

**BROCHURE ON PREPARATION ON
PREPARATION & MAINTENANCE OF
CONFIDENTIAL REPORTS**

CHAPTER I

CONFIDENTIAL REPORT — AN APPROACH TO THE SYSTEM

1.1 The performance of Government is ultimately the sum total of the performances of the individuals through which it functions. Government has, therefore, to know from time to time how its constituents function. This information is essential for proper Personnel Administration and Management.

1.2 It is in the interest of every Government servant that he should know how well or otherwise, he is performing his job. Without this feed back information, it will be difficult for him to plan his career development in a systematic manner. In fact, he would be more interested in knowing his defects. His defects would affect his career advancements in the long run, unless he comes to know of them in time and overcomes them by taking special efforts.

1.3 The immediate superior officers of a Government servant, who is the Reporting Officer, in the matter of writing his confidential Report, should also be vitally concerned, in writing the Confidential Report of every one of his subordinates in an objective and impartial manner. As the superior officer functions through his subordinates, he also gets credit for the good work done by them. It would, therefore, be in the interest of the Reporting Officer himself to assess the performance of the subordinates objectively and thereby give them counselling and proper guidance for improvement of their performance.

1.4 The system of Confidential Reports on the performance of Government servants is a means to an end and not an end in itself. The ultimate goal is to optimise the achievement of Government policies and programmes. This is possible only if the Confidential Reports lead to the optimisation of the performance of the concerned Government servants. The main focus of the Reporting Officer should, therefore, be developmental rather than judgemental. A Confidential Report should be a true indicator of the achievement of the Government servant; it should not be a mere tool to control or discipline him.

1.5 The system of Confidential Reports has two principal objectives and the Reporting Officer should have a very clear perception of these objectives. The first and foremost is to improve the performance of the subordinate in his present job. The second objective is to assess the potentialities of the subordinate and prepare him through appropriate feed back and guidance for future possible opportunities in service. To a great extent, the second objective is dependent on the achievement of the first.

1.6 It is the duty of the superior officer to give the subordinate a clear understanding of the tasks to be performed and to provide requisite resources for his performance. The subordinate is required to contribute to the best of his capacity to the qualitative and quantitative achievement of the given tasks making optimum use of the resources provided. Also, both the superior and his subordinate have to be necessarily aware of the ultimate goal of their organisation, which can be achieved only through the joint efforts of both of them. This is the basic philosophy underlying any system of Confidential Report.

CHAPTER II

GENERAL PRINCIPLES

2.1 The performance of every Government servant is assessed annually through his Confidential Report, which is an important document providing the basic and vital inputs for assessing the performance of the Government servant and for assessing his suitability for his further advancement in his career on occasions like confirmation, promotion, crossing of E.B., selection for deputation, selection for foreign assignment etc. Performance appraisal through confidential reports is a tool for human resource development in order to enable a Government servant to realise his true potential. It is not a fault finding process, but a developmental one.

(Department of Personnel & Training OM No. 12/2/84—PP, dated the 17th December, 1986)

2.2 Government has been taking all possible steps from time to time to ensure that the system of writing Annual Confidential Reports is, as far as possible, objective. Various instructions have been issued by Government from time to time in the matter. This Brochure summarises all existing instructions at one place for facility of reference.

2.3 The Reporting Officer, at the beginning of the year has to set quantitative/physical, targets in consultation with each of the Government servants, whose reports he is required to write. Performance appraisal is meant to be a joint exercise between the Government servant reported upon and the Reporting officer. While fixing the targets, priority should be assigned item-wise taking into consideration the nature and the area of the work. The Confidential Report is initiated by the Government servant to be reported upon himself, who gives a brief description of his duties, specifies the targets set for him wherever applicable, achievements against each targets, the shortfalls, if any, constraints encountered and areas where the achievements have been greater.

(Department of Personnel & Training OM No. 12/2/84—PP, dated the 17th December, 1986)

2.4 The performance is then assessed by the Reporting Officer, who after completing his part of the Report submits it to his own superior, known as the Reviewing Officer for review. The assessment of the performance of Government servant at two levels ensures a greater degree of objectivity and fairness. However, where a Government servant has only one supervisory level above him as in the case of personal staff attached to officers, the assessment will be at the level of Reporting Officer only. The officers at both Reporting and Reviewing levels are required to have at least three months experience of supervising the work and conduct of the Government servant reported upon, before they can record their assessment on the performance of the Government servant.

(Department of Personnel & Administrative Reforms OM No. 51/3/74—Estt 'A', dated the 22nd May, 1975)

2.5 The assessment of the performance of Government servant should cover a definite period over which it is possible to form a reasonably correct assessment of the performance of the Government servant concerned. With this end in view, in every Department, Confidential Reports should be recorded annually, preferably for the period covered by the financial year. However, authorities controlling various services and posts are free to decide whether the Annual Confidential Reports for the services and posts under their control should be for the financial year or for the calendar year, keeping in view their particular requirements.

