

No. 22011/5/86-Estt.(D)
Government of India
Ministry of Personnel, Public Grievances
and Pensions
Department of Personnel and Training

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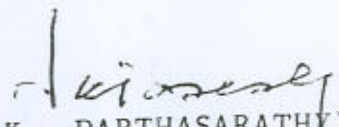
New Delhi, dated the 10th April, 1989

OFFICE MEMORANDUM

Subject : Departmental Promotion Committees and related
matters - Consolidated instructions on -

...

The undersigned is directed to say that instructions on the constitution and functioning of Departmental Promotion Committees and the procedure to be followed in processing and implementing the recommendations of D.P.Cs. were issued in a consolidated form, vide this Department's OM No. 22011/6/75-Estt.(D), dated 30th December, 1976. Instructions have also been issued subsequently clarifying/modifying certain aspects of the procedure. The various instructions have been updated and consolidated in the form of "Guide Lines on Departmental Promotion Committees", a copy of which is forwarded herewith.


(S.K. PARTHASARATHY)
JOINT SECRETARY TO THE GOVT.
OF INDIA

To

All the Ministries/Departments of the Govt. of India.

/TS/

G U I D E L I N E S

O N

DEPARTMENTAL PROMOTION COMMITTEES

GUIDELINES ON DEPARTMENTAL PROMOTION COMMITTEES

CONTENTS INDEX

Page No.

PART - I	FUNCTIONS AND COMPOSITION OF DEPARTMENTAL PROMOTION COMMITTEES	1
	• Functions of DPCs ..	1
	• Composition of DPCs ..	1
PART - II	FREQUENCY OF DEPARTMENTAL PROMOTION COMMITTEE MEETINGS	3
	• Frequency at which DPC should meet ..	3
PART - III	PREPARATORY ACTION FOR HOLDING DEPARTMENTAL PROMOTION COMMITTEES	4
	• Determination of regular vacancies ..	4
	• Papers to be put for consideration by DPCs ..	5
	• Consideration of officers on deputation ..	6
	• Consideration of officers on study leave ..	6
	• Consideration of direct recruits ..	6
	• Reservation for SCs/STs ..	6

PART - IV

PROCEDURE TO BE OBSERVED BY
DEPARTMENTAL PROMOTION COMMITTEES

• Selection Method ..	7
• Confidential Reports ..	7
• Preparation of yearwise panels by DPC where they have not met for a number of years ..	11
• Non-Selection Method ..	12
• Confirmation ..	13
• Probation ..	13
• Efficiency Bar ..	13
• Procedure to be followed by DPC in respect of Government servants under cloud ..	13
• Adverse remarks in a CR ..	14
• Validity of the proceedings of DPCs when one member is absent ..	15

PART - V

PROCESSING AND IMPLEMENTATION OF
THE RECOMMENDATION OF DEPARTMENTAL
PROMOTION COMMITTEES

• Processing of recommendations of DPC ..	15
• Consultation with UPSC ..	15
• Approval of ACC ..	15
• Procedure to be followed when the Appointing Authority does not agree with Recommendations of DPC ..	16
• Appointing Authority to take decision within 3 months ..	16
• Implementation of the recommendations of DPC - Vigilance clearance ..	17
• Order in which promotions to be made ..	17
• Where eligible by direct recruitment and promotion ..	17
• Promotion of Officers on deputation ..	17
• EB cases ..	18

(iii)

Page No.

• Sealed cover cases- Action after completion of disciplinary/ criminal prosecution ..	18
• Six monthly Review of sealed cover cases ..	19
• Sealed cover procedure for confirmation ..	19
• Procedure for ad-hoc promotion ..	20
• Sealed cover procedure applicable to officers coming under cloud before promotion ..	21
• Date from which promotions are to be treated as Regular ..	22
• Refusal of Promotion ..	22
• Validity of a panel ..	23
• Review of Panels ..	23

PART - VI

REVIEW OF DEPARTMENTAL PROMOTION COMMITTEES

• When Review DPCs may be held ..	23
• Scope and Procedure ..	24
• Cases where adverse remarks have been expunged or turned down ..	24

ANNEXURES

I. Proforma for referring proposals for promotion to Union Public Service Commission ..	26
II. Proforma for referring proposals for confirmation ..	32
III. Check list for promotion cases ..	36
IV. Position regarding year-wise availability of ACRs. ..	38

GUIDELINES ON DEPARTMENTAL PROMOTION COMMITTEES

PART - I

FUNCTIONS AND COMPOSITION OF DEPARTMENTAL PROMOTION COMMITTEES

Functions of DPCs

A post is filled by promotion where the Recruitment Rules so provide. In making promotions, it should be ensured that suitability of the candidates for promotion is considered in an objective and impartial manner. For this purpose, Departmental Promotion Committee should be formed in each Ministry/Department/Office whenever an occasion arises for making promotions/confirmations etc. The DPCs so constituted shall judge the suitability of officers for :-

- (a) promotions to 'selection' as well as 'non-selection' posts;
- (b) confirmation in their respective grades/posts;
- (c) assessment of the work and conduct of probationers for the purpose of determining their suitability for retention in service or their discharge from it or extending their probation; and
- (d) consideration of cases of Government servants for crossing the Efficiency Bar.

Composition of DPCs

2.1 Members included in DPCs for Group A & B posts should be officers who are at least one step above the posts in which promotion/confirmation is to be made as indicated below:-

Pay scale (revised) of the post in which confirmation or to which promotion is to be considered by the DPC	Minimum status of officers who should be members of the DPC
1. Rs.2200-4000 or equivalent Rs.3000-4500 or equivalent	Officers of the rank of Deputy Secretary to the Government of India or above.
2. Rs.3000-5000 or equivalent	Officers of the rank of Director or above.
3. Rs.3700-5000 or equivalent Rs.4100-5300 or equivalent Rs.4500-5700 or equivalent	Officers of the rank of Joint Secretary to the Govt. of India or above. In such case the Secretary/Additional Secy. of the Department/Ministry should invariably be one of the members of the DPCs.
4. Rs.5100-5700 or equivalent Rs.5900-6700 or equivalent	Secretary/Additional Secy. to the Govt. of India

2.2 The Union Public Service Commission (UPSC) should be associated with DPCs in respect of all Central Civil Services/ posts belonging to Group A where promotion is based on the principles of selection unless it has been decided by the Government not to associate the UPSC with a Group A DPC. The UPSC need not be associated in respect of posts belonging to Group A, if the promotion is based not on the principles of selection but on seniority-cum-fitness.

2.3 The Commission need not be associated with a DPC constituted for considering the cases of confirmation of officers. The proceedings of the DPC which considered the confirmation of Group A officers should, however, be sent to the Commission for their approval. While doing so, the cases of officers not considered fit for confirmation along with their records should be specifically referred to the Commission for their approval.

2.4 Whenever the UPSC is associated with a DPC, the Chairman or a Member of the Commission will preside at the meeting of the DPC.

2.5 In respect of a DPC for Group C & D posts the Chairman of the DPC should be an officer of a sufficiently high level and one of the members of the DPC should be an officer from a Department not connected with the one in which promotions are considered. The other member(s) should be an officer of the Department familiar with the work of the persons whose suitability is to be assessed. The officer of another Department appointed as a member of the DPC should also be of an appropriate level keeping in view the level of the other members of the DPC and the post to which promotion is to be made. In the case of a DPC constituted for promotions to a technical post it may also be ensured that the officer nominated by another Department has also the requisite technical competence to advise on the suitability of the candidates under consideration.

