the same time, certain broad parameters may be suggested for the guidance of the cadre controlling authorities while working out the cadre review proposals.

These are:

- a) All direct recruits shall be promoted to the senior time scale from junior time scale around say 5th or 6th year.
- b) A large proportion of direct recruits in the senior time scale shall be promoted to the JAG (period varying from service to service, often significantly).
- c) A significant proportion of the direct recruits in the JAG shall see their way to SAG and some to HAG/HAG+.

15. In general, the number of posts at the base level, i.e. at the level of time-scale posts, is much larger than those at the middle (JAG) and the top (SAG & above). Officers joining a particular service have certain expectations from the service in terms of going up the ladder through different stages of the hierarchy within reasonable intervals of time. If the cadre pyramid is steep, obviously the promotional opportunities for individual members of the service would be limited. On the other hand, in a structure which is not so steep, one can expect reasonable promotional opportunities for members of the Service. Thus, the degree of realization of career expectations by members of a service is essentially a function of the degree of steepness of the service pyramid. Needless to say, the Services which have better career prospects in terms of promotion tend to be more preferred by the prospective candidates. Two other concepts viz. structural ratios and threshold analysis related to cadre structure are relevant. These are discussed below.

Structural ratios

16. In a cadre structure, different grades have different sizes (in terms of number of posts). The ratios between different grades in the Services i.e. between the sizes of any two grades or combinations of different grades (including the total cadre strength) may be termed as structural

ratios. To illustrate, the following are some of the structural ratios which have been found useful in analyzing the cadre review proposals.

- The ratio of Junior Administrative Grade posts to time-scale posts (junior and senior time scale combined);
- The ratio of all posts in the JAG and above to time-scale posts;
- The ratio of JAG posts to total cadre strength;
- The ratio of Senior Administrative Grade (SAG) posts (and above) to JAG; and
- The ratio of SAG posts (and above) to total cadre strength.

17. These ratios reveal the type of cadre pyramid that a given service has and indicate the extent of promotional opportunities available to its members. Thus, the higher the ratio between Senior Administrative Grade posts and total cadre strength, the better are the promotional opportunities for members of a given Service especially at the level of JAG. On the other hand, the lower the ratio of JAG posts to time-scale posts, the slower would be the promotion prospects of a new entrant to a Service. However, good structural ratios by themselves cannot ensure smooth promotion of the members of the cadre. In practice it is observed that even with very good structural ratios members of some cadres are stagnating in various grades due to over recruitments in the past. On the other hand, in some cadres with not so good structural ratios, vacancies in the higher grades have remained unfilled due to non-availability of eligible officers. The latter situation is due to past under-recruitments. Over or under recruitments and their adverse consequences can be avoided by ensuring regular annual direct recruitment at an optimum fixed rate. In a cadre review, there is little scope for remedying the damages caused to the cadre due to unplanned recruitments in the past.

18. There cannot be an identical cadre structure for every service for obvious reasons and the Department of Personnel and Training has never intended to recommend any. The Fifth Central Pay Commission has suggested an ideal or rather a normative cadre structure as per which on a scale of hundred Senior Duty Posts (Total Strength-Reserves-number of posts at Junior Time Scale), the recommended strength at HAG is three, at SAG is seventeen, at NFSG is twenty, at JAG is thirty and at STS is thirty.

03	HAG
17	Senior Administrative Grade
20	Non Functional Grade
30	Junior Administrative Grade
30	Senior Time Scale

This cadre structure, however, presupposes other elements of cadre management also to be ideal like recruitment, attrition, promotions, provision and utilization of reserve etc. Any deviation in these aspects has to have bearing on cadre structure. However, in some of the grades, like NFSG, DoPT has fixed norms which should be strictly followed. This cadre structure, however, does not propose any normative percentage at Junior Time Scale level. The number of officers at JTS should be guided by requirement of the Service at entry level and careers aspiration of the feeder grade to together provide a base for the Senior Time Scale. As such the strength at JTS may be kept at 30% in a cadre where there is separate provision of Reserves and in case the Reserves are part of JTS, the same should be kept around 40%. However, there is nothing to suggest that the cadre structure be restricted in the same manner as detailed in normative percentage, except at the NFSG level where DoPT has issued ceiling limits on the percentage of posts to be operated at this level. The ceiling of NFSG is 30% of the Senior Duty Posts (i.e. number of posts at Senior Time Scale and above in the cadre). Moreover, functional requirement has, in any case, to be the key criterion and needs to be assessed objectively. There should be thus a serious attempt to anticipate the organization's role five years down the line and to correlate it with the changing needs of the service/cadre.

19. The internal structure of a service depends on the initial structure and the pattern of subsequent recruitment. As stated, it is neither necessary nor desirable to prescribe standard ratios between different levels of the cadre structure of a Service that would satisfy functional requirements and ensure adequate promotional opportunities. Every individual cadre controlling authority will have to carefully consider the cadre structure of the Service under its control on its own merits so as to broadly determine the desirable structure in terms of both functional needs and career opportunities for members of the Service. The basic approach in a cadre review is to balance these two aspects so as to maintain a high level of morale and efficiency consistent with economy.

Threshold analysis

20. This is an analysis of the time taken by an entrant of a given Service (normally at Junior Time Scale level) to reach different levels of the hierarchy i.e. JAG, SAG etc. The thresholds in a given cadre structure can be derived on the basis of past experience. As regards the future, i.e. the threshold likely to be realized at the end of the review period in a structure under revision, the same will have to be estimated on the basis of the proposed strength of different grades and the latest seniority list of the officers of the Service. Threshold analysis is quite useful in correctly assessing the situation regarding promotion prospects. No norms, however, have been or could be laid down in this regard too. One has to base one's perception on the situation prevailing in a number of other services/cadres particularly those which are functionally or otherwise akin to the cadre under review.

Attributes of an ideal cadre

21. The concept of a regular Group 'A' Service, the way it is constituted, and its grade structure have been explained earlier. The various attributes of an ideal cadre of a Central Group 'A' Service are elaborated in the following paragraphs with specific reference to the existing structures, their deficiencies, the need to rectify them through periodical reviews and the methodology of the review exercises.

- a) The functional needs of a regularly constituted service ought to be fully met by cadre posts without having to take recourse to ex-cadre posts. Conversely, cadre posts should entirely cater to the functional requirements of the Service and should not be utilised for performing functions other those for which the Service is intended;
- b) The grades into which the cadre is divided should be clearly distinct in the sense that each carries a distinct level of responsibility within the functional area of the concerned service. The posts within a grade should also be inter-changeable;
- c) The cadre structure should facilitate smooth mobility for its members both horizontally and vertically. Thus, while the posts in the same grade may be inter-changeable, any member of a grade should be capable of moving up and discharging the duties of a post in a higher grade;
- d) An ideal cadre should be capable of fulfilling the legitimate career expectations of the member of the Service. The expectations, however, have to be in harmony with the functional needs of a Service; and
- e) Every cadre structure should have separate provision for various types of reserves like probation, training, leave and deputation.