(Department of Personnel OM No. 51/5/72—Ests 'A', dated the 20th May, 1972)

2.6 While normally there should be only one Report covering the year of Report, there can be situations in which it becomes necessary to write more than one Report during a year. There is no objection to two or more independent Reports being written during a year by different Reporting Officers, subject to the condition that the Reporting Officer has at least three months experience on which he can base his Report on the Government servant reported upon. Where more than one Report is written in the course of a year, each Report should indicate precisely the period covered by it. When a Report has to be written by a Reporting Officer, who is under transfer, it should be written at the time of transfer or immediately thereafter and not deferred till the end of the year. The responsibility for obtaining the Annual Confidential Reports from the Reporting Officer concerned in such cases will be that of the Head of the Department or Office.

(Department of Personnel OM No. 51/5/72—Estt 'A', dated the 20th May, 1972)

2.7 Where for a period of Report, there is no Reporting Officer with the requisite experience to initiate the Report, the Reviewing Officer himself may initiate the Report as a Reporting Officer provided the Reviewing Officer has been the same for the entire period of Report and he is in a position to fill in columns to be filled in by the Reporting Officer. Where a Report is thus initiated by the Reviewing Officer, it will have to be submitted by him to his own superior for Review.

(Department of Personnel & Training OM No. 21011/8/85—Estt 'A', dated the 23rd September, 1985)

2.8 Assessment of the performance of a Government servant at more than one level has been prescribed as a general rule with a view to ensure maximum objectivity. While it might be difficult for an officer to have a detailed knowledge of the qualities of a Government servant two levels below him, his over-all assessment of the character, performance and ability of the Government servant reported upon is vitally necessary as a built-in corrective. The judgement of the immediate superior can sometimes be too narrow and subjective to do justice to the Government servant reported upon. The Reviewing Officer should, therefore, consider it his duty to personally know and form his judgement of the work and conduct of the Government servant reported upon. He should exercise positive and independent judgement on the remarks of the Reporting Officer under the various detailed headings in the form of Report as well as on the general assessment, and express clearly his agreement or disagreement with these remarks. This is particularly necessary in regard to adverse remarks (if any), where the opinion of the higher officer shall be construed as the correct assessment. The Reviewing Officer is also free to make his own remarks on points not mentioned by the Reporting Officer. Such additional remarks would, in fact, be necessary where the Report of the Reporting Officer is too brief, vague or cryptic.

(Department of Personnel OM No. 5/5/72—Estt (A), dated the 20th May, 1972)

2.9 Where the Reviewing Officer is not sufficiently familiar with the work of the Government servant reported upon, so as to be able to arrive at a proper and independent judgement of his own, it should be his responsibility to verify the correctness of the remarks of the Reporting Officer after making such enquiries as he may consider necessary. Where necessary, he should also give a hearing to the Government servant reported upon before recording his remarks.

(Department of Personnel & Administrative Reforms OM No. 51/3/74—Estt (A), dated the 22nd May, 1975)

2.10 As a corollary to the need for maintaining objectivity by a Reporting and Reviewing Officer, care should be taken to ensure that a close relative of an officer is not posted under the direct charge of that officer. When such a situation becomes inescapable, it should not be allowed to continue beyond the barest minimum time necessary. In such a situation, the officer concerned should abstain from writing the Report on the Government servant who is his close relative and instead, the Reviewing Officer should take on the role of the Reporting Officer. If the Reviewing

Officer is also closely related to the Government servant reported upon, the role of the Reviewing Officer will have to be taken by the officer superior to him.

(Department of Personnel and Administrative Reforms OM No. 21011/3/78—Estt (A), dated the 31st May, 1978)

2.11 If a Reporting/Reviewing Officer is under suspension when the Annual Confidential Report has become due to be written/reviewed, it may be written/reviewed by the officer concerned within two months from the date of his having been placed under suspension or within one month from the date on which the Report was due, whichever is later. An officer under suspension shall not be asked to write/review Annual Confidential Reports after the time limit specified above.

(Department of Personnel & Administrative Reforms OM No. 21011/2/78—Estt (A), dated the 1st August, 1978)

2.12 Considering the generally routine nature of the work done by Group 'D' Government servants, Government has decided that it is not necessary to maintain Confidential Report on those Government servants unless the maintenance of Confidential Report serves public interest, as for example, where the staff are employed on 'sensitive work'. Where the Confidential Reports are dispensed with, punishments, including recordable warnings, commendations, etc. conveyed to the Government servants should be entered in their Service Books and these may be referred to as and when necessary.