2.6 Endeavour should also be made to nominate an SC/ST officer on the DPC constituted for various posts/services particularly where a DPC has to make bulk selection for a large number of vacancies, say 30 or more at a time. Where an outside member has to be associated with the DPC for Group C or Group D posts, there would be no objection to nominate on such a DPC, a SC/ST officer from such other Ministry/Department in the event of such officer not being available in the Ministry/Department itself.

2.7 In Group A and Group B Services/posts if none of the officers included in the DPC as per the composition given in the recruitment rules is a SC or ST officer, it would be in order to coopt a member belonging to the SC or ST if available within the Ministry/Department. If no such officer is available within the Ministry/Department, he may be taken from another Ministry/Department.

2.8 The composition of the DPC for considering the cases of Government servants for crossing the EB in a time scale of pay should be the same as the DPC constituted for the purpose of considering the cases of confirmation of the Government servants concerned with the only change that the UPSC need not be associated for considering EB cases.

P A R T - II

FREQUENCY OF DEPARTMENTAL PROMOTION COMMITTEE MEETINGS

Frequency at which DPC should meet

3.1 The DPCs should be convened at regular annual intervals to draw panels which could be utilised on making promotions against the vacancies occurring during the course of a year. For this purpose it is essential for the concerned appointing authorities to initiate action to fill up the existing as well as anticipated vacancies well in advance of the expiry of the previous panel by collecting relevant documents like CRs, integrity certificates, seniority list etc. for placing before the DPC. DPCs could be convened every year if necessary on a fixed date/1st April or May. The Ministries/Departments should lay down a time schedule for holding DPCs under their control and after laying down such a schedule the same should be monitored by making one of their officers responsible for keeping a watch over the various cadre authorities to ensure that they are held regularly. Holding of DPC meetings need not be delayed or postponed on the ground that recruitment rules for a post are being reviewed/amended. A vacancy shall be filled in accordance with the recruitment rules in force on the date of vacancy, unless rules made subsequently have been expressly given retrospective effect. Since Amendments to recruitment rules normally have only prospective application, the existing vacancies should be filled as per the recruitment rules in force.

L e.g.,

3.2 The requirement of convening annual meetings of the DPC should be dispensed with only after a certificate has been issued by the appointing authority that there are no vacancies to be filled by promotion or no officers are due for confirmation during the year in question.

P A R T - III

PREPARATORY ACTION FOR HOLDING DEPARTMENTAL
PROMOTION COMMITTEES

Determina-
tion of
regular
vacancies

4.1 It is essential that the number of vacancies in respect of which a panel is to be prepared by a DPC should be estimated as accurately as possible. For this purpose the vacancies to be taken into account should be the clear vacancies arising in a post/grade/service due to death, retirement, resignation, regular long term promotion and deputation or from creation of additional posts on a long term. As regards vacancies arising out of deputation, only those cases of deputation for periods exceeding one year should be taken into account, due note, however, being kept also of the number of the deputationists likely to return to the cadre and who have to be provided for. Purely short term vacancies created as a result of officers proceeding on leave, or on deputation for a shorter period, training etc., should not be taken into account for the purpose of preparation of a panel. In cases where there has been delay in holding DPCs for a year or more, vacancies should be indicated year-wise separately.

Papers to
be put up
for con-
sideration
by DPCs.

4.2.1. In the case of promotions, the proposals should be placed before the DPC in the proforma given in Annexure-I. As regards cases of confirmation, the proposals should be put up before the DPC in the proforma given in Annexure-II. These proforma should be completed and submitted to the DPC, whether the UPSC is associated with the DPC or not.

4.2.2. Where a member of the UPSC has to attend a meeting of a DPC, the necessary documents should be sent to the Commission along with the references requesting the Commission to nominate one of their Members to preside over the DPC. The papers should be complete as per the Check List given in Annexure-III and should be sent in good time before the meeting.

4.2.3. No proposal for holding a DPC or Selection Committee should be sent to UPSC until and unless all the ACRs complete and uptodate are available. In certain cases involving collection of large number of ACRs, the proposal can be sent only if at least 90% of the ACRs (uptodate and complete) are available. Every effort should be made to keep the ACRs dossiers upto date, lest this aspect is advanced as the reason for not holding DPCs in time. The officer referred in para 3.1 should also be responsible for monitoring the completion of the ACR dossiers.

4.2.4. The ACR folder should be checked to verify whether the ACRs for the individual years are available. For this purpose, the proforma enclosed (Annexure-IV) should be filled in and sent to UPSC. If the ACR for a particular year is not available and for valid/justifiable reasons it cannot be made available, a certificate should be recorded to that effect and placed in the ACR folder.

4.2.5. The integrity certificate on the lines indicated below should be furnished to the DPCs constituted to consider cases for promotion or confirmation:

"The records of service of the following officers who are to be considered for promotion/confirmation in the grade have been carefully scrutinised and it is certified that there is no doubt about their integrity".

If there are names of persons, in the list of eligible candidates, whose integrity is suspect or has been held in doubt at one stage or other, this fact should also be specifically recorded by the Ministry/Department/office concerned and brought to the notice of the DPC.

4.2.6. Where the UPSC is associated with the DPC the certificate will be recorded by an officer not below the rank of a Deputy Secretary to the Government. Where UPSC is not associated the officer-in-charge of the Administration section in the Ministry/Department/Office concerned who processes and submits names and particulars of eligible officers to the DPC should himself record the certificate.

4.2.7. It should be ensured that the information furnished to the UPSC/DPC is factually correct and complete in all respects. Cases where incorrect information has been furnished should be investigated and suitable action taken against the person responsible for it.

Consideration
of officers
on deputation

4.3.1. The names of the officers who are on deputation, either on their own volition or in public interest (including foreign service), should also be included in the list submitted to the DPC for consideration for promotion in case they come within the field of choice for promotion and fulfil the prescribed eligibility conditions. Similarly, the names of the officers on deputation should also be included in the list of names to be considered by the DPC for confirmation, in case they are eligible for confirmation and come within the range of seniority.

4.3.2. Very often a certain number of years of service in the lower grade is prescribed as a condition for becoming eligible for consideration for promotion to a higher post/grade. In such cases, the period of service rendered by an officer on deputation/foreign service, should be treated as comparable service in his parent department for purposes of promotion

as well as confirmation. This is subject to the condition that the deputation/foreign service, is with the approval of the competent authority and it is certified by the competent authority that but for deputation/foreign service, the officer would have continued to hold the relevant post in his parent department. Such a certificate would not be necessary if he was holding the departmental post in a substantive capacity.

Consideration
of officers on
Study Leave

4.4. An officer proceeding on study leave should be treated on the same basis as an officer proceeding on deputation if the study leave was duly sanctioned by the competent authority and the competent authority certified that he would have continued to officiate but for his proceeding on study leave. Such a certificate would not be necessary if he was holding the said departmental post substantively. These instructions would also apply in the cases of Government servants who are granted special leave for training abroad under the various training schemes.

Consideration
of Direct
Recruits

4.5 It may happen that a Government servant who is recommended for appointment to a post as a direct recruit may also be among those eligible for consideration for promotion to the same post. An officer does not lose his right of consideration for such promotion merely because he has been recommended for appointment against the direct recruitment quota. Therefore, such officers, if they are within the field of eligibility, should be included in the list of officers for consideration by the DPC, excepting where an officer was holding the lower post in a temporary capacity and has been appointed to the higher post as a direct recruit before the date of the meeting of the DPC.