The Organised Group 'A' Central Service

22. An Organized Group 'A' Service is the Group 'A' Central Service which is constituted and declared consciously as such by the Cadre controlling Authorities through the established procedure and complies with the Attributes of Organised Group 'A' Services. The Attributes of such services are defined by the Cadre Review Division from time-to-time. Such declaration of status as Organized Group 'A' Service for new service/yet to be declared as OGAS follows the procedure prescribed for cadre review. Salient features of such services are as under:

- (i) The highest cadre post in such services is not below the level of Rs. 37400-67000 plus Grade pay of Rs.10000 (SAG);
- (ii) Such services have all the standard grades namely, Rs. 15600-39100 plus Grade pay Rs.5400 (JTS), Rs. 15600-39100 plus Grade pay Rs.6600 (STS), Rs. 15600-39100 plus

Grade pay Rs.7600/Rs. 37400-67000 plus Grade pay of Rs.8700 (JAG/NFSG) and Rs. 37400-67000 plus Grade pay of Rs.10000 (SAG);

- (iii) At least 50% of the vacancies in Junior Time Scale (JTS) in such services are required to be filled by direct recruitment;
- (iv) All the vacancies above JTS and upto SAG level in such services are filled up by promotion from the next lower grade;
- (v) While a service may comprise one or more distinct cadre (s), all such cadres should be governed by composite Service Rules facilitating horizontal and vertical movement of officers of a particular cadre at least up to SAG level. The cadre posts of an Organized Service expressly belong to that service. The posts not belonging to any service are classified as General Central Service and, therefore, an Organized Group 'A' Service cannot have posts/grades classified as General Central Service.
- (vi) Such a service consists of two distinct components, namely Regular Duty Posts and Reserves. The Reserves are generally of four types, viz (i) Probationary Reserves, (ii) Leave Reserve, (iii) Training Reserve and (iv) Deputation Reserve. The various types of reserves are usually created and accounted for in the Junior Time Scale.

Any deviation from these salient features may be examined on case to case basis, owing to respective functional requirements of the service/cadre.

Section 3

General deficiencies of cadre structure and management

It is a common knowledge that a number of organised Group 'A' Central Services have cadre structures that do not accord with one or more of the various requirements of an ideal cadre structure. Certain distortions have crept in some services over a period owing primarily to inadequate cadre management and irregular recruitment. Some of the deficiencies noticed in the cadre structures of organised services are detailed below.

- (i) **Poor recruitment planning:** For smooth and proper cadre management, advance projections of manpower requirements should be undertaken at least once in a period of five years. Improper recruitment planning may lead to under-recruitment, over recruitment or other ad-hoc measures. Promotion blocks occur due to large scale recruitment carried out after a spell of prolonged under recruitment. This causes frustration among service officers resulting in loss of morale and motivation. Unplanned or haphazard recruitment also leads to avoidable strain on organisational facilities during the years of bulk recruitment and under-utilisation of facilities during years of under recruitment.
- (ii) **Lack of functional clarity:** In some cadres, the functional needs and requirements of the service are skipped, and members are assigned functions which are strictly not in the operational area of the concerned service. This distorts the original objectives of the Service, erodes its functional role and renders the Service ineffective. In some cases, a large number of functional posts are found outside a functional Service, e.g. Indian Economic Service. Members of the Service are often deputed to ex-cadre posts in the same functional area. It is desirable that all ex-cadre posts be merged into appropriate Service as far as possible.
- (iii) **Deficient cadre structure-** A well constituted cadre is one that fulfills both the functional objectives of the Service and legitimate career aspiration of its members. It, however, depends on how the cadre has been structured at the time of the constitution of the Service and the manner in which it has been maintained. The cadre controlling authorities are sometimes compelled to resort to ad-hoc measures because functional requirements of the Organization concerned are not accurately anticipated or there are abrupt bottlenecks in promotions. Obviously, in a structure which is too wide at the bottom or even at the middle level tapering off to a very narrow top, promotional avenues for its members are severely restricted causing frustration among them and reducing the effectiveness of the Service.
- (iv) **Poor provision of reserves:** Another serious lacuna of some organised cadres is the lack of provision for one or other types of reserves giving rise to cadre management bottlenecks.
- (v) **Absence of recruitment rules:** There are some services which do not have proper and updated recruitment rules.

(vi) **Non-maintenance of statistical profile:** There are some services which do not maintain up to date statistical profile. This adversely effects cadre management and leads to adhoc arrangements. Up to date maintenance of statistical profile helps in cadre management and makes decision making easier for the cadre controlling authorities.

Section 4

Objectives of a Cadre Review

1. The main objective of a cadre review has traditionally been to strike a healthy balance between the functional requirements and career progression. It need not be emphasized that a satisfied workforce leads to its enhanced efficiency and sense of belongingness and thereby benefits the organization immensely. The purpose of a cadre review is to restructure a cadre in such a manner as to remove the deficiencies, which might have been missed at the time of the constitution of a service or have crept in subsequently, and ensure that the cadre structure satisfies the functional, structural and personnel considerations. Cadre Review provides an opportunity to overcome bottlenecks, remove existing distortions, bring about rationalization of cadre structure and business process re-engineering etc. so as to improve the efficiency and morale of the cadre officers and enhance the effectiveness of the service in the fulfillment of the objectives for which it has been established and assigned roles and duties from time-to-time. Generally speaking, the objectives of a cadre review are to:

- a) estimate future manpower requirements on a scientific basis for a period of 5 years at a time;
- b) plan recruitment in such a way as to avoid future promotional blocks and at the same time prevent gaps from building up;
- c) restructure the cadre to harmonize the functional needs with the legitimate career expectations of its members; and
- d) enhance the effectiveness of the service.

2. However, as discussed above, there has been a continuous and significant change in the very concept of governance. Some issues relevant to cadre management in the context of changes in governance are discussed in the following paragraphs:

(i) **Functional requirement Vs career expectation-** Cadre management is about reconciling expectation of every member of service that (s)he would steadily climb up the ladder and the limitation imposed by pyramidal structure of cadres which allows only a few to reach the top rungs of the ladder. The pyramidal organization structure is dictated by the need that the operational work at the bottom level requires a larger number who are supervised by a few, and who in turn are controlled and directed by even fewer. Equally importantly, a 'promotion' is important from the stand point of individual member as it signifies:

- A financial upgradation (more disposable income);
- Higher responsibilities leading to greater job satisfaction and fulfillment; and
- Improved social standing.

While financial upgradation and improved social standing are important, higher responsibilities and job satisfaction are probably no less important for motivation of members of a

service. Improved social standing is generally associated with designation. Unlike in private sector where an expansion in the business leads to more openings at the top of the ladder, in the government any expansion would increase the strength in terms of functional hierarchy. Ideally, after assessment of functional requirements, the duties and responsibilities attached to various posts may be realigned with a view to optimizing the use of human resource and at the same to ensuring smooth career progression.

The number of subordinates that a superior officer supervises should be a critical criterion for justifying a position at the higher levels. Also, the role and responsibilities of different levels vary with the lower levels (Group B & C) fulfilling operational needs; JTS / STS and JAG providing middle level management and SAG and above providing the leadership to the organization. In a number of cases, the cadre controlling authorities propose increase of posts at higher levels by reducing posts at lower levels to mitigate stagnation. This step adversely affects the effectiveness of the Service due to reduction of officers at the execution level of the cadre. The policy makers and executioners, both are important and this should be kept in mind while formulating proposals. Moreover, functional justification is the key criteria for consideration of such proposals.

(ii) **Zero base reviews:** A zero base review helps in optimum utilization of resources. While assessing the increase in workload or expansion of the Organization, it is equally important to identify the practices and processes that might have or would become redundant or that might be combined to save resources. The cadre controlling authority is best placed to do such an assessment.

(iii) **Stagnation not adequate ground for cadre review:** Stagnation is a relevant but not the sole ground for creation of posts at higher levels. The problem of stagnation stands somewhat mitigated after introduction of Non-Functional Upgradation (NFU) and it needs to be considered while assessing impact of stagnation. It cannot, anyway, be solved by creating posts at higher levels which will only mean that everybody will be doing work one below his level all along the hierarchy. Thus, the cadre restructuring must be supported with functional alignments to avoid under-utilization.