(Department of Personnel & Administrative Reforms OM No. 35014/11/76—Estt 'A', dated the 25th August, 1977)

2.13 The existing system of writing confidential reports has been reviewed and the following decisions have been taken.

- (i) The Annual Reports should be recorded within one month of the expiry of the report period and delay in this regard on the part of the reporting officer should be adversely commented upon. If the officer to be reported upon delays submission of the self-appraisal, this should be adversely commented.
- (ii) Where the reporting officer retires or otherwise demits office, he may be allowed to give the report on his subordinates within a month of his retirement or demission of office.
- (iii) All adverse remarks in the Confidential Reports of Govt. servants, both on performance as well as on basic qualities and potential, should be communicated along with a mention of good points, within one month of their being recorded. The communication should be in writing and a record to that effect should be kept in the CR dossier of the Govt. servants concerned.
- (iv) Only one representation against adverse remarks (including reference to 'warning' or communication of the displeasure of the Govt. or 'reprimands' which are recorded in the confidential report of the Govt. servant) should be allowed within one month of their communication. While communicating the adverse remarks to the Govt. servant concerned, this time limit should be brought to his notice.
- (v) All representations against adverse remarks should be decided expeditiously by the competent authority and in any case, within three months from the date of submission of the representation. Adverse remarks should not be deemed as operative, if any representation filed within the prescribed limit is pending. If no representation is made within the prescribed time, or once this has been finally disposed of, there would be no further bar to taking notice of the adverse entries.

(Deptt. of Personnel & AR OM No. 21011/1/77-Estt(A) dated 30.1.1978)

2.14 As per DoP&T OM No. 21011/1/77-Estt(A) dated 30.1.78, where a reporting officer retires or otherwise demits office, he may be allowed to give the report on his subordinates within one month of his retirement or demission of office. It has been decided to extend this provision hitherto applicable only to the reporting officer, to the reviewing authority also to enable him to review ACRs of his subordinates within one month after his retirement or demission of office.

(DoP&T OM No. 21011/1/93-Estt(A) dated 14.1.93)

2.15 At present the Departmental Promotion Committees (DPCs) have only the ACRs, to rely upon while making assessment of an officer for his promotion. The assessments made by the DPCs on the basis of ACRs alone, are at times at variance with real qualities of the person assessed. Therefore, the ACRs so initiated, are required to be written with the greatest care, so that the work, character, qualities and capabilities of the officers reported upon, can be accurately judged from these reports.

(DoP&T OM No. 21011/5/2002-Estt(A) dated 26.7.2002)

2.16 It has been decided that where an officer has taken Earned leave for a period of more than 15 days, the total period spent on leave can be deducted from the total period spent on any post, for purposes of computing the period of 3 months which is relevant for writing of entries in the ACR. Leave taken for short term duration need not be treated as relevant for the purpose.

(DoP&T OM No. 21011/1/2006-Estt(A), dated 16.1.2006)

CHAPTER III

CONTENTS OF ANNUAL CONFIDENTIAL REPORTS

The form in which the Confidential Reports are recorded may vary between different departments and between different levels of responsibility within a departmental hierarchy depending upon the nature of work and duties attached to various posts. However, each Report should begin with the brief description of duties of the Government servant reported upon, the quantitative/physical targets/objectives set for him and his achievements against each target and shortfalls with reference to the targets and the constraints encountered if any and items where the achievements have been significantly higher. In case of LDCs, UDCs etc. where a self-appraisal/self assessment is now prescribed, the same should be completed by the Government servant reported on, before the Reporting Officer gives his assessment.

(Department of Personnel & Training OM No. 12/2/84—PP dated 17-12-1986)

3.2 The Reporting Officer will have to comment on the part filled in by the Government servant reported upon. He will also have to comment upon the quality of out-put, the knowledge of the sphere of work, the attitude to work, the decision making ability, initiative, ability to inspire and motivate, communication skill (written and oral) interpersonal relations and teamwork of the Government servant to be reported upon wherever applicable.

(Department of Personnel & Training OM No. 12/2/84—PP, dated 17-12-1986)

3.3 The Reporting Officer should also comment upon the Government servants relations with the public, his accessibility to the public and responsiveness to their needs. In addition to the detailed assessment of specific attributes, every Confidential Report should carry a general appreciation of the character, conduct and aptitudes and shortcomings of the government servant reported upon. Reference to specific incidents may be made, if at all, only by way of illustration to support adverse comments of a general nature, e.g., inefficiency, dilatoriness, lack of initiative or judgement etc.

(Department of Personnel OM No. 51/5/72—Estt 'A', dated the 20th May, 1972 and Department of Personnel & Training OM No. 12/2/84—PP-I, dated 17-12-86)

3.4 The Annual Confidential Report should also contain a general assessment of the Government servant, and he should be graded according to his performance. A Government servant should not be graded outstanding unless exceptional qualities and performance has been noticed in him. Grounds for giving such a grading should be clearly brought out.

(Department of Personnel & Training OM No. 12/2/84—PP, dated the 17th Dec., 1986)

3.5 With a view to ensure objectivity in reporting where the Government servant reported upon belongs to Scheduled Caste/Scheduled Tribe, the following column should be provided in the form of Confidential Report for Lower Division Clerks, Upper Division Clerks and Assistants in the part relating to the Reviewing Officer :

"If the Officer reported upon is a member of a Scheduled Caste/Scheduled Tribe, please indicate specifically whether the attitude of the Reporting Officer in assessing the

performance of the Scheduled Caste/Scheduled Tribe officer has been fair and just."

(Department of Personnel & Administrative Reforms OM No. 21011/3/79—Estt (A), dated 25th July, 1979)

3.6 There should also be a column in the Annual Confidential Report form for enabling the Reporting Officer to give his specific comments on the attitude of the Government servant towards Scheduled Castes/Scheduled Tribes/Weaker Sections of the Society, his understanding and his willingness to deal with them.