Reservation
for SCs/STs

4.6 Instructions have been issued from time to time by the Department of Personnel and Training regarding reservations and concessions to SCs and STs in the matter of promotions and confirmations. These instructions should be duly taken into account by the appointing authorities while formulating proposals for promotion/confirmation for consideration of the DPC.

P A R T - IV

PROCEDURE TO BE OBSERVED BY
DEPARTMENTAL PROMOTION COMMITTEES

5. Each Departmental Committee should decide its own method and procedure for objective assessment of the suitability of the candidates. No interviews should be held unless it has been specifically provided for in the recruitment rules for the post/service. Whenever promotions are to be made by the method of 'Selection' by DPC and the administrative ministry desires that an interview should form part of the selection process, necessary provision should be made in the recruitment rules.

Selection Method

6.1.1 Where promotions are to be made by selection method as prescribed in the recruitment rules, the DPC shall, for the purpose of determining the number of officers who will be considered from out of those eligible officers in the feeder grade(s), restrict the field of choice as under with reference to the number of clear regular vacancies proposed to be filled in the year:

<u>No. of vacancies</u>	<u>No. of officers to be considered</u>
1	5
2	8
3	10
4	3 times the number of vacancies

Guidelines for DPCs

6.1.2. At present DPCs enjoy full discretion to devise their own methods and procedures for objective assessment of the suitability of candidates who are to be considered by them. In order to ensure greater selectivity in matters of promotions and for having uniform procedures for assessment by DPCs, fresh guidelines are being prescribed. The matter has been examined and the following broad guidelines are laid down to regulate the assessment of suitability of candidates by DPCs.

6.1.3. While merit has to be recognised and rewarded, advancement in an officer's career should not be regarded as a matter of course, but should be earned by dint of hard work, good conduct and result oriented performance as reflected in the annual confidential reports and based on strict and rigorous selection process.

6.1.4. Government also desires to clear the misconception about "Average" performance. While "Average" may not be taken as adverse remark in respect of an officer, at the same time, it cannot be regarded as complimentary to the officer, as "Average" performance should be regarded as routine and undistinguished. It is only performance that is above average and performance that is really noteworthy which should entitle an officer to recognition and suitable rewards in the matter of promotion.

Confiden- tial Reports

6.2.1. Confidential Rolls are the basic inputs on the basis of which assessment is to be made by each DPC. The evaluation of CRs should be fair, just and non-discriminatory. Hence -

- (a) The DPC should consider CRs for equal number of years in respect of all officers considered for promotion subject to (c) below.

(b) The DPC should assess the suitability of the officers for promotion on the basis of their service record and with particular reference to the CRs for 5 preceding years. However, in cases where the required qualifying service is more than 5 years, the DPC should see the record with particular reference to the CRs for the years equal to the required qualifying service. (If more than one CR has been written for a particular year, all the CRs for the relevant year shall be considered together as the CR for one year).

(c) Where one or more CRs have not been written for any reason during the relevant period, the DPC should consider the CRs of the years preceding the period in question and if in any case even these are not available the DPC should take the CRs of the lower grade into account to complete the number of CRs required to be considered as per (b) above. If this is also not possible, all the available CRs should be taken into account.

(d) Where an officer is officiating in the next higher grade and has earned CRs in that grade, his CRs in that grade may be considered by the DPC in order to assess his work, conduct and performance, but no extra weightage may be given merely on the ground that he has been officiating in the higher grade.

(e) The DPC should not be guided merely by the overall grading, if any, that may be recorded in the CRs but should make its own assessment on the basis of the entries in the CRs, because it has been noticed that some times the overall grading in a CR may be inconsistent with the grading under various parameters or attributes.

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

Assessment
provided it
is apparent
from the

6.2.2. In the case of each officer an overall grading should be given. The grading shall be one among (i) Outstanding (ii) Very Good (iii) Good (iv) Average (v) Unfit.

6.2.3. Before making the overall grading after considering the CRs for the relevant years, the DPC should take into account whether the officer has been awarded any major or minor penalty or whether any displeasure of any superior officer or authority has been conveyed to him as reflected in the ACRs. The DPC should also have regard to the remarks against the column on integrity.

6.3.1. The list of candidates considered by the DPC and the overall grading assigned to each candidate, would form the basis for preparation of the panel for promotion by the DPC. The following principles should be observed in the preparation of the panel:

- (i) Having regard to the levels of the posts to which promotions are to be made, the nature and importance of duties attached to the posts a bench mark grade would be determined for each category of posts for which promotions are to be made by selection method. For all Group 'C', Group 'B' and Group 'A' posts upto (and excluding) the level of Rs.3700-5000 excepting promotions for induction to Group 'A' posts or Services from lower groups, the bench mark would be 'Good'. All officers whose overall grading is equal to or better than the bench mark should be included in the panel for promotion to the extent of the number of vacancies. They will be arranged in the order of their inter se seniority in the lower category without reference to the overall grading obtained by each of them provided that each one of them has an overall grading equal to or better than the bench mark of 'Good'.

Wherever promotions are made for induction to Group 'A' posts or Services from lower groups, the bench mark would continue to be 'Good'. However, officers graded as 'Outstanding' would rank en bloc senior to those who are graded as 'Very Good' and officers graded as 'Very Good' would rank en bloc senior to those who are graded as 'Good' and placed in the select panel accordingly upto the number of vacancies, officers with same grading maintaining their inter se seniority in the feeder post.

- (ii) In respect of all posts which are in the level of Rs.3700-5000 and above, the benchmark grade should be 'Very Good'. However, officers who are graded as 'Outstanding' would rank en bloc senior to those who are graded as 'Very Good' and placed in the select panel accordingly upto the number of vacancies, officers with same grading maintaining their inter se seniority in the feeder post.

- (iii) Appointments from the panel shall be made in the order of names appearing in the panel for promotion.
- (iv) Where sufficient number of officers with the required benchmark grade are not available within the zone of consideration, officers with the required benchmark will be placed on the panel and for the unfilled vacancies, the appointing authority should hold a fresh D.P.C. by considering the required number of officers beyond the original zone of consideration.

6.3.2.(i) In promotions by selections to posts/services within Group 'A' which carry an ultimate salary of Rs.5700/- p.m. in the revised scale, the SCs/STs officers, who are senior enough in the zone of consideration for promotion so as to be within the number of vacancies for which the select list has to be drawn up, would notwithstanding the prescription of 'benchmark' be included in that list provided they are not considered unfit for promotion.

(ii) In promotion by selection to posts/services in Group 'B' within Group 'B' and from Group 'B' to the lowest rung in Group 'A', selection against vacancies reserved for SCs and STs will be made only from those SCs/STs officers, who are within normal zone of consideration prescribed vide the Department of Personnel and A.R. O.M. No. 22011/3/76-Estt.(D) dated 24th December, 1980. Where adequate number of SCs/STs candidates are not available within the normal field of choice, it may be extended to five times the number of vacancies and the SCs/STs candidates coming within the extended field of choice should also be considered against the vacancies reserved for them. If candidates from SCs/STs obtain on the basis of merit with due regard to seniority, on the same basis as others, lesser number of vacancies than the number reserved for them, the difference should be made up by selecting candidates of these communities, who are in the zone of consideration, irrespective of merit and 'bench mark' but who are considered fit for promotion.