(iv) **Demand for competitive upward mobility-** There is a sense of injustice when a Service sees itself as not having as good a structural ratio or thresholds as some other service. This leads to competitive pressure to match the structural ratio or threshold limits of another service. Such a demand may also arise when the promotional avenues are compared with the following norms:

Grade	Structural Ratio %age of Duty Posts	Year
STS	30	5
JAG	30	9
NFSG	20	14
SAG	17	17
HAG	3	25

However, the comparison of structural ratios and thresholds may not always be logical as each Service is placed differently with reference to its role, capacity and future growth and so on. In some services the need for higher level posts may be dictated by the equation with the client. Similarly, span of control may vary from Service to Service. While a bottom-up approach would be needed in some cases, a top down approach may be required in others

With the introduction of Non-Functional Upgradation (NFU) in Organised Group 'A' Services, the demand for competitive mobility has been met at least in terms of financial upgradation.

(v) **Need for adequate recruitment planning-** By far, the major exercise involved in a cadre review should consist of projection of future manpower requirements. This would indicate the total size of vacancies likely to arise in the cadre over the review period and its distribution into different levels or different grades of the service. The total additional manpower requirement over the review period is the sum total of (i) maintenance needs (ii) growth needs and (iii) a portion of the gap proposed to be made up during the period. Maintenance needs (which arise out of wastages due to retirements, resignations, etc.), can be fairly accurately worked out. In fact, normal wastage due to retirements can perfectly be calculated from date of birth data. Even abnormal, wastage due to resignations, etc. can be estimated with a small margin of error on the basis of past experience. It is, however, not always possible to accurately project growth needs, as this involves an element of forecasting. Nonetheless it is essential for balanced cadre management that growth needs should also be as accurately assessed as possible. It must be emphasised in this connection that some amount of increase in work has to be treated as normal and should not lead to any increase in the manpower requirements. Only perceptible and significant increases in activity should be translated into additional personnel requirements. Having estimated the essential additional needs, the levels or grades at which such needs arise should be clearly identified. It should also be clearly assessed whether the additional requirements would have to be in the nature of creation of new posts or upgrading some of the existing posts.

Increase in work-load could be quantitative or qualitative or both. A quantitative increase in work-load indicates creation of additional posts at required levels. Where the nature of work at certain levels is expected to undergo change, proposals for upgrading could be justified. The identification of each additional post required (either by way of fresh addition to the cadre or through upgrading an existing post) in terms of specific duties, at least at the level of Junior Administrative Grade and above, would be of considerable value in a cadre review proposal. As far as possible, work norms in terms of duties and responsibilities should be unambiguously set out to justify the proposed additions. An organizational chart will be of added value.

Filling up of gaps regularly is an important aspect of cadre management. As far as possible, gaps should be avoided, and in any case, gaps should not be allowed to accumulate over long periods which could induce the cadre authority to resort to ad-hoc measures or other easy solutions to deal with the situation. It should, however, be ensured that gaps in the cadre are made good in a phased manner rather than attempt to wipe out the entire gap in one single sweep. For example, any excessive recruitment in a particular year results in dilution of the quality of recruits in short run and lead to promotion blocks at a later stage.

(vi) **Need for managing reserves** - If the cadre structure already has provision for various types of reserves like probation, leave, training and deputation, it should be examined as to (a) how such reserves have been utilized in the past and (b) what would be the future pattern of utilization. The review should provide an opportunity to identify posts which are usually being manned by reserves due to inadequate provision of duty posts for existing activities or because of expansion of regular activities or both.

If no provision exists for reserves in the initial constitution of the Service, it should be examined as to the extent that different types of reserves will now have to be provided for in the revised structures in the light of past experience and anticipated requirements over the review period.

(vii) **Encadrement of ex-cadre posts**- Often departments create for various reasons, a number of posts having more or less similar functional duties and responsibilities as the cadre posts. Such posts are manned by both cadre officers and those outside the cadre(s). It should be the constant endeavour of Cadre Authorities to periodically review the position regarding such posts with a view to encadre them keeping in view:

- (a) the nature of functions and responsibilities attached to them.
- (b) the likelihood of their continuing;
- (c) the desirability of deploying cadre officers to such posts.

(viii) **Budget Neutrality** –The requirement of budget neutrality has to be understood in the correct perspective. While discouraging any liberal creation of posts, it seeks to ensure that any increase in the net expenditure has to be in correspondence with increase in output or horizontal expansion in activities.

(ix) **Skill gap**- Since on an average, the interval between two successive cadre review is more than five years, it is essential to visualize the Organizational role five years hence and to assess the skill gaps of officers that would be required to be plugged by way of capacity building. Therefore, this factor should invariably form a part of cadre review proposal.

(x) **Constitution of New Service**: The cadre review exercises being carried out in respect of a number of Central Group 'A' Services and the guidelines formulated and circulated for the purpose have not only succeeded in bringing out a positive attitude among the various cadre controlling

authorities as already mentioned, they have also created an awareness among members of various other cadres, which have not been constituted into a Service or an organised service on the principles of scientific management. A number of departments have constituted regular service/cadres wherever they were functionally viable. The cadre controlling authorities also explore the feasibility of merger of services, wherever feasible, to explore the scientific cadre management and better utilization of the officers. The Cadre Review Division has been processing such proposals for formation of a service and grant of Organised Group 'A' Service status in the same manner as prescribed for cadre review. For formulation of a service/cadre, the basic concept of service as elaborated above may be kept in mind and while formulating the proposal of grant of Organised Group 'A' Service status, the attributes of the same should be followed to the extent possible.

(xi) **Creation of Posts without cadre review:** Normally addition to a cadre by way of increasing the number of posts at different levels should be considered only in the course of five year cadre review. Mid review changes should be avoided as far as possible. Regular cadre reviews carried out at five years intervals must envisage such eventualities while making advance projections for the five year period of additional manpower requirements. Accordingly, the need for creating posts, encadrement and upgradation of posts not envisaged by the Cadre Review Committee before the next cadre is due, can be expected to be rare. In the event, however, of such eventuality, it may be ensured that the additional posts so created conform to the cadre structure most recently approved by the Cadre Review Committee. The adhoc measures of creation, encadrement, upgradation of posts are not supported if the Cadre Review is due, however, there cannot be any rigidity in this regard and in case of unseen exigencies, if such a proposal is moved, this should be taken up with the Cadre Review Division of the DoPT as well as the Department of Expenditure alongwith the justification and reasons for not being able to wait for the next cadre review.

(xiii) **Declaration of dying service/cadre:** In a number of cases, due to business process re-engineering, automation of business process, change in mandate etc., the Department may no longer require a Central Group A service. In such cases, declaration of such service as dying cadre is done. Any such proposal may be finalized ideally through the process of cadre review so that its impact is examined.

(xiv) **Dealing with vacancies:** In a number of cadres, there are large number of vacancies which rise to adoption of adhoc measures for filling them. The cadre controlling authorities should review the vacancies regularly not only for their filling up process but also for the continuance of such posts. It is better to surrender the posts which are not feasible to be filled in long run rather than continuing them through adhoc measures after assessment of its impact on the functioning of the organisation.

Section-5

Broad Guidelines for formulation of cadre review proposal

The overall approach to cadre strength review has recently been reexamined and experience has shown that Cadre Controlling Authorities do not always present coherent proposals with plausible functional justification. Often they tend to justify their proposals for upgradation or creation of additional posts in terms of improving promotional prospects of the members of the Service. It has been repeatedly emphasized in the earlier chapters of this Monograph that improvement of promotional opportunities is not the sole objective of cadre management. Any changes proposed in the respective strength of different grades of a cadre under review will have to be backed by adequate functional justification. It is thus established that there is a need to bring in a qualitative shift in the manner the cadre reviews are done and that the issues discussed above need to be considered while formulating a cadre review proposal. In house assessment of the cadre as a whole, fundamental changes proposed, long term issues, planning etc should be carried out preferably by forming a Committee. A checklist of issues that must be elucidated in a proposal for cadre review is given below.