(Department of Personnel & Training OM No. 12/2/84—PP, dated the 17th December, 1986.)

3.7 In every form of Confidential Report there should be a column regarding integrity to enable the Reporting Officer to make his remarks on the integrity of the Government servant reported upon. The following guidelines should be followed in the matter of making entries in the column relating to integrity :—

- (a) Supervisory officer should maintain a confidential diary in which instances which create suspicion about the integrity of a subordinate should be noted from time to time and action to verify the truth of such suspicion should be taken expeditiously by making confidential enquiries departmentally or by referring the matter to the Special Police Establishment. At the time of recording the Annual Confidential Report, this diary should be consulted and the material in it utilised for filling in the column relating to integrity. If the column is not filled on account of the unconfirmed nature of the suspicions, further action should be taken in accordance with the following sub-paragraphs.
- (b) The column pertaining to integrity in the Character Roll should be left blank and a separate secret note about the doubts and suspicions regarding the Government servants integrity should be recorded simultaneously and followed up.
- (c) A copy of the secret note should be sent together with the Character Roll to the next superior officer who should ensure that the follow up action is taken expeditiously.
- (d) If, as a result of the follow-up action, a Government servant is exonerated, his integrity should be certified and an entry made in the Character Roll.
- (e) If suspicions regarding his integrity are confirmed, this fact can also be recorded and duly communicated to the Government servant concerned.
- (f) There may be cases in which after a secret report/note has been recorded expressing suspicion about a Government servant's integrity, the inquiries that follow do not disclose sufficient material to remove the suspicion or to confirm it. In such a case, the Government servant's conduct should be watched for a further period, and, in the meantime, he should, as far as practicable, be kept away from positions in which there are opportunities for indulging in corrupt practices and thereafter action taken as indicated at (d) and (e) above.
- (g) There are occasions when a Reporting Officer cannot in fairness to himself and to the Government servant reported upon, either certify integrity or make an adverse entry or even be in possession of any information which would enable him to make a secret report to the Head of the Department. Such instances can occur when a Government servant is serving in a remote station and the Reporting Officer has not had occasion to watch his work closely or when a Government servant has worked under the Reporting Officer only for a brief period or has been on long leave etc. In all such cases, the Reporting Officer should make an entry in the integrity column to the effect that he has not watched the Government servant's work for sufficient time to be able to make any definite remark or that he has heard nothing against the

Government servant's integrity, as the case may be. This would be a factual statement to which there can be no objection. But it is necessary that a superior officer should make every effort to form a definite judgement about the integrity of those working under him, as early as possible, so that he may be able to make a positive statement.

(Department of Personnel OM No. 51/5/72-Estt 'A', dt. 20th May, 1972)

3.8 Specific mention should be made in the Confidential Reports on Government Servants working in, or holding charge of, Top Secret/Secret Sections about their trustworthiness, especially in matters affecting departmental scrutiny.

(Department of Personnel OM No. 51/5/72-Estt 'A', dated the 20th May, 1972)

CHAPTER IV

ADVERSE REMARKS IN THE CONFIDENTIAL REPORTS

It is necessary that every Government servant should know what his defects are and how he could remove them. Every Reporting Officer should realise that it is his duty not only to make an objective assessment of his subordinate's work and qualities but also to give him at all times the necessary advice, guidance and assistance to correct his faults and deficiencies. If this part of the Reporting Officer's duty is properly performed, there should be no difficulty about recording adverse entries, which would only refer to defects which had persisted despite the Reporting Officer's efforts to have them corrected. In any case, the Reporting and Reviewing Officers should not shy away from mentioning short-comings in performance, attitudes and over all personality of the Government servant reported upon.

(Department of Personnel OM No. 51/7/72-Estt. 'A', dt. 20-5-72) (DP & Trg. OM No. 12/2/84-PP, dated 17-12-86)

4.2 There may be occasions when a superior officer may find it necessary to criticise adversely the work of a Government servant working under him or he may call for an explanation for some act of omission or commission and taking all circumstances into consideration, it may be felt that while the matter is not serious enough to justify the imposition of the formal punishment of censure, it calls for some formal action such as the communication of a written warning, admonition or reprimand. Where such a communication of a written warning, admonition or reprimand, is issued, it should be placed in the personal file of the Government servant concerned. At the end of the year (or period of report), the Reporting Officer, while writing the Confidential Report of the Government servant, may decide not to make a reference in the confidential report to the warning/displeasure/reprimand, if, in the opinion of that authority, the performance of the Government servant reported upon has improved and has been found satisfactory, after the issue of the warning or displeasure or reprimand. However, if in the considered opinion of the Reporting Officer the Government servant has not improved, he may make appropriate mention of such warning/displeasure/reprimand in the relevant column of the form of Confidential Report, in which case, a copy of the warning/displeasure/reprimand referred to in the Confidential Report should be placed in the Confidential Report dossier as an annexure to the Confidential Report for the relevant period. Apart from the warnings/reprimand which may be administered in the course of normal day to day work there may be occasions when a Government servant is given warning or reprimand or is communicated Government's displeasure in respect of any specific act of omission or commission, not warranting the institution of disciplinary proceedings.