(iii) As regards promotions made by selection in Group 'C' and Group 'D' posts/services, Select Lists of SCs/STs officers should be drawn up separately in addition to the general select list, to fill up the reserved vacancies. SCs/STs officers who are within the normal zone of consideration, should be considered for promotion alongwith and adjudged on the same basis as others and those SCs and STs amongst them, who are selected on that basis may be included in the general Select List in addition to their being considered for inclusion in the separate Select Lists for SCs and STs respectively. In the separate Select Lists drawn up respectively for SCs and STs, officers belonging to the SCs and STs will be adjudged separately amongst themselves and not alongwith others and, if selected, they should be included in the concerned separate list,

irrespective of their merit as compared to other officers and the 'bench mark' determined by the cadre authorities. If candidates from SCs/STs obtain on the basis of their position in the aforesaid general list, lesser number of vacancies than are reserved for them, the difference should be made up by selected candidates of these communities in the separate Select Lists for SCs and STs respectively.

Preparation of
Yearwise panels
by DPC where
they have not
met for a
number of
years

6.4.1. Where for reasons beyond control, the DPC could not be held in an year(s), even though the vacancies arose during that year (or years), the first DPC that meets thereafter should follow the following procedures:

- (i) Determine the actual number of regular vacancies that arose in each of the previous year(s) immediately preceding and the actual number of regular vacancies proposed to be filled in the current year separately.
- (ii) Consider in respect of each of the years those officers only who would be within the field of choice with reference to the vacancies of each year starting with the earliest year onwards.
- (iii) Prepare a 'Select List' by placing the select list of the earlier year above the one for the next year and so on;

6.4.2. Where a DPC has already been held in a year further vacancies arise during the same year due to death, resignation, voluntary retirement etc. or because the vacancies were not intimated to the DPC due to error or omission on the part of the Department concerned, the following procedure should be followed:-

- (i) Vacancies due to death, voluntary retirement, new creations, etc., clearly belonging to the category which could not be foreseen at the time of placing facts and material before the DPC. In such cases, another meeting of the DPC should be held for drawing up a panel for these vacancies as these vacancies could not be anticipated at the time of holding the earlier DPC. If, for any reason, the DPC cannot meet for the second time, the procedure of drawing up of year-wise panels may be followed when it meets next for preparing panels in respect of vacancies that arise in subsequent year(s).
- (ii) In the second type of cases of non-reporting of vacancies due to error or omission (i.e. though the vacancies were there at the time of holding of DPC meeting they were not reported to it) results in injustice to the officers concerned by artificially restricting the zone of consideration. The wrong done cannot be rectified by holding a second DPC or preparing an year-wise panel. In all such cases, a review DPC should be held keeping in mind the total vacancies of the year.

6.4.3. For the purpose of evaluating the merit of the officers while preparing year-wise panels, the scrutiny of the record of service of the officers should be limited to the records that would have been available had the DPC met at the appropriate time. For instance for preparing a panel relating to the vacancies of 1978 the latest available records of service of the officers either upto December 1977 or the period ending March, 1978 as the case may be, should be taken into account and not the subsequent ones. However, if on the date of the meeting of the DPC, departmental proceedings are in progress and under the existing instructions sealed cover procedure is to be followed, such procedure should be observed even if departmental proceedings were not in existence in the year to which the vacancy related. The officer's name should be kept in the sealed cover till the proceedings are finalised.

6.4.4. While promotions will be made in the order of the consolidated select list, such promotions will have only prospective effect even in cases where the vacancies relate to earlier year(s).

7. Non- Selection Method:

Where the promotions are to be made on 'non-selection' basis according to Recruitment Rules, the DPC need not make a comparative assessment of the records of officers and it should categorise the officers as 'fit' or 'not yet fit' for promotion on the basis of assessment of their record of service. While considering an officer 'fit', guidelines in para 6.1.4. should be borne in mind. The officers categorised as 'fit' should be placed in the panel in the order of their seniority in the grade from which promotions are to be made.

8. Confirmation :

In the case of confirmation, the DPC should not determine the relative merit of officers but it should assess the officers as 'Fit' or 'Not yet fit' for confirmation in their turn on the basis of their performance in the post as assessed with reference to their record of service.

9. Probation :

In the case of probation, the DPC should not determine the relative grading of officers but only decide whether they should be declared to have completed the probation satisfactorily. If the performance of any probationer is not satisfactory, the DPC may advise whether the period of probation should be extended or whether he should be discharged from service.

10. Efficiency Bar :

The DPC constituted for considering cases of Government servants for crossing the EB need not sit in a meeting but may consider such cases by circulation of papers. The DPC may consider such cases on the basis of up-to-date records of performance, results of a written test and/or trade test, if any, prescribed by the administrative Ministry. The DPC may recommend whether the officer concerned is 'Fit' or 'Not yet fit' to cross the Efficiency Bar. The review of the case of a Government servant who has been held up at the EB stage on the due date should also be done in accordance with the same procedure by the DPC.

Procedure to be followed by DPC in respect of Government servants under cloud

11.1 At the time of consideration of the cases of Government servants for promotion, details of Government servants in the consideration zone for promotion falling under the following categories should be specifically brought to the notice of the Departmental Promotion Committee:-

- (i) Government servants under suspension;
- (ii) Government servants in respect of whom disciplinary proceedings are pending or a decision has been taken to initiate disciplinary proceedings;
- (iii) Government servants in respect of whom prosecution for a criminal charge is pending or sanction for prosecution has been issued or a decision has been taken to accord sanction for prosecution; and
- (iv) Government servants against whom an investigation or serious allegations of corruption, bribery or similar grave misconduct is in progress either by the C.B.I. or any other agency, departmental or otherwise.

11.2 The D.P.C. shall assess the suitability of the Government servants coming within the purview of the circumstances mentioned above alongwith other eligible candidate without taking into consideration the disciplinary case/criminal prosecution, pending or contemplated, against them or the investigation in progress. The assessment of the DPC, including "Unfit for Promotion", and the grading awarded by it will be kept in a sealed cover. The cover will be superscribed 'Findings regarding suitability for promotion to the grade/post of _____ in respect of Shri _____ (name of the Government servant). Not to be opened till the termination of the disciplinary case/criminal prosecution against Shri _____. The proceedings of the DPC need only contain the note "The findings are contained in the attached sealed cover". The authority competent to fill the vacancy should be separately advised to fill the vacancy in the higher grade only in an officiating capacity when the findings of the DPC in respect of the suitability of a Government servant for his promotion are kept in a sealed cover.

11.3 The same procedure outlined in para 11.2 above will be followed by the subsequent Departmental Promotion Committees convened till the disciplinary case/criminal prosecution pending or contemplated against the Government servant concerned is concluded.

Adverse
remarks
in a C.R.

12.1 Where adverse remarks in the Confidential Report of the officer concerned have not been communicated to him, this fact should be taken note of by the DPC while assessing the suitability of the officer for promotion/confirmation.

12.2 In a case where a decision on the representation of an officer against adverse remarks has not been taken or the time allowed for submission of representation is not over, the DPC may in their discretion defer the consideration of the case until a decision on the representation.

13. An officer whose increments have been withheld or who has been reduced to a lower stage in the time scale, cannot be considered on that account to be ineligible for promotion to the higher grade as the specific penalty of withholding promotion has not been imposed on him. The suitability of the officer for promotion should be assessed by the DPC as and when occasions arise for such assessment. In assessing the suitability, the DPC will take into account the circumstances leading to the imposition of the penalty

and decide whether in the light of the general service record of the officer and the fact of the imposition of the penalty he should be considered suitable for promotion. However, even where the DPC considers that despite the penalty the officer is suitable for promotion, the officer should not be actually promoted during the currency of the penalty.