1. Functional Aspect

1.1 **Organizational Changes-** A cadre review provides an opportunity to take a fresh look at the cadre in the light of changes that have taken place within the organization as also in the outside environment. It should be examined whether the organization has undergone any material changes on account of the following:

- (a) **Outsourcing-** The functions outsourced or planned to be outsourced and the impact on the manpower requirements should be spelt out clearly.
- (b) **Automation of business processes-** The proposal should take into account the increasing use of ICT Tools in the areas like accounting, tendering, inventory management, internal processing, data management etc and its impact on the cadre strength.
- (c) **Business Process Reengineering-** Likewise, it needs to be examined if the reengineering of business processes done or intended would have an impact on the cadre strength. The changes in business processes may require redistribution of posts and responsibilities leading to significant structural changes in the cadre.
- (d) **Change in the mandate-** As discussed earlier, the Government has withdrawn itself from direct involvement in many areas and is encouraging Public Private Partnership in still others. It thus becomes imperative to see if there has been any shift in the mandate itself.

1.2 **Justification for higher/additional posts-** The cadre review should consider the needs of the whole organization and not merely that of the Service. All Group A services occupy the top layer

of civil services. These layers are interdependent and therefore the needs of the Service should be seen in the overall organizational context.

2. **Personnel Aspect**

2.1 **Recruitment Planning-** Rate of recruitment to a cadre depends upon function of the Service and maintenance and growth needs of the Service. A third important factor that determine recruitment size is the quantum of 'gaps', i.e. the number of vacancies remaining unfilled for a period of one year or more. It would be convenient to discuss recruitment plan under the three main heads representing the three basic components, viz. maintenance needs, growth needs and gaps. While drawing up the recruitment plan, promotion prospects will also have to be kept in view.

(i) **Estimation of maintenance needs**

Maintenance needs arise out of normal (due to retirements on superannuation) and abnormal (due to resignations) deaths, dismissals, etc.) wastages. In particular some Group 'B' officers likely to be promoted to the Service during the next five years may be retiring within the period of review. To smooth out violent annual fluctuations, if any, an average of the next 5 years should be taken to represent the maintenance requirements of the Service/cadre on account of normal retirement. As regards abnormal needs to resignation, dismissals, deaths, etc., this may be estimated on the basis of actual experience during the past five years.

(ii) **Estimation of growth needs**

Each cadre controlling authority should have a reasonable estimate of the future growth rate of personnel say, over the next 5 years. The actual retirements for the next five years (i.e. the period of the five-year review) will have to be worked out as possible. In general, the growth needs of a service will have to be assessed under the following components: -

(a) Normal growth of work in the current functional fields;

(b) New functions/schemes likely to be undertaken

(c) Policy-induced changes relating to:

i) Organisation/Structure;

ii) Personnel Policy; and

iii) Administrative/procedural reforms.

Rate of increase in work load within the existing functions of the service may be studied with reference to past trends and projected progress of on-going schemes/programmes during the next five years. Normal growth in work should not generally lead to any significant increase in number of posts unless it can be demonstrated on the basis of quantitative norms that increase in work has a direct bearing on staff strength.

Along with progress of on-going schemes, some of which may taper off during the next few years and thereby reduce the requirement of staff on them, a careful study should be made of new programmes/ projects and activities likely to be taken up during the next five years. Necessary correlation between financial and physical targets and staff requirements should be established.

Policy changes in the personnel field also have an impact on future growth of personnel. Some policy decisions may have been taken or likely to be taken which will have an important bearing on the functions, organisation and structure of the Department/Service. Likely impact of all such changes on the cadre strength should be carefully assessed.

A note of caution may be sounded here. The projection of future requirements is not necessarily an extrapolation of past trends for the simple reason that the past conditions might not hold good in the future. Policy changes recently introduced or likely to be introduced often influence the future behaviour pattern of the trend which may not be amenable to quantification. Nevertheless, backed by enlightened judgement and past experience, the cadre authority should still be in a position to assess the growth rate within a reasonable narrow margin of error.

(iii) Under Recruitment resulting in 'gap'

A 'gap' may be defined as the size of regular vacancies in the cadre persisting continuously for more than a recruitment year, even though such vacancies might have been filled by ad-hoc appointments. Regular vacancies are long-term vacancies which are required to be filled on a regular basis in accordance with the Recruitment Rules. The main causes of the gaps which usually accumulate in the lowest rung of the service are:-

- a) Non-availability of suitable candidates;
- b) Deliberate under-recruitment so as to avoid promotion blocks at a later stage or for other reasons; and
- c) Defects in recruitment planning, such as failure to make proper allowance for abnormal wastage, delays etc.

A careful examination of the causes should be made so as to arrive at a reasonable figure by which the gap should be reduced and recruitment increased over the next five years.

(iv) **Adverse effects of over or under recruitment.**

Under recruitment and ad-hoc appointments should be avoided as far as possible, as these will create distortions in the cadre. In any case, it should be ensured that ad-hoc appointments do not persist for more than a year at the most. Where ad-hoc appointments are sizeable and have been continuing for long periods creating problems for the Cadre Authority and adversely affecting the morale of officers concerned, bold measures may have to be thought of, say in the directions of a radical restructuring of the cadre, a reassessment of promotion quotas and review of recruitment rules.

Over recruitment is as harmful, if not more, as under recruitment. The former leads to future blockades in promotions. The scope of undoing the damages done by past over-recruitment is very limited. The first objective of recruitment planning should, therefore, be to ensure that recruitment is made regularly every year and the rate of annual intake by direct recruitment and promotion from Group 'B' is kept within a fixed optimum rate. A study carried out by the Cadre Review Division has indicated that the optimum rate of annual intake should be 3% of the authorised cadre strength.

If a cadre is suffering from gross under recruitments in the past, the aforesaid optimum rate may fall short of the number required to fill the big gap in the cadre. A special method should be adopted on a one-time basis to ensure that gap is filled without creating future blockades in promotion. An appropriate method would be to hold a limited departmental competitive examination of the eligible Group 'B' officers for filling the gap by promotion.

To summarize, a long-term perspective recruitment planning is the key ingredient of cadre review and apart from the changes in the functions described above, it should also consider the maintenance needs of the cadre, growth needs of the cadre, quality of recruits, promotional prospects of recruits etc. The rate of annual recruitment should be worked out so that gaps in the cadre are adequately taken care of in a phased manner and there is no excessive recruitment in particular years leading to dilution in the quality of recruits or block in promotion at a later stage. The five-year recruitment plan is therefore made part of the cadre review proposal.

2.2 Capacity Building- A scientific plan for the development and deployment of officers in a cadre should be devised. This plan should spell out in detail the requirement in terms of skills/specialties, desirable experience etc. for different positions, and the various training programmes required for the attainment of this objective. The placement of officers, in and outside

the cadre, should be in line with the skills/experience acquired by them. It should, therefore, be done after a careful screening of eligible personnel in relation to the type of posts to be filled up.