(Department of Personnel & Administrative Reforms OM No. 21011/1/81-Estt 'A', dated the 5th June, 1981)

4.3 Where a copy of the warning is also kept in the Confidential Report dossier, it will be taken to constitute an adverse entry and the Government servant so warned will have the right to represent against the same in accordance with the procedure relating to communication of adverse remarks and consideration of representations against them as laid down in paragraphs 4.6 and 4.11 below, unless an opportunity has already been given to the Government servant concerned to make a representation in the matter relating to the relevant incident or faults and such representation has been duly considered and a decision taken before the warning or reprimand was administered on the "displeasure" of the Government communicated to him.

(Department of Personnel & Administrative Reforms OM No. 22011/2/78-Estt((A), dated the 16th February, 1979 & Department of Personnel OM No. 51/5/72-Estt. 'A', dated th 20th May, 1972).

4.4 The authority having the custody of the Annual Confidential Report should ensure that Confidential Reports duly completed are received in time. After their receipt, they should be scrutinised to see whether there are any adverse remarks to be communicated to the Government servants concerned. If so, such reports will be sent back to the officer concerned for completing action in accordance with Paragraph 4.5 below.

4.5 All adverse remarks in the Confidential Reports of Government servants should normally be communicated by the Reviewing Officer or by the Reporting Officer in case there is no Reviewing Officer. This should be done as far as possible within one month of the completion of the report. The communication should be in writing and a record of such communication should be kept in the Confidential Report dossier of the Government Servant concerned.

(DP O.M. No. 51/5/72-Estt (A), dt. 20th May, 1972)

4.6 While communicating remarks to the Government servant reported upon, the following procedure should be adopted :—

- (a) where no adverse entry is made in a confidential report, nothing should be communicated except in cases dealt with in (c) below;
- (b) where an adverse entry is made, whether it relates to a remediable or to an irremediable defect, it should be communicated under the orders of, and wherever possible by an officer superior to the one to whom the remarks are communicated. In the case of a Government servant holding the post of Secretary/Special Secretary/Additional Secretary to the Government of India such remarks will be communicated by the Cabinet Secretary. In all these cases, the substance of the entire report, including what may have been said in praise of the Government servant should also be communicated to let him know that his good qualities as well as his defects have been recognised;
- (c) where the report of a Government servant shows that he had made efforts to remedy or overcome defects mentioned in the preceding report, this fact also should be communicated to the Government servant in a suitable form and a copy of such communication added to the Confidential Report to enable the Government servant to know that notice has also been taken of the improvement, if any, made by him;
- (d) while communicating the adverse remarks, the identity of the superior officer making such remarks should not normally be disclosed. If, however, in a particular case, it is considered necessary to disclose the identity, the authority dealing with the representation may at its discretion allow the identity to be communicated.

(Department of Personnel OM. No. 51/5/72-Estt. 'A', dated the 20th May, 1972)

4.7 Only one representation against adverse remarks should be allowed within one month of the date of communication of such remarks. While communicating the adverse remarks to the Government servant concerned, this time limit should be brought to his notice.

(Department of Personnel & Administrative Reforms OM No. 21011/1/77-Estt. 'A', dated the 30-1-1978)

4.8 All representations against adverse entries should be decided expeditiously by the Competent Authority and not later than three months from the date of submission of the representation.

(Department of Personnel & Administrative Reforms OM No. 21011/1/77-Estt. 'A', dated 30-1-1978)

4.9 Adverse remarks should not be deemed as operative, if any representation filed within the prescribed time limit is pending. If no representation is made within the prescribed time, or once this has been finally disposed of, there would be no further bar to taking notice of the adverse entries.

(DP & AR OM No. 21011/1/77-Estt, 'A', dated 30-1-1978)

4.10 No memorial or appeal against the rejection of the representation should be allowed six months after such rejection.

(Department of Personnel & Administrative Reforms OM No. 21011/1/77-Estt. 'A', dated 30-1-1978)

4.11 The following procedure may be adopted in dealing with representations from Government servants against adverse remarks communicated to them :—

- (i) All representations against adverse remarks should be examined by an Authority Superior to the Reviewing Officer, in consultation, if necessary, with the Reporting and the Reviewing officers. The said Superior Authority shall be regarded as the Competent Authority to deal with such representations;
- (ii) If the Competent Authority finds that :
 - (a) the remarks were justified and the representation is frivolous, a note will be made in the Confidential Report of the Government servant that he did not take the correction in good spirit;
 - (b) there is not sufficient ground for interference, the representation should be rejected and the Government servant informed accordingly;
 - (c) the remarks should be toned down, he will make the necessary entry separately with proper attestation at the appropriate place of the report (on no account will corrections be made in the earlier entries themselves), and
 - (d) the adverse remark was inspired by malice or is entirely incorrect or unfounded, and therefore, deserves expunction, he should score through the remark, paste it over, or otherwise obliterate it, and also make a dated entry, under his signature, stating that he had done so, under intimation to the concerned Head of the Department of Office, if he himself does not occupy that position.
- (iii) Representation (including explanations submitted in respect of adverse entries) should not be appended to the respective confidential reports.
(DP & AR OM No. 51/5/72-Estt. 'A', dt. 20th May, 1972).