14. The DPC should record in their minutes a certificate that the Department/Ministry/Office concerned has rendered the requisite integrity certificate in respect of those recommended by the DPC for promotion/confirmation.

Validity of the proceedings of DPCs when one member is absent

15. The proceedings of the Departmental Promotion Committee shall be legally valid and can be acted upon notwithstanding the absence of any of its members other than the Chairman provided that the member was duly invited but he absented himself for one reason or the other and there was no deliberate attempt to exclude him from the deliberation of the DPC and provided further that the majority of the members constituting the Departmental Promotion Committee are present in the meeting.

P A R T - V

PROCESSING AND IMPLEMENTATION OF THE RECOMMENDATIONS OF DEPARTMENTAL PROMOTION COMMITTEE

Processing of recommendations of D.P.C.

16.1 The recommendations of the DPC are advisory in nature and should be duly approved by the appointing authority. Before the recommendations are so approved the appointing authority shall consult all concerned as indicated below, without undue delay.

Consultation with U.P.S.C.

16.2 The recommendations of the DPC whether it included a Member of the UPSC or not should be referred to the Commission for approval, if -

(i) Consultation with the Commission is mandatory under Article 320(3) of the Constitution, read with UPSC (Exemption from Consultation) Regulations, 1958. However, a reference may be made to the Regulations, as and when necessary.

(ii) The Member of the Commission who presides over the DPC specifically desires that the Commission should be consulted.

Approval of ACC

16.3 Where the posts fall within the purview of the Appointments Committee of the Cabinet, the approval of ACC should also be obtained.

Procedure to be followed when the Appointing Authority does not agree with Recommendations of DPC

16.4.1. There may be certain occasions when the appointing authority may find it necessary to disagree with the recommendations of the DPC. The procedure to be followed in such cases is indicated below.

16.4.2. Where UPSC is associated with the DPC the recommendations of the DPC should be treated as recommendations of UPSC. If it is so considered necessary by the appointing authority to vary or disagree with the recommendations of the DPC the prescribed procedure for over-ruling the recommendations of UPSC (not incorporated in these guidelines) should be followed.

16.4.3. The recommendations of the DPC on which UPSC is not represented should be dealt with as under:-

(a) Where the appointing authority, being lower than the President of India, does not agree with the recommendations of the DPC, such appointing authority should indicate the reasons for disagreeing and refer the entire matter to the DPC for reconsideration of its earlier recommendations. In case the DPC reiterates its earlier recommendations, giving also reasons in support thereof, the appointing authority may accept the recommendations, if the reasons adduced by the DPC are convincing; if that authority does not accept the recommendations of the DPC it shall submit the papers to the next higher authority with its own recommendations. The decision of the next higher authority shall be final.

(b) Where the appointing authority is the President of India, the recommendations of the DPC should be submitted to the Minister in Charge of the Department concerned for acceptance or otherwise of the recommendations. In case the circumstances do necessitate, the Minister may refer the matter again to the DPC for reconsideration of its earlier recommendations. If the DPC reiterates its earlier recommendations giving also reasons in support thereof, the matter should be placed before the Minister for his decision. The decision taken by the Minister either to accept or to vary the recommendations of the DPC shall be final.

Appointing Authority to take decision within 3 months.

16.5.1. In cases excepting those which require the approval of the Appointments Committee of the Cabinet the appointing authority should take a decision either to accept or disagree with the recommendations of the DPC within a time-limit of three months (from the date of the DPC meeting or the date of communication of the UPSC's approval to the panel, where such approval is required). Where the appointing authority proposes to disagree with the recommendations, the relevant papers should be submitted by the appointing authority to the next higher authority with its own recommendations/cases in which the UPSC is associated with the DPC and the appointing authority proposes to disagree with the recommendations of the DPC, the case should be forwarded

by the expiry of the period of three months. In those

to the Establishment Officer in the Department of Personnel and Training for placing the matter before the Appointments Committee of the Cabinet as soon as possible and, in any case, not later than three months from the date on which the validity of the panel commences.

16.5.2. In cases where the panel prepared by the DPC requires the approval of the A.C.C, proposals therefor along-with the recommendations of the Minister-in-Charge should be sent to the Establishment Officer before expiry of the same time-limit of three months.

Implementation of
the recommenda-
tions of DPC -
Vigilance Clea-
rance

17.1 A clearance from the Vigilance Section of the Office/ Department should also be obtained before making actual promotion or confirmation of officer approved by DPC to ensure that no disciplinary proceedings are pending against the officer concerned.

Order in
which promotions
are made

17.2 Promotion of whatever duration should as far as possible be made in the order in which the names of the officers appear in the panel. Exception to this rule may be necessary where a large number of vacancies are to be filled within a comparatively short period or it is convenient and desirable to make postings with due regard to the location and experience of the officers concerned or where short term vacancies have to be filled on local and ad-hoc basis.

Where eligible
by direct rec-
ruitment and
promotion

17.3 If a person's name is included in the panel for promotion to the higher post (to which appointment can be made by promotion as well as by direct recruitment) and also in the panel for direct recruitment to the said higher post, he should be appointed as a direct recruit or as a promotee, having regard to the fact whether his turn for appointment comes earlier from the direct recruitment list or from the promotion list, as the case may be.

Promotion of
officers on
deputation

17.4.1. If the panel contains the name of a person who has gone on deputation or on foreign service in the public interest including a person who has gone on study leave, provision should be made for his regaining the temporarily lost seniority in the higher grade on his return to the cadre. Therefore, such an officer need not be reconsidered by a fresh DPC, if any, subsequently held, while he continues to be on deputation/foreign service/study leave so long as any officer junior to him in the panel is not required to be so considered by a fresh DPC irrespective of the fact whether he might or might not have got the benefit of proforma promotion under the NBR. The same treatment will be given to an officer included in the panel who could have been promoted within the currency of the panel but for his being away on deputation.

17.4.2. In case the officer is serving on an ex-cadre post on his own volition by applying in response to an advertisement, he should be required to revert to his parent cadre immediately when due for promotion, failing which his name shall be removed from the panel. On his reverting to the parent cadre after a period of two years he will have no claim for promotion to the higher grade on the basis of that panel. He should be considered in the normal course along with other eligible officers when the next panel is prepared and he should be promoted to the higher grade according to his position in the fresh panel. His seniority, in that event, shall be determined on the basis of the position assigned to him in the fresh panel with reference to which he is promoted to the higher grade. (If the panel contains the name of an officer on study leave, he should be promoted to the higher post on return from the study leave. He should also be given seniority according to his position in the panel and not on the basis of the date of promotion).

EB cases

17.5 The recommendations of the DPC in the case of Government servants for crossing the EB have to be considered by the authority competent to pass an order under FR 25. Where a Government servant who has been held up at the EB stage on the due date on account of unfitness to cross the EB is allowed to cross the EB at a later date, as a result of subsequent review of his case by the DPC, the increment next above the EB shall be allowed to him from the date of such order to cross EB. Where it is proposed to fix his pay at a higher stage taking into account the length of service from the due date for crossing the EB, the case should be referred to the next higher authority for a decision. Instructions regarding overruling of recommendation of DPC for promotion/confirmation would apply in this case also.

Sealed cover cases - Action after completion of disciplinary/criminal prosecution

17.6.1. If the proceedings of a DPC for promotion contain findings in a sealed cover, on the conclusion of the disciplinary case/ criminal prosecution, the sealed cover or covers shall be opened. In case the Government servant is completely exonerated, the due date of his promotion will be determined with reference to the position assigned to him in the findings kept in the sealed cover/covers and with reference to the date of promotion of his next junior on the basis of such position. The Government servant may be promoted, if necessary, by reverting the junior-most officiating person. He may be promoted notionally with reference to the date of promotion of his junior but he will not be allowed any arrears of pay for the period preceding the date of actual promotion.