2.3 **Promotional Avenues-** Promotion prospects are a vital factor affecting the morale and efficiency of the service personnel and hence the effectiveness of the cadre in discharging the role assigned to it. This aspect will, therefore, have to be kept in view while formulating proposals for review a cadre. The Cadre Authority will do well, therefore, to keep under constant observation the trends of promotion/stagnation in the cadre. An assessment may be made of the anticipated promotion prospects (as a result of cadre review) vis-a-vis existing (past) promotion trends. A realistic estimate of likely vacancies in each grade for the next five years, drawing up a programme of DPC meetings at regular intervals and strict adherence to planned recruitment programme will reduce the chances of occurrence of artificial bottlenecks and infuse in the minds of the Service personnel a sense of confidence in their future. A diligent assessment of promotional avenues (threshold analysis) both before and after the cadre review should be reflected in the proposal. It should also be ensured that the feeder grades, if any, are not impacted adversely.

2.4 **Recruitment/Service Rules-**The changes required in the Recruitment/Service Rules because of cadre review may be analyzed. A copy of updated Recruitment/Service Rules should be enclosed.

3. **Structural Aspect-** There cannot be a uniform structure for all the cadres and functional requirement will always have overriding consideration. The normative cadre structure discussed above only provides broad parameters to help in the analysis. The cadre should be appropriately divided into Duty Posts and Reserves. It should have allowances for various reserves like Probation, Deputation, Training, Leave etc. While the Probation Reserve depends on the average annual intake and number of years prescribed for probation, the remaining Reserve should be projected on the basis of actual utilization in past.

4. **Financial Aspect-**The introduction of Non-Functional Upgradation (Parity with IAS) has lessened the significance of matching savings. It, however, may be noted that any proposal involving additional financial expenditure should either be matched up with an increase in output or expansion in the organization's business. The calculation sheet must be enclosed with the proposal.

5. **Statistical Aspect-** In addition to the above said issues, cadre review requires certain additional information also. To facilitate collection and analysis of such information, certain formats have been devised and appended at the end of this Section. Any cadre review proposal must have these formats duly filled and analyzed, as discussed below:

(i) The additional requirements in terms of the number of posts at different levels over the review period should be estimated methodically as explained in the Guidelines and provided for in the accompanying formats. In particular, the growth needs should be estimated as accurately as possible and identified by different levels of responsibility so as to justify the proposals for creation /

upgradation of posts. Such identification will have to be done at least for the grades of JAG, SAG and above separately and their likely deployment shown over the next five years.

(ii) As it takes considerable time for the proposals to be fully processed and placed before the Cadre Review Committee, the updated data should be made available to the Department of Personnel and Training for incorporation in the proposal for consideration by the Cadre Review Committee. It is, therefore, essential that various types of data furnished in the Format of the Guidelines be invariably maintained by cadre authorities on their own and be updated as on first of January each year. The data so updated may be made available to the Department of Personnel & Training (Cadre Review Division) each year, irrespective of whether or not a particular cadre is under review or proposed to be taken up for review shortly.

(iii) It may be ensured that the data given in the Format and gaps tally with the final proposals for the reviewed structure. The various items of information provided in the forms should be checked and cross-checked with the write-up so that consistency is ensured between various sets of data. An arithmetical tally of existing number of posts (by different levels), posts to be created and / or upgraded, wastages, gaps proposed to be filled, etc. will have to be invariably carried out as this will give a clear picture of recruitment planning.

(iv) The utilization of reserves, especially the leave and training reserves is mostly shown, to be 'NIL' by cadre authorities. If that were really the case, it will have to be explained as to what happens to the reserves already provided for and created, i.e. how they are being utilized. If leave and training reserves, say, are in effect utilized to man regular duty posts, it could be because either the authorized strength of the regular cadre is short of the needed size or the sanctioned strength does not match the requirements of the Service in full. In any case, suitable adjustments will have to be made in the proposals for cadre review.

(v) The recruitment rules with latest amendments should invariably be enclosed to the proposal papers as also the organisational and functional charts. The organisational charts should indicate the current position as also the position expected to obtain if the proposals are approved by the Cadre Review committee.

(vi) Seniority lists will have to be maintained accurately and upgraded as on 1st January each year showing the last batch covered for promotion to senior time scale, JAG, and SAG levels. This will help in monitoring the implementation of the decisions concerning the last cadre review. ER sheets of the officers should be maintained.

(vii) The financial implications of the proposal formulated by the Cadre Controlling Authority (in respect of the cadre under its control) should be accurately worked out. This must be done based on the difference in cadre size resulting from the proposals and not the presumption of cadre officers (already working in different grades) securing promotion as a result of the review and thus being

placed in a higher scale. The latter course does not always give a correct picture of the exact financial implications of the cadre review proposal. The impact of NFSG and NFU (wherever applicable) should also be worked out.

(viii) Orders sanctioning creation of new posts should invariably be endorsed to the Department of Personnel & Training (Cadre Review Division). Besides, the cadre should prepare a calendar for the DPC and the same should be sent along with the six-monthly implementation report. DPC should be held in time and the same should be monitored strictly. The implementation report of the last cadre review should also be provided to the Cadre Review Division

Form : 1 – A

PERFORMA FOR CADRE STRENGTH REVIEW

Name of Service/Cadre

Department Controlling the Cadre

Cadre Structure : No. of posts sanctioned as on 1st January 1990 – 1st January of the Current Year.**A. REGULAR DUTY POSTS**

S. No.	1990	2000	2010	2020	No. of posts sanctioned as on first January of the two previous years and the current year		Current Year		TOTAL				
					Grade (Scale of Pay)	No. of posts	Grade (Scale of Pay)	No. of posts		Permanent	Tempy.		
1	2	3	4	5	6	7	8	9	10	11	12	13	14

1. Apex

2. H.A.G.+

3. H.A.G.

4. S.A.G.

5. J.A.G.

6. S.T.S.

7. J.T.S.

RESERVES

Description	No. as on 1 st January		
	2000	2010	2020
1	2	3	4
			5

- 1. Probationers
- 2. Training
- 3. Leave
- 4. Deputation

Total (B)

B. AUTHORISED CADRE STRENGTH

.....
GRAND TOTAL (A + B)
.....

NOTE :

- (a) In 'A', in columns 8 to 12 (Regular Duty Posts), figures of actual number of officers in position may be indicated in brackets for each of three years.
- (b) In 'B' (Reserves), number of posts in different scales may be shown separately where a reserve is in more than one scale of pay. Normally, Reserves will be in the lowest grade of the Cadre.
- (c) Where probationers reserve is part of Regular Duty posts or Training reserve this may be clearly indicated.

FORM : 1-B

STAFFING OF CADRE POSTS AS ON 1ST JANUARY OF CURRENT YEAR

Grade	No. of Posts Sanctioned	No. of Posts filled	No. filled by cadre officers	No. filled by deputationists as per recruitment rules	No. filled by departmental candidates on ad hoc basis for periods of						Remarks
					Up to 1 year	1-3	3-5	5-10	Over 10 years	Total	
1	2	3	4	5	6	7	8	9	10	11	12

FORM : 1-C

POSTS OUTSIDE THE CADRE (DEPARTMENT-WISE) HAVING SIMILAR FUNCTIONS AS CADRE POSTS

Sl. No.	Grade (Scale of Pay)	No. of posts outside cadre existing for periods (in years) of								No. of posts held by cadre officers
		Up to 2 years	2-5	Over 5 years	Total	Permanent	Temporary			
1	2	3	4	5	6	7	8	9		

Brief reasons for keeping such posts outside cadre (to be indicated on a separate sheet).

FORM : II-A

Method of Recruitment (Position as on 1st January of current year)

Grade	Method of Recruitment			Remarks
	Direct	Departmental promotion	Any other (specify method)	
1	2	3	4	5

Posts higher than

SAG

1.

2.