- 4.12 The instructions relating to the procedure for Departmental Promotion Committees contained in this Department's OM No. 22011/6/75-Estt(D) dated 2012.76 provide that where promotions are to be made by selection method, officers in the field of selection should be classified by the Departmental Promotion Committee themselves as 'outstanding', 'Very Good' and 'Good' on the basis of their merit as assessed by the DPC after examination of their respective records of service. It is also made clear therein that it is entirely for the DPC to make its own classification of the officer being considered by them for promotion to selection posts irrespective of the grading that may be shown in the Confidential Report itself. In view of this position, it is neither necessary nor practicable to communicate fall in standards to an officer in relation to his past performance as revealed through his annual Confidential Reports.

Accordingly, it has been decided that the instructions contained in the Ministry of Home Affairs OM No. 51/3/68-Estt(A) dated 2.3.68 may be cancelled.

(MHA, DP&AR OM No. 21011/3/83-Estt(A) dated 30.12.83)

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

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

(DoP&T OM No. 21011/8/89-Estt(A) dated 6.3.89)

CHAPTER-V

TIMELY COMPLETION OF CONFIDENTIAL REPORTS

5.1 An Annual Confidential Reports are vital for proper personnel administration, it is essential that they are completed within a time-frame so that up-to-date Confidential Reports are available at any given time. With this end in view, a time-schedule has been prescribed; and the same is included as Annexure I at the end of Brochure. This time-schedule should be strictly complied with. Failure at any level, whether Reporting or Reviewing, to adhere to the time schedule should be viewed seriously. In the absence of proper justification for any delay, the officers superior to the Reporting/Reviewing Officers can issue a written warning to the Officer concerned and place the warning in his Confidential Report.

5.2 In regard to Item (2) in the time-schedule, a Reporting Officer should not wait till the expiry of the time-limit for submission of self-appraisal by the Government servant to be reported upon. If self-appraisal is not received by the end of the first week, the Reporting Officer should take the initiative to remind the Government servant to be reported upon, in writing, asking him to submit self-appraisal by the stipulated date. It should also be made clear in the reminder that if the Government servant to be reported upon fails to submit self-appraisal by the stipulated date, the report will be written without self-appraisal. Where the Reporting Officer has to write the report without the self-appraisal of the Government servant reported upon, he can obtain another blank Confidential Reports form from the Administration and proceed to write the Report on the basis of his own experience of the work and conduct of the Government servant reported upon. While doing so, he can also point out the failure of the Government servant reported upon to submit his self-appraisal within the stipulated time.

5.3 When the Reporting Officer completes his part of the Report and submits the report to the Reviewing Officer for review, he may send an intimation in this regard to the Section or Cell concerned with the work relating to preparation of Confidential Report. Thereafter, it shall be the duty of that Section or Cell, as the case may be to keep in touch with the Reviewing Officer to secure timely completion of the Confidential Reports.

5.4 The Section or Cell concerned with the work of preparation of Confidential Reports should not wait till the expiry of the time allotted to the Reviewing Officer for the completion of his part of the Report. They should remind the Reviewing Officer at least five days before the date of expiry of the stipulated time-limit for completing the Confidential Reports if the completed Confidential Reports are not received by that time. If, in spite of such reminders, the completed Confidential Report is not received immediately after the expiry of the stipulated time-limit, the fact may be brought to the notice of the Officer superior to the Reviewing Officer for taking appropriate action.

5.5 It shall be the duty of the Reviewing Officer to forward the complete Confidential Reports to the Section or Cell concerned with the work of preparation of Confidential Reports so as to reach them on or before stipulated date. If, for unavoidable reasons, some delay is expected to occur in forwarding the complete Confidential Reports that Section or Cell should be informed suitably and every effort made to send the complete Confidential Report within one week after the stipulated date.

5.6 In Item 3 of the time-schedule, a third set of dates has been prescribed with a view to give sufficient time to Reporting Officer who may also be performing the role of Reviewing Officer for Officers two levels below them, so that they may have time to keep a watch on the completion of the Confidential Reports by Reporting Officers under them by the due dates prescribed for Reporting Officers. Correspondingly, there is also a third set of time limit in Item 4 of the time-schedule.

5.7 Where the stipulated dates happen to be holidays or closed days, the working day immediately after the holidays or closed days should be taken to be the stipulated date.

5.8 It is the duty of the Section or Cell concerned with the work of preparation of Confidential Reports to keep a regular watch on the progress in the completion of Confidential Reports at different stages. If no intimation is received from the Reporting Officer regarding the submission of the Confidential Reports by him to the Reviewing Officer within five days after the expiry of the stipulated date for completion of his part of the Confidential Reports, the matter should be taken up immediately with the Reporting Officer so that the report is submitted by him to the Reviewing Officer without any further delay. Similar action should be taken if the completed report is not received from the Reviewing Officer in time. Any delay on the part of the Reporting/Reviewing Officer, inspite of their being so reminded, should be brought to the notice of the Reviewing Officer/Officer Superior to the Reviewing Officer, as the case may be.