17.6.2. If any penalty is imposed on the Government servant as a result of the disciplinary proceedings or if he is found guilty in the criminal prosecution against him, the findings of the sealed cover/covers shall not be acted upon. His case for promotion may be considered by the next DPC in the normal course and having regard to the penalty imposed on him.

Six mont hly
Review of
sealed cover
cases

17.7.1. It is necessary to ensure that the disciplinary case/criminal prosecution instituted against any Government servant is not unduly prolonged and all efforts to finalise expeditiously the proceedings should be taken so that the need for keeping the case of a Government servant in a sealed cover is limited to the barest minimum. The appointing authorities concerned should review comprehensively the case of a Government servant whose suitability for promotion to a higher grade has been kept in a sealed cover on the expiry of 6 months from the date of convening the first DPC which had adjudged his suitability and kept its findings in the sealed cover. Such a review should be done subsequently also every six months. The review, should, inter-alia, cover the following aspects:

i) The progress made in the disciplinary proceedings/criminal prosecution and the further measures to be taken to expedite their completion.

ii) Scrutiny of the material/evidence collected in the investigations to take a decision as to whether there is a prima-facie case for initiating disciplinary action or sanctioning prosecution against the officer.

If, as a result of the review, the appointing authority comes to a conclusion in respect of cases covered by item (ii) above that there is no case for taking action against the Government servant concerned, the sealed cover may be opened and he may be given his due promotion with reference to the position assigned to him by the DPC.

Sealed cover
procedure for
confirmation

17.7.2 The procedure outlined in the preceding paras should also be followed in considering the claim for confirmation of an officer under suspension etc.

Procedure for
ad-hoc
promotion

17.8.1. In spite of the six monthly review referred to in para 17.7.1. above, there may be some cases where the disciplinary case/criminal prosecution against the Government servant are not concluded even after the expiry of two years from the date of the meeting of the first DPC, which kept its findings in respect of the Government servant in a sealed cover. In such a situation the appointing authority may review the case of the Government servant, provided he is not under suspension, to consider the desirability of giving him ad-hoc promotion keeping in view the following aspects:-

- a) Whether the promotion of the officer will be against public interest;
- b) Whether the charges are grave enough to warrant continued denial of promotion;
- c) Whether there is no likelihood of the case coming to a conclusion in the near future;
- d) Whether the delay in the finalisation of proceedings, departmental or in a court of law, is not directly or indirectly attributable to the Government servant concerned; and
- e) Whether there is any likelihood of misuse of official position which the Government servant may occupy after ad-hoc promotion, which may adversely affect the conduct of the departmental case/criminal prosecution.

The appointing authority should also consult the Central Bureau of Investigation and take their views into account where the departmental proceedings or criminal prosecution arose out of the investigations conducted by the Bureau.

17.8.2. In case the appointing authority comes to a conclusion that it would not be against the public interest to allow ad-hoc promotion to the Government servant, his case should be placed before the next DPC held in the normal course after the expiry of the two years period to decide whether the officer is suitable for promotion on ad-hoc basis. Where the Government servant is considered for ad-hoc promotion, the D.P.C. should make its assessment on the basis of the totality of the individual's record of service without taking into account the pending disciplinary case/criminal prosecution against him.

17.8.3. After a decision is taken to promote a Government servant on an ad-hoc basis, an order of promotion may be issued making it clear in the order itself that:-

- i) the promotion is being made on purely ad-hoc basis and the ad-hoc promotion will not confer any right for regular promotion; and
- ii) the promotion shall be "until further orders". It should also be indicated in the orders that the Government reserve the right to cancel at any time the ad-hoc promotion and revert the Government servant to the post from which he was promoted.

17.8.4. If the Government servant concerned is acquitted in the criminal prosecution on the merits of the case or is fully exonerated in the departmental proceedings, the ad-hoc promotion already made may be confirmed and the promotion treated as a regular one from the date of the ad-hoc promotion with all attendant benefits. In case the Government servant could have normally got his regular promotion from a date prior to the date of this ad-hoc promotion with reference to his placement in the DPC proceedings kept in the sealed cover(s) and the actual date of promotion of the person ranked immediately junior to him by the same DPC, he would also be allowed his due seniority and benefit of notional promotion as envisaged in para 17.6.1. above.

17.8.5. If the Government servant is not acquitted on merits in the criminal prosecution but purely on technical grounds and Government either proposes to take up the matter to a higher court or to proceed against him departmentally or if the Government servant is not fully exonerated in the departmental proceedings, the ad-hoc promotion granted to him should be brought to an end.

Sealed cover
procedure
applicable to
officers coming
under cloud
before
promotion

17.9 A Government servant, who is recommended for promotion by the Departmental Promotion Committee but in whose case any of the circumstances mentioned in para 11.1 above arise after the recommendations of the DPC are received but before he is actually promoted, will be considered as if his case had been placed in a sealed cover by the DPC. He shall not be promoted until he is completely exonerated of the charges against him and the provisions contained in this part will be applicable in his case also.

Date from which promotions are to be treated as Regular

17.10 The general principle is that promotion of officers included in the panel would be regular from the date of validity of the panel or the date of their actual promotion whichever is later.

17.11 In cases where the recommendations for promotion are made by the DPC presided over by a Member of the UPSC and such recommendations do not require to be approved by the Commission, the date of Commission's letter forwarding fair copies of the minutes duly signed by the Chairman of the DPC or the date of the actual promotion of the officers, whichever is later, should be reckoned as the date of regular promotion of the officer. In cases where the Commission's approval is also required the date of UPSC's letter communicating its approval or the date of actual promotion of the officer whichever is later will be relevant date. In all other cases the date on which promotion will be effective will be the date on which the officer was actually promoted or the date of the meeting of the DPC whichever is later. Where the meeting of the DPC extends over more than one day the last date on which the DPC met shall be recorded as the date of meeting of the DPC.

L the

Appointments to posts falling within the purview of ACC can, however, be treated as regular only from the date of approval of ACC or actual promotion whichever is later except in particular cases where the ACC approves appointments from some other date.

Refusal of Promotion

17.12 When a Government employee does not want to accept a promotion which is offered to him he may make a written request that he may not be promoted and the request will be considered by the appointing authority, taking relevant aspects into consideration. If the reasons adduced for refusal of promotion are acceptable to the appointing authority, the next person in the select list may be promoted. However, since it may not be administratively possible or desirable to offer appointment to the persons who initially refused promotion, on every occasion on which a vacancy arises, during the period of validity of the panel, no fresh offer of appointment on promotion shall be made in such cases for a period of one year from the date of refusal of first promotion or till a next vacancy arises whichever is later. On the eventual promotion to the higher grade, such Government servant will lose seniority vis-a-vis his juniors promoted to the higher grade earlier irrespective of the fact whether the posts in question are filled by selection or otherwise. The above mentioned policy will not apply where ad-hoc promotions against short term vacancies are refused.

Validity
of a panel

17.13.1 The panel for promotion drawn up by DPC for 'selection' posts would normally be valid for one year. It should cease to be in force on the expiry of a period of one year and six months or when a fresh panel is prepared, whichever is earlier.