SAG

JAG

Selection Grade

Ordinary Grade

Time Scale

Sr. Scale

Jr. Scale

FORM : II-B

Recruitment during the last five years or since Inception of the service (whichever is later)

Year

Grade and Scale	Total no. of vacancies	Direct Recruitment			Departmental Promotion			
		No. to be filled by direct recruitment	No. actually recruited	Difference between Col. (3) and (4)	No. to be filled in through promotion	No. actually promoted	Difference between Col. (6) and (7)	No. taken by other method (specify)
1	2	3	4	5	6	7	8	9

FORM : II-C

(A) Under Recruitment (position as on 1st January of current year)

Grade/Scale of pay	Duration of Vacancies	No. of Vacancies			Total
		Direct recruitment quota	Departmental promotion quota	Others	
1	2	3	4	5	6

1. (i) Upto 2 years
(ii) 2-3 years
(iii) More than 3 years
 2. (i)
(ii)
(iii)
 3. (i)
(ii)
(iii)
 4. (i)
(ii)
(iii)
 5. (i)
(ii)
(iii)
- Totals (i)
(ii)
(iii)

(B) Reasons for under recruitment (may be indicated briefly on a separate sheet)

.....

MAINTENANCE NEEDS

Grade/Scale of pay from which wasted out	Cause of Wastage	Total No. of officers washed out during the preceding 4 years and the current year							Remarks
		20-	20-	20-	20-	20 (Current Year)			
1	2	3	4	5	6	7	8		

..... (a) Retirement on Superannuation

(b) Resignation

(c) Other Reasons

..... (a)

(b)

(c)

Note : The number of promotes may be mentioned in brackets under each item.

ANTICIPATED RETIREMENT OVER THE NEXT 5 YEARS

YEAR	No. of officers superannuating on or before first January						TOTAL
	Higher levels	SAG	SG	JAG	Sr. Scale	Jr. Scale	
1	2	3	4	5	6	7	8

20

20

20

20

20

Total

Promoted officers may be shown separately in the figures of total number of officers

FORM : IV – A

Year (Last 5 years)	No. of officers on leave for periods (in days) of						Total No. of officers in leave	No. of substitutes posted	Remarks
	Less than 45	45-60	60-90	90-120	120 & above				
1	2	3	4	5	6	7	8	9	

20-

20-

20-

FORM : IV – B

Year (Last 5 years)	No. of officers deputed for training for period (in days) of					Total	No. of substitutes posts	Remark
	Up to 45	46-90	91-180	Above 180				
1	2	3	4	5	6	7	8	

20-

20-

20-

20-

20-

FORM : IV-C

DEPUTATION

Grade of the officers on Deputation with scale of pay	No. of officers on Deputation on 1 st January of the 5 preceding years					Remarks
	20__	20__	20__	20__	20__	
1	2	3	4	5	6	7

FORM : V-A

Length of Service of officers in each grade as on 1st January of current year

Grades	Total No. of officers who have put in a total service (in years) of								Total
	Less than 5	8-9	10-14	15-19	20-24	25-29	30 and above		
1	2	3	4	5	6	7	8	9	

- 1
- 2
- 3
- 4
- 5
- 6

.....

Total

FORM : V-B

Grade wise past promotion trends (position as on 1st January of current year) (May be filled in case of Direct Recruits)

Grade (Scale of pay)	Total Service (in years) put in before promotion to the grade (indicated in Col. 1)		Remarks
	Minimum	Maximum	
1	2	3	4

Apex

HAG+

HAG

SAG

Selection Grade

JAG

Senior Time Scale

FORM : V-C

AGE – COMPOSITION AS ON 1ST JANUARY OF CURRENT YEAR

Age Group (years)	No. of officers in the grade of						Remarks
	Higher levels		SAG	SG	JAG	Senior Time Scale	
	I	II					
Upto 26							
26 to 30							
30 to 35							
35 to 40							
40 to 45							
45 to 50							
Above 50							
.....							
Total							
.....							

Number of promote officers may be indicated in brackets.

FORM : V-D

NUMBER OF CADRE OFFICERS OCCUPYING EX-CADRE POSTS IN THE SENIOR TIME SCALE AND ABOVE AS
ON 1ST JANUARY OF THE CURRENT YEAR

Scale of Pay (Senior Scale)	At the Central Sectt.		Outside the Central Sectt.	
	Public Sector Undertakings	Other offices (Give details)	Public Sector Undertakings	Other offices (Give details)
1	2		3	4

GROWTH NEEDS OVER THE NEXT 5 YEARS

Item	Total requirements of personnel over the next 5 (five) years due to growth						Total
	1 st year	2 nd year	3 rd year	4 th year	5 th year		
1	2	3	4	5	6	7	

a) Normal growth in quantum of work.

b) New scheme (Specify each)

- 1.
- 2.
- 3.

c) Policy induced changes

1. Structural/Organizational
2. Personnel
3. Administrative/Procedural Reforms

TOTAL

.....

FORM : VI-B

GRADEWISE BREAKUP OF GROWTH NEEDS OVER NEXT 5 YEARS

Grade/ Scale of pay	No. of posts required during					Total
	1 st year	2 nd year	3 rd year	4 th year	5 th year	
1	2	3	4	5	6	7

Note : Indicate separately number of new posts in each grade and number of posts resulting from upgradation, etc.

FORM : VII-A

PROJECTED REQUIREMENTS OF PERSONNEL FOR THE NEXT 5 YEARS

Item	Additional requirements over the next 5 (five) years					Total
	1 st year	2 nd year	3 rd year	4 th year	5 th year	
i) Replacement needs						
a) Normal retirements						
b) Other causes of wastages						
Sub total						
ii) Growth needs						
iii) Gap on account of post under recruitment						
iv) Increase in reserves						
a) Leave reserve						
b) Training reserve						
c) Deputation reserve						
Sub total						
.....						

Total :

.....

FORM : VII-B

RECRUITMENT PLAN FOR NEXT 5 YEARS

Year					
No. of vacancies proposed to be notified to UPSC					
No. of Group 'B' officers proposed to be appointed to Group 'A'					
Remarks					

SUMMARY STATEMENT OF EXISTING AND PROPOSED STRUCTURE OF THE SERVICE/CADRE

Grade	Scale of Pay	Sanctioned Strength as on 1 st January as on 1 st January of current year	Proposed strength as on 1 st January of the year after next year
1	2	3	4

(A) Regular Duty Posts

Posts higher than SAG

- 1.
- 2.

SAG

JAG

Selection Grade
Ordinary Grade

Time Scale

Sr. Scale
Jr. Scale

TOTAL :

(B) RESERVES

- 1. Probationer's reserve
- 2. Training reserve
- 3. Leave reserve
- 4. Deputation reserve

TOTAL :

GRAND TOTAL :

FORM : IX

GRADE-WISE PROMOTION PROSPECTS (PROJECTED COMPARED WITH PAST)

Grade/Scale of pay	Length of Service (years) in the lower grade before promotion to the grade indicated in Col.1			
	Before Cadre Review		After Cadre Review	
	Minimum	Maximum	Minimum	Maximum
1	2	3	4	5

Senior Time Scale

JAG Ordinary

JAG Selection

SAG

HAG

HAG+

Apex

Note : The latest seniority list should form the basis for estimating future promotion prospects. (A copy of Seniority list may be attached).

FORM : IX – A

Statement showing batch-wise and grade-wise break-up of number of officers holding Cadre, Ex-cadre posts, etc. as on 1st January of current years

Year of * Allotment	Number of Direct Recruits	Number of Promotee Officers	Total	JTS	STS	JAG	SAG	Higher Post
1	2	3	4	5	6	7	8	9

.....

* Commencing from the year of allotment of the oldest serving direct recruit or, if the service is newly constituted and the senior most officer of the cadre is a promotee, from the years of allotment of such promotee.