5.9 When the Report is required to be obtained in the course of a year owing to a change in the Reporting Officer, it shall be the duty of the Section or Cell concerned with the work of the preparation of Confidential Reports to get the Report written by the earlier Reporting Officer within three weeks of such change, if no self-appraisal by the Government servant reported upon is required and within five weeks of such change when self-appraisal by the Government servant reported upon is required to be given. The Reports so written by earlier Reporting Officer may be reviewed within two weeks of the receipt of the Report from the earlier Reporting Officer. The successor Reporting Officer writing the report up to the end of the year of Report should adhere to the time-limit specified in the time schedule.

(Ministry of Personnel & Training, Administrative Reforms and Public Grievances, and Pensions O.M. No. 35014/4/83-Estt. 'A', dated 23-9-85).

- 5.10 It has been decided to add a column in the ACR forms of all Group 'A' officers, indicating whether the officer had completed ACRs of Group 'A' and 'B' officers working under him/her, in respect of the previous reporting year, within the stipulated time. The intention is to ensure that the ACRs of officers are written by their superiors well in time. At the same time provision that the reporting officer may initiate the report of officer if the latter does not submit his/her self appraisal etc. on time, has been made mandatory and will be strictly enforced. It has also been decided that the ACRs of all Group-A officers for the period ending 31.3.2003 as well as the ACRs of the officers in respect of previous years, will be completed and deposited with the competent authority latest by 31.5.2003, failing which the names of the reporting, reviewing or accepting officers shall be notified to Secretary (Personnel) with the confirmation that disciplinary action had been initiated against them for willful disobedience of Government orders.

(OM No. 21011/4/2003-Estt(A) dated 26.5.2003)

CHAPTER VI

SPECIAL PROVISIONS IN CERTAIN CASES

6.1 While Confidential Reports need not be written on honorary or part-time officers, they should be written on Government servants appointed on contract. As Confidential Reports is an annual assessment of the work and conduct of every Government servant serving under the Government, the Confidential Report written on a Government servant appointed on contract can be the basis to assess his performance and to decide whether the contract may be renewed if the circumstances require extension of the contract.

(Department of Personnel O.M. No. 51/5/72-Estt. (A), dated the 20th May, 1972.

Department of Personnel & Administrative Reforms O.M. No. 21011/1/84-Estt. (A), dated 26th April, 1984).

6.2 In the case of Government servants who are deputed to the United Nations or its Agencies, the following procedure should be followed :—

- (a) Where there is no practice of writing periodical assessment reports by the concerned agency, it is not necessary to get Confidential Reports on Government servants on deputation to it. An entry, however, may be made in the Confidential Report dossier of the Government servant to the effect that he is on deputation to a U.N. Agency where there is no practice of writing Annual Confidential Reports.
- (b) In respect of Government servants working on deputation under the World Bank, Asian Development Bank and I.M.F., Confidential Reports may be obtained through the Executive Directors, normally at the end of the tenure of the Government servants and, in special cases, when a Government servant is to be considered for promotion. Ministry of Finance (Department of Economic Affairs) may be approached for obtaining such reports as and when required by any cadre authority.
- (c) Confidential Reports in respect of past cases where the Government servant might have already returned from deputation need not be obtained.

(Department of Personnel & Administrative Reforms O.M. No. 51/1/67-Estt. (A), dated the 19th October, 1974).

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

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

(Department of Personnel & A.R. O.M. No. 21011/2/77-Estt. (A), dated the 22nd June, 1977)

6.4 In the case of Chief Controllers/Controllers of Accounts, whose reports are written by Integrated Financial Adviser and reviewed by the Secretary in the Administrative Ministry/Department, the Controller General of Accounts will communicate his remarks or observations, whenever he feels it necessary, to the Secretary concerned for incorporating the same in the Confidential Reports of the Chief Controller/Controller of Accounts. On receipt of such remarks from the Controller General of Accounts, the Secretary concerned, as the Reviewing Officer, may incorporate them, adding his own comments, if necessary.

(Department of Personnel & A.R. O.M. No. 21011/2/79-Estt. (A), dated the 26th April, 1979).

6.5 No Confidential Report need be obtained on Government servants deputed to foreign Governments (Other than Government of Bhutan) on Contract assignments under bilateral arrangements and assignments under ITEC, SCAAP, etc. A note may be kept in the Confidential Reports dossier of such a Government servant indicating that during the relevant period the Government servant concerned was on foreign assignment.

(Department of Personnel & Training O.M. No. 1/5/86-FAS, dated 3-3-1986).

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

(Department of Personnel & Training O.M. No. 122/2/85-AVD.I, dated the 28th January, 1986).