17.13.2 The date of commencement of the validity of panel will be the date on which the DPC meets. In case the DPC meets on more than one day, the last date of the meeting would be the date of commencement of the validity of the panel. In case the panel requires, partially or wholly, the approval of the Commission, the date of validity of panel would be the date (of Commission's letter) communicating their approval to the panel. It is important to ensure that the Commission's approval to the panel is obtained, where necessary, with the least possible delay.

Review of
Panels

17.14 The 'select list' should be periodically reviewed. The names of those officers who have already been promoted (otherwise than on a local or purely temporary basis) and continue to officiate should be removed from the list and rest of the names, if they are still within the consideration zone, alongwith others who may now be included in the field of choice should be considered for the 'select list' for the subsequent period.

P A R T - VI

REVIEW D.P.C.s

When Review
DPCs may be
held

18.1 The proceedings of any DPC may be reviewed only if the DPC has not taken all material facts into consideration or if material facts have not been brought to the notice of the DPC or if there have been grave errors in the procedure followed by the DPC. Thus, it may be necessary to convene Review DPCs to rectify certain unintentional mistakes, e.g.

- a) where eligible persons were omitted to be considered; or
- b) where ineligible persons were considered by mistake; or
- c) where the seniority of a person is revised with retrospective effect resulting in a variance of the seniority list placed before the DPC; or

- d) Where some procedural irregularity was committed by a DPC; or
- e) Where adverse remarks in the CRs were toned down or expunged after the DPC had considered the case of the officer.

These instances are not exhaustive but only illustrative.

Scope and procedure

18.2 A Review DPC should consider only those persons who were eligible as on the date of meeting of original DPC. That is, persons who became eligible on a subsequent date should not be considered. Such cases will, of course, come up for consideration by a subsequent regular DPC. Further the review DPC should restrict its scrutiny to the CRs for the period relevant to the first DPC. the CRs written for subsequent periods should not be considered. If any adverse remarks relating to the relevant period, were toned down or expunged, the modified CRs should be considered as if the original adverse remarks did not exist at all.

18.3 A Review DPC is required to consider the case again only with reference to the technical or factual mistakes that took place earlier and it should neither change the grading of an officer without any valid reason (which should be recorded) nor change the zone of consideration nor take into account any increase in the number of vacancies which might have occurred subsequently.

Cases where adverse remarks have been expunged or toned down

18.4.1. In cases where the adverse remarks were toned down or expunged subsequent to consideration by the DPC, the procedure set out herein may be followed. The appointing authority should scrutinise the case with a view to decide whether or not a review by the DPC is justified, taking into account the nature of the adverse remarks toned down or expunged. In cases where the UPSC have been associated with the DPC, approval of the Commission would be necessary for a review of the case by the DPC.

18.4.2. While considering a deferred case, or review of the case of a superseded officer, if the DPC finds the officer fit for promotion/confirmation, it would place him at the appropriate place in the relevant select list/list of officers considered fit for confirmation or promotion after taking into account the toned down remarks or expunged remarks and his promotion and confirmation will be regulated in the manner indicated below.

18.4.3. If the officers placed junior to the officer concerned have been promoted, he should be promoted immediately and if there is no vacancy the junior most person officiating in the higher grade should be reverted to accommodate him. On promotion, his pay should be fixed under F.R. 27 at the stage it would have reached, had he been promoted from the date the officer immediately below him was promoted but no arrears would be admissible. The seniority of the officer would be determined in the order in which his name, on review, has been placed in the select list by DPC. If in any such case a minimum period of qualifying service is prescribed for promotion to higher grade, the period from which an officer placed below the officer concerned in the select list was promoted to the higher grade, should be reckoned towards the qualifying period of service for the purpose of determining his eligibility for promotion to the next higher grade.

18.4.4. In the case of confirmation, if the officer concerned is recommended for confirmation on the basis of review by the DPC, he should be confirmed and the seniority already allotted to him on the basis of review should not be disturbed by the delay in confirmation.

Proforma for referring proposals for promotion to
Union Public Service Commission.

.....

1. Name of Ministry/Department/
Office.

.....

2. Names and designation of members of the Departmental Promotion
Committee (copy of the orders constituting the DPC to be
attached).

Name	Designation	Office	Tele No.
1.	2.	3.	4.
.....			

.....

3. Grade or post to which promotion is to be made.

Designation	Classification	Scale of Pay	No. of posts in the grade filled/unfilled
1w	2.	3.	4.
.....			

.....

Total No. of posts filled on ad-hoc basis		No. of regular vacancies falling in promotion quota		Total
Pmt.	Temp.	Existing	Anticipated for current year panel only)	
.....				
5.		6.		7.
.....				

.....

4. Yearwise break up of the number of regular vacancies indicated in column 7 of item 3.

Year	General	SC	ST	Total
------	---------	----	----	-------

5. Recruitment Rules for the grade/post:

(a) Date on which the Recruitment Rules were notified in the Gazette of India and UPSC reference under which they were approved.

(b) Method of recruitment prescribed:

- (i) % direct recruitment
- (ii) % Promotion
- (iii) % deputation/transfer

(c) Whether an up-to-date copy of the recruitment rules has been enclosed. (This should invariably be sent for reference). If any changes in the recruitment rules have been agreed to by the Commission after they were notified, details should be attached.

If, after the approval of the recruitment rules any other post has been created which should normally be included in the field of promotion, give details.

6. Grade or posts from which promotion is to be made.

Designation	Classification	Scale of Pay	Service prescribed for eligibility for promotion.
1.	2.	3.	4.

7. UPSC reference No. under which promotion to the grade/post was last considered.

8. Seniority List

- (a) Whether the seniority list as in the prescribed proforma (attached) has been enclosed. If there are more than one feeder grade, enclose separate seniority lists for each grade together with combined Seniority List.
- (b) Whether all eligible officers including those belonging to SC/ST and those on deputation etc. are included and whether those belonging to SC/ST and those who are on deputation are clearly indicated in the seniority list.
- (c) Whether the list, before finalisation was circulated to all concerned.

Whether there are any officers whose seniority has not been finalised. If so, give details.

- e) Whether the seniority list has been duly authenticated by an officer not below the rank of Under Secretary to the Govt. of India

- f) Whether the list has undergone any changes since it was last placed before the DPC. If so, give details (in the proforma attached).

g) An eligibility list showing separately officers who are eligible for different years for which the Select List is to be prepared should be drawn up and enclosed. The eligibility list for past years should be drawn up as on the 31st December of the year for which the panel is drawn. In cases where there are more than one feeder grade for which no specific quotas have been earmarked, a common eligibility list should be forwarded.

9. Character Rolls

Complete and up-to-date character rolls of all the eligible officers are required.

- (a) Whether a list (in duplicate) has been attached showing the names of officers whose character rolls are enclosed with this reference ?
- (b) Are the character rolls complete and upto date? (Character rolls should be sent only after they have been completed).

11. Integrity Certificate:

- (a) Whether an integrity certificate in terms of the instructions contained in DP&T OM No. 1/9/71-Estt(D), dated 22.1.1972 has been enclosed.
- (b) Whether there are any officers against whom Vigilance proceedings are either pending or contemplated, if so please indicate their names.
(If the space is insufficient please attached separate sheet).

12. Self Contained note for the DPC.

Whether a self-contained note for the DPC explaining the proposals for promotion, has been enclosed.

13. Check List

Whether a check list in terms of the DP&T OM No.22011/6/86-Estt(D), dated 30.5.1986 has been enclosed.