Model Cadre Review Proposal

Information required for examination of the Cadre Review proposal:

- a. Whether representatives of the service association(s) consulted.
- b. Whether the proposal has been referred to Department of Personnel and Training with the due approval of the Integrated Finance Division and the Minister in charge.
- c. A certificate to the effect that no court case is pending which will have bearing on the proposed cadre review.
- d. Name of the contact officer(s) who can furnish additional information, if needed.
- e. A copy of recruitment rules with latest amendments.
- f. A copy of Civil list/seniority list.
- g. Whether an attempt has been made in the proposal to encadre all the posts which have similar functions and responsibilities.
- h. Any recommendation of Pay Commission or Parliamentary Committees or Audit Report or any other Expert Group on the Service may also be included.
- i. As per instruction issued by the Department of Expenditure, the cadre review proposal should not result in any increase in the number of posts.
- j. Information as per performa prescribed in the Monograph.

Model Cadre Review Proposal

Copy No. _____

SECRET
No. 11011/3/2013-()
Government of India
Ministry of Planetary Affairs

New Delhi, Dated the August, 2014

NOTE FOR THE COMMITTEE OF SECRETARIES

Subject : Cadre Review of the "Solar Family Exploration Service" under the Ministry of Planetary Affairs.

1. Introduction & Background

1.1 The proposal under consideration is for review of cadre of the Solar Family Exploration Service', which is an Organised Group 'A' Service under the Ministry of Planetary Affairs. The officers of the Service are responsible for managing the material supply chains to provided procurement and logistics support for the solar missions of the Govt. of India. The Service was constituted in the year _____. Recruitment Rules of the Service were framed in the year and were amended on 19.02.1987. The First Cadre Review of the Service was done in the year _____, the second in the year _____, the third in 2006 and this is the _____ Cadre Review of the Service.

1.2 Cadre Strength of the Service, at the time of inception was ----- and the present sanctioned strength of the Service is-----.The major changes in the strength undergone in the service since inception are as under:

(As on 1st Jan.)

Grade	Inception	1 st Cadre	2 nd Cadre	Any other major
	Year	Review	Review	increase
	Year	Year	Year	Year
Apex					
HAG+					
HAG					
SAG					
JAG					
STS					
JTS					
Total					

1.3 Functions & Responsibilities of the Service.

(This should include the work allocation of the service)

Apart from postings in the main Ministry, i.e., the M/o Planetary Affairs, the officers of the Solar Family Exploration Service are also posted in its field formations and some other important Ministries/Departments like PMO, Ministry of Science & Technology and organizations like ISRO, etc. The seniormost post in the service is -----at the Apex level in the Ministry of Planetary Affairs.

The distribution of posts in different offices (grade wise) is as follows :

Table 1

	Apex	HAG	SAG	JAG	STS	JTS	Total
Ministry							
Headquarters/Board							
D/O Moon Mission							
D/o Mars Mission							
D/o Venus Mission							
D/o Saturn Mission							
PMO							
ISRO							
Other Ministries							
Field offices							
Total							

1.5 The field offices are situated at Bangaluru, Hyderabad, Mumbai, Chennai, Kolkata..... These offices are headed by the, which is an level post. He reports to the, anlevel officer in the Ministry of Planetary Affairs. The cadre post of the service in PMO, ISRO and other Ministries are at SAG/JAG level. The present **Organizational Structure** in the Ministry is as follows :-

The present **Organizational Structure** in the Field formation) is as follows:-

1.6 The Direct recruitment to the service is done at JTS level through Civil Services Examination/Engineering Services Examination conducted by the Union Public Service Commission and the minimum qualification for the service is graduate/graduate in Engineering. The ratio prescribed for direct recruitment to promotion is 1:1.

1.7 The feeder grades comprises of, and the cadre strength of the feeder grades is _____. The details of the strength in each of the feeder grades are as under:

2 Functional justification for Cadre Review as given by the Department : The officers of the service are playing a very important role to achieve the goals outlined for development of Solar Mission of the Govt. of India. In last five years i.e. after the last cadre review there are major changes undergone in the workload and mandate of the organization.

- a. The main reason leading to the decision of cadre review along with supporting information.
- b. Change in the mandate of the organization and role of the service in future.

- c. Business process reengineering redistribution of posts and responsibilities.
- d. Increase in volume of work.
- e. Impact of computerisation and outsourcing of certain works hitherto being undertaken in the Department.
- f. Impact of creation of public sector units for work which were originally being performed by this service

2.1 Justification for increase/decrease in posts at different levels.

The Cadre Review proposal is aimed to meet the functional requirement as well as career expectations of the officers of the Service and keeping in view the same, it is proposed to revise the cadre strength in various grades keeping the overall cadre strength intact. The details are as under:

(i) Apex Level- At present there is no post at this level .It is proposed to create/upgrade ___posts at this level to look after the work of ___(functional justification).In case the proposal is accepted officers of the ___batch will be covered.

(ii) HAG + Level

(iii)HAG Level

(iv)SAG Level

(v)JAG/NFSG

(vi)STS Level

(vii)JTS Level

(viii) Reserve

(The Batches to be covered in each grade after the proposed cadre review should also be indicated.)

2.2 Changes in the Organizational Structure after the proposed Cadre Review.

Table 2

Existing

	Apex	HAG	SAG	JAG	STS	JTS	Total
Ministry							
Headquarters/Board							
D/O Moon Mission							
D/o Mars Mission							
D/o Venus Mission							
D/o Saturn Mission							
PMO							
ISRO							
Other Ministries							
Field offices							
Total							

Table 3

Proposed

	Apex	HAG	SAG	JAG	STS	JTS	Total
Ministry							
Headquarters/Board							
D/O Moon Mission							
D/o Mars Mission							
D/o Venus Mission							
D/o Saturn Mission							
PMO							
ISRO							
Other Ministries							
Field offices							
Total							

Table 4– Structure of cadre proposed by the Ministry of Planetary Affairs.

Sl. No.	Grade	Existing Strength	Proposed Strength	% of SDP		
				Normative	Existing	Proposed
(i)	Apex			3		
(ii)	HAG+					
(iii)	HAG					
(iv)	SAG			17		
(v)	JAG/NFSG			50		
(vi)	STS			30		
SDP						
(vii)	JTS					
(viii)	Reserve					
Total Strength						

3 Financial implications/Financial Neutrality

The cadre restructuring, as proposed above, would entail an additional expenditure of around Rs. _____ per annum. The calculation sheet is annexed. (While calculating Financial Implication, the NFSG and NFU may also be taken into account. As far as possible, 'Nil' financial implications may be shown. If some posts are required to be created, which results in financial implications, the same may be neutralized by showing matching savings by curtailing a few posts from some other grade. Hence, as far as possible budget neutrality may be shown).

4 Recruitment Planning

The cadre review proposal should ensure that planned recruitment should be done by the Department taking into account maintenance and growth needs of the cadre and promotional prospects for the holders of the cadre posts.

4.1 Year wise recruitment position:

Year of Recruitment	Number of Vacancies for Direct Recruitment	Number of persons actually appointed	Number of vacancies to be filled by promotion	Number of officers actually promoted

4.2 Year wise recruitment planning: The detailed recruitment planning for the next five years may be shown.

Year	Number of Vacancies for Direct Recruitment	Number of vacancies to be filled by promotion

5 Vacancy position: The details of incumbency position are as under:

(As on 1st Jan.)