6.7 In the case of Central Government servants who are deputed to other Departments, State Governments or are on foreign service, the Confidential Rolls should be maintained by their parent Departments and the periodicity of such confidential reports should be the same as in the parent Departments. It will be the responsibility of the parent Departments to obtain the reports of their officers on deputation and maintain them.

(Department of Personnel O.M. No. 51/5/72-Estt. (A), dated the 20th May, 1972).

CHAPTER VII

MISCELLANEOUS MATTERS

7.1 The maintenance and custody of the Annual Confidential Reports will be regulated as follows :—

- (a) The Confidential Reports on Government servants of the organised services should be kept by the Ministry/Department/Office, which controls the service.
- (b) The Confidential Reports of the Heads of Departments and their deputies, other than those in the IAAS where such Confidential Reports are kept by the Comptroller and Auditor General should be kept by the administrative Ministry concerned.
- (c) The Confidential Reports on other Group 'A' and Group 'B' Government servants should be kept by the Head of the Department or any other authority specified by him.
- (d) The Confidential Reports on Group 'C' and Group 'D' Government servants (whenever maintained) should be kept by the authority specified by the Head of the Department.
- (e) The Confidential Reports should not in case be kept by an authority higher than the appointing authority.

(Department of Personnel O.M. No. 51/5/72-Estt. (A), dated the 20th May, 1972).

7.2 In order to give at one place, information regarding the qualifications acquired by a Government servant from time to time, various training courses attended by him etc. a History Sheet in the prescribed form should be added at the beginning of the Confidential Reports dossier. This History Sheet should be kept up-to-date by adding additional material as and when it becomes necessary. In History Sheet of Group 'A' Government servants, a pass-port size photograph of the Government servant concerned should also be affixed at the right hand top corner.

(Department of Personnel & A.R. O.M. No. 21011/2/76-Estt. (A), dated the 31st May, 1976

Department of Personnel & Training O.M. No. 21011/9/85-Estt. (A), dated the 18th September, 1985).

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

(Department of Personnel and Training O.M. No. 21011/1/85-Estt. (A), dated the 23rd August, 1985).

7.4 In some cadres, the Annual Confidential Reports of the Government servants are prepared in duplicate. In such cases, whenever Confidential Report of a Government servant is needed by any outside authority, the duplicate copy may always be sent, keeping back the original. In other cases, it would be advisable to have a single photo-copy of the entire Confidential Reports so that the original can be kept back by the cadre controlling authorities and only photo-

copy sent out. While doing so, the cadre controlling authorities should prescribe the safeguards to ensure the security and confidentiality of the Confidential Report dossier.

(Department of Personnel & Training O. M. No. 21011/1/85-Estt. (A), dated the 23rd August, 1985).

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

[Department of Personnel O.M. No. 51/5/72-Estt. (A), dated the 20th May, 1972].

7.6 The Confidential Reports or copies thereof should not be given to a retired Government servant or any one else who is not in Government service. However, on a request from a retired Government servant, an objective testimonial on his work and conduct may be issued to him.

(Department of Personnel O.M. No. 51/5/72-Estt. (A), dated the 20th May, 1972).

7.7 Confidential Reports relating to deceased Government servants may be destroyed after a period of two years from the date of death. In the case of retired Government servants, the Confidential Reports dossiers may be retained for a period of five years after the date of retirement.

(Department of Personnel O.M. No. 51/5/72-Estt. (A), dated the 20th May, 1972).

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

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

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

(Department of Personnel O.M. No. 51/5/72-Estt. (A), dated the 20th May, 1972).

It needs hardly any emphasis that the Confidential Reports dossier is the very foundation on which the career of a Government servant is built. It is, therefore, expected of the various cadre controlling authorities to carefully observe the various principles and procedures relating to preparation and maintenance of Confidential Reports, as it will go a long way in promoting sound personnel management.

ANNEXURE- I

TIME SCHEDULE FOR PREPARATION OF CONFIDENTIAL REPORTS

Nature of action	Date by which to be completed if C.R. is written for Calendar Year (1st Jan. to 31st December)	Date by which to be completed if C.R. is written for Financial Year (1st April to 31st March)
1	2	3
1. Distribution of blank CR forms to all concerned (i.e. to officer to be reported upon where self-appraisal has to be given and to reporting officers where self-appraisal is not to be given).	31st December. (This may be completed even a week earlier).	31st March. (This may be completed even a week earlier).
2. Submission of self-appraisal to reporting officer by officer to be reported upon (where applicable).	15th January	15th April.
3. Submission of report by reporting officer to reviewing officer.		
—Where self-appraisal by officer reported upon is prescribed.	6th February	7th May
—Where self-appraisal by officer reported upon is not prescribed.	21st January	21st April.
—Where officer reported upon is himself a reporting officer for subordinates under him.	21st February	22nd May
4. Report to be completed by Reviewing Officer and sent to Administration or CR Section/Cell.	22nd February where the due date for reporting officer is 6th Feb.	23rd May where the due date for the reporting officer is 7th May.
	6th February where the due date for the reporting officer is 21st January.	7th May where the due date for the reporting officer is 21st April.
	8th March where the due date for reporting officer is 21st February.	5th June where the due date for reporting officer is 22nd May.