Signature _____

Designation _____

Date _____

Particulars of changes in the seniority list

Vide Item 8(f) of the DPC Proforma

(I)

Name of the Officers which were included in the last seniority list but have been deleted in the present seniority list.	Reasons for deletion
--	----------------------

1	2
---	---

- | | |
|-----|--|
| 1. | |
| 2. | |
| 3. | |
| 4. | |
| 5. | |
| 6. | |
| 7. | |
| 8. | |
| 9. | |
| 10. | |

(II)

Name of officers added in the present seniority list.

- | | |
|----|--|
| 1. | |
| 2. | |
| 3. | |
| 4. | |
| 5. | |
| 6. | |

Seniority list of officers in the grade of _____

as on _____

Vide Item 8(a) of the DPC Proforma

1. Name of the Officer	Whether belongs to S/C or S/T If not, say neither	Date of birth	Date of regular appointment to the grade
2.	3.	4.	5.

PSC reference in which recommended/ approved	Post held substantively	Remarks
6.	7.	8.

* Signature of authenticating Officer

Designation _____

Date _____

* To be signed by an officer of or above the rank of Under Secretary.

PROFORMA FOR REFERRING PROPOSALS FOR CONFIRMATION

1. Name of Ministry/Department/Office:

2. Names and designations of Members of the Departmental Promotion Committee:-

<u>Name</u>	<u>Designation</u>	<u>Office Telephone No.</u>
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(Note:-Copy of orders constituting the DPC to be attached)

3. Grade or post in which confirmation is to be made

- | | |
|-----|---|
| (a) | Designation |
| (b) | Classification |
| (c) | Scale of pay |
| (d) | Total number of permanent posts in the grade. |

(e) (i) Total number of vacancies available for confirmation and the dates on which available

* (ii) Number of vacancies falling in the direct recruitment quota with dates on which they occurred

* (iii) Number of vacancies falling in the promotion quota with dates on which they occurred.

* (iv) Number of vacancies available for being filled by transfer with dates on which they occurred.

(v) Whether appropriate reservation for SC/ST in service/posts has been made ?

(vi) Details of vacancies reserved for Scheduled Castes/Tribes.

*- (To be furnished only in cases of posts/services where specific quotas have been prescribed for substantive appointment of promotees/direct recruits/departmental examination candidates etc.

4. UPSC reference number under which confirmation to the post/grade ~~from~~ ^{is} last considered.

5. Recruitment Rules for the grade/post

(a) Date on which the Recruitment rules were notified in the Gazette of India and UPSC reference number under which they were approved.

(b) Method of recruitment prescribed:-

- | | |
|-------|-----------------------|
| (i) | % direct recruitment |
| (ii) | % promotion |
| (iii) | % deputation/transfer |

(c) Whether an up-to-date copy of the Recruitment Rules has been enclosed ? (This should invariably be sent for reference). If any changes in the Recruitment Rules have been agreed to by the Commission after they were notified, details should be attached.

6. Seniority List:

(a) Whether a seniority list as in the prescribed proforma has been enclosed ?

(b) Whether all eligible officers, including those on deputation and those holding the higher posts on a local or purely ad-hoc or temporary basis are included in the list ?

(c) Whether to the list before finalization was circulated to all concerned ?

(d) Whether there are any officers whose seniority has not been finalised ? If so, give details.

(e) Whether the seniority list has been duly authenticated by the officer not below the rank of an Under Secretary to the Government of India ?

(f) Whether the list has undergone any changes since it was last placed before the DPC? If so, give necessary details (in the prescribed proforma)

- (g) In cases of confirmation of officers appointed by different methods, e.g., promotion, direct recruitment or transfer, please enclose separate seniority lists also in addition to combined list.

7. Character Rolls:-

Complete and up-to-date character rolls of all the officers assessed as 'Not Yet Fit' are required.

- (a) Whether a list (in duplicate) has been attached, showing the names of officers whose character rolls are enclosed with this reference ?
- (b) Are the character rolls complete and up-to-date? (Character rolls should be sent only after they have been completed).
- (c) Names of officers, if any, in whose cases adverse remarks in their character rolls were communicated to them and the time allowed for submission of a representation is not yet over.
- (d) Names of officers, if any, who have submitted representations against adverse entries in their character rolls, but decisions on the representations have not yet been taken.

8. Probation:-

Whether the officers have completed satisfactorily the period of probation ? The date of regular appointment and the date of completion of probation should also be given.

9. Integrity Certificate:-

Whether integrity certificate in terms of M.H.A.No.1/9/71-Estt(D) dated 22nd January, 1972 has been enclosed ? A certificate regarding integrity should also be recorded in the DPC minutes.

10. Whether the DPC for confirmation has been convened in time ? If not, state the reasons therefor.

11. Self-contained Note for the DPC:

Whether a self-contained note for
the DPC explaining the proposals for
confirmation has been enclosed ?

Signature _____

Designation _____

Date _____

Office Tele No. _____

NOTE: This proforma is to be suitably modified when
proposal is submitted for confirmation in
accordance with the procedure outlined in the
Department of Personnel & Training OM No.
18011/1/86-Estt.(D) dated 28.3.1988.

CHECK LIST FOR PROMOTION CASES

1. RECRUITMENT RULES
 - (a) Whether already notified
 - (b) Whether uptodate.
 - (c) Does it provide for promotion on selection basis.
 - (d) Whether promotion is from Group B to A.
 - (e) Whether promotion within Group A.
2. DPC PROFORMA
 - (a) Whether in (revised prescribed form.
 - (b) Whether signed by competent Officer.
 - (c) Whether all columns filled properly.
3. SENIORITY LIST
 - (a) Whether in the prescribed proforma.
 - (b) Whether complete/uptodate.
 - (c) Whether duly authenticated by an officer not below Under Secy. rank.
 - (d) Whether there is any discrepancy.
 - (e) Whether UPSC reference number given under which officers appointed.
4. ELIGIBILITY LIST
 - (a) whether educational qualification prescribed for direct recruitment applicable to promotees or otherwise specifically prescribed.
 - (b) If so, whether details of educational qualification of officers given
 - (c) Whether separate yearwise eligibility list for preparation of yearwise panels given where applicable.
 - (d) Whether full quantum of officers in consideration zone (including SC/ST in the extended zone) available.
5. OCCURRENCE OF VACANCIES
 - (a) Whether yearwise break-up of occurrence given for extending vacancies.
 - (b) Whether details for anticipated vacancies given.
 - (c) Whether reservation position given for Group B to Group A.

6. SELF-CONTAINED NOTE FOR DPC

Whether enclosed.

7. RELAXATION

- (a) Whether any relaxation involved.
- (b) If so, whether DOP&AR approval taken.

8. CHARACTER ROLLS

- (a) Whether received for all eligible officers.
- (b) Whether upto date (w.r.t. year of vacancies).
- (c) Any incomplete CRs ? (position to be indicated in separate sheet).
- (d) Whether any reason given for missing/incomplete CR.

9. INTEGRITY CERTIFICATE

- (a) Whether in the prescribed form.
- (b) Whether recorded by an officer of Deputy Secretary rank.
- (c) Whether recorded for all eligible officers.

10. PREVIOUS DPC

- (a) Has UPSC reference number, if any, for previous DPC, given.
- (b) Whether panel drawn earlier has been exhausted.

11. REVIEW DPC

Whether proposal is covered by DOP guidelines dated 30.12.1976.

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ANNEXURE -IV

(Para 4.2.4)

POSITION REGARDING YEAR-WISE AVAILABILITY OF AGRS.

Sl. No.	Name & Date of Birth of the Officer	Whether CRs available for the years								Re- marks
		1	2	3	4	5	6	7	8	

* If not available use the marking 'x'
If available use the marking '✓'