Grade	Authorized Sanctioned strength	Actual Strength (No. of officers holding)			Total	Last Promoted Officer's Batch
		Cadre post	Ex-cadre posts	Deputation/Leave/Training		
Apex						
HAG+						
HAG						
SAG						
JAG						
STS						
JTS						
Total						

(In case of vacancy, the steps to mitigate the vacancy level may also be indicated)

6 Batch wise strength

(As on 1st Jan.)

S. No.	Batch (Year)	Direct Recruits	Promotee	Total

7 Proposal for approval :

Approval of Committee of Secretaries is solicited for the cadre review proposal of the Solar Family Exploration Service as summarised below:

The following changes in the Cadre structure :

- i. Creation/abolition of ____ posts at HAG Level
- ii. Increase/decrease of ____ posts at SAG Level
- iii. Reduction/enhancement of ____ posts at JAG Level
- iv. Reduction/enhancement of ____ posts at STS Level and
- v. Reduction/enhancement of ____ posts at JTS Level

The recommendation made above can be summarized as below :

- a)
- b)
- c)

The structure after changes, if accepted, will be as follows.

SI. No.	Grade	Existing Strength	Proposed Strength
(i)	Apex Scale		
(ii)	HAG		
(iii)	SAG		
(iv)	JAG		
(v)	STS		
SDP			
(vi)	JTS		
(vii)	Reserve		
Total Strength			

This has the approval of Integrated Finance Division and Minister Incharge.

(Signature)

Annexure-IV to the O.M. No. I-11011/16/2022-CRD dated 30.09.2022

**Services/cadres required to be reviewed through the Cadre Review Committee
(para 4.6)**

(Note: This list is only for the purpose of cadre review)

S. No.	Name of the Service (Ministry Wise)
	Ministry of External Affairs
1.	Indian Foreign Service
	Ministry of Finance
2.	Indian Revenue Service (C&IT)
3.	Indian Revenue Service
4.	Indian Economic Service
5.	Indian Audit & Accounts Service
6.	Indian Civil Accounts Service
7.	Indian Cost Accounts Service
	Ministry of Railways
8.	Indian Railway Management Service <ul style="list-style-type: none"> • Indian Railways Traffic Service • Indian Railways Accounts Service • Indian Railways Personnel Service • Indian Railways Service of Engineers • Indian Railways Service of Signal Engineers • Indian Railways Service of Mechanical Engineers • Indian Railways Service of Electrical Engineers • Indian Railways Stores Service
9.	Indian Railway Protection Force Service
10.	Indian Railways Health Service
	Ministry of Information & Broadcasting
11.	Indian Information Service
	Ministry of Communications
12.	Indian P&T Accounts and Finance Service
13.	Indian Postal Service
14.	Indian Telecommunications Service
15.	Indian Radio Regulatory Service
	Ministry of Defence
16.	Indian Defence Accounts Service
17.	Indian Defence Estates Service
18.	Indian Defence Service of Engineers
19.	Indian Naval Armament Service
20.	Border Roads Engineering Service
21.	Indian Naval Material Management Service
22.	Defence Research and Development Service
23.	Defence Aeronautical Quality Assurance Service
24.	Defence Quality Assurance Service
	Ministry of Commerce
25.	Indian Trade Service
26.	Indian Petroleum & Explosives Safety Service
	Ministry of Road Transport & Highways
27.	Central Engineering Service (Roads)
	Ministry of Jalshakti
28.	Central Water Engineering Service

	Ministry of Urban Development
29.	Central Engineering Service (CPWD)
30.	Central Electrical & Mechanical Engineering Service (CPWD)
31.	Central Architect Service (CPWD)
	Ministry of Power
32.	Central Power Engineering Service
	Ministry of Skill Development
33.	Indian Skill Development Service
	Ministry of Health
34.	Central Health Service
	Ministry of Law & Justice
35.	Indian Legal Service
	Ministry of Mines
36.	Central Geological Service Group 'A'
37.	Geological Survey of India Chemical Service Group 'A'
38.	Geological Survey of India Geophysical Service Group 'A'
39.	Geological Survey of India Engineering Service Group 'A'
	Ministry of Statistics & Programme Implementation
40.	Indian Statistical Service
	Ministry of Corporate Affairs
41.	Indian Corporate Law Service
	Ministry of Home Affairs
42.	Indo Tibetan Border Police (General Duty Cadre Group 'A')
43.	Central Industrial Security Force (General Duty Cadre Group 'A')
44.	Border Security Force (General Duty Cadre Group 'A')
45.	Central Reserve Police Force (General Duty Cadre Group 'A')
46.	Sashastra Seema Bal (Combatised General Duty Cadre Group 'A')
47.	Medical cadre of CRPF
48.	Medical cadre of ITBP
49.	Medical cadre of BSF
50.	Medical cadre of SSB
	M/o Science & Technology
51.	Survey of India Group 'A' Service
	Ministry of Labour & Employment
52.	Central Labour Service
In the following Services (which are declared dying or posts have been transferred to other organisations/PSUs or on deemed deputation in PSUs), requirement of cadre review may be decided on case-to-case basis)	
53.	Indian Ordnance Factories Service
54.	Indian Ordnance Factory Health Service
55.	Indian Supply Service
56.	Indian Inspection Service
57.	Indian Broadcasting (Programme) Service
58.	Indian Broadcasting (Engineering) Service
59.	P&T Building Works Service
60.	Group 'A' posts of Scientists in Ministry of Earth Science (earlier Indian Meteorological Service)

Annexure-V to the O.M. No. I-11011/16/2022-CRD dated 30.09.2022

DATA FORMAT FOR CADRE STRENGTH, STRUCTURAL RATION AND THRESHOLD ANALYSIS FOR CENTRAL GROUP 'A' SERVICES AS ON 1ST JANUARY/1ST JULY

CADRE CONTROLLING AUTHORITY :

NAME OF THE SERVICE :

1	2	3	4			5	6	7	8
			Officers in position on cadre posts						
Pay Matrix as per 7th CPC (pre-revised pay scales have been indicated within brackets)	Authorised Sanctioned Strength of Cadre (Ex-Cadre Posts to be shown separately)		D	L	T				
Apex Scale									
Level-17 {Rs.80,000(Fixed)}									
Higher Administrative Grade (HAG)+									
Level-16 {Rs.75,000 - 80,000}									
Higher Administrative Grade (HAG)									
Level-15 {Rs.67,000 -79,000}									
Senior Administrative Grade (SAG)									
Level-14 {Rs.37,400-67,000 + G.P.10,000 (Pay Band4)}									
Junior Administrative Grade (JAG)									
Level-13 A {Rs.37,400-67,000 + G.P.8,900 (Pay Band 4)}									
Level-13 {Rs.37,400-67,000 + G.P.8,700 (Pay Band 4)}									
Level-12 {Rs.15,600-39,100 + G.P.7,600 (Pay Band3)}									
Senior Time Scale (STS)									
Level-11 {Rs.15,600-39,100 + G.P.6,600 (Pay Band 3)}									
Junior Time Scale (JTS)									
Level-10 {Rs.15,600-39,100 + G.P.5,400 (Pay Band 3)}									
Reserve (JTS) \$									
1. Leave Reserve									
2. Training Reserve									
3. Deputation Reserve									
4. Probation Reserve									

\$ whether separate provisions of each of the reserves exists in the cadre or it is combined or inclusive with JTS.

* It is to be confirmed whether Cadre Review was undertaken in compliance of established cadre review procedure issued by DoPT.

A separate sheet containing the cadre structure approved during the last cadre review must be provided.

If creation of posts has taken separately through other than the cadre review procedure established by DoPT, details of last of such action, along with cadre structure after such approval be provided indicating the authority which approved such proposal and whether DoPT was consulted for the same.

Last amendment in Service Rules/Recruitment Rules and whether the same contain the decision of last cadre review.