

Final rev. V. 10.09.25.

FOR OFFICE USE ONLY

**MANUAL OF OFFICE PROCEDURE 2025**  
**OFFICE OF**  
**THE DIRECTOR GENERAL OF AUDIT (INFRASTRUCTURE)**  
**NEW DELHI**



लोकहितार्थ सत्यनिष्ठा  
Dedicated to Truth in Public Interest

*[Handwritten signature]*

## PREFACE

- $$\begin{array}{r} 2700 \\ 200 \\ \hline 109 \end{array}$$

$$\begin{array}{r} 109 \text{ hrs} \\ 109 \text{ hrs} \\ \hline 109 \text{ hrs} \end{array}$$

## TABLE OF CONTENTS

| PARA No. | SUB-PARA | TOPIC OF PARA                                                                           | PAGE No. |
|----------|----------|-----------------------------------------------------------------------------------------|----------|
|          |          | <b>CHAPTER I</b>                                                                        |          |
|          |          | <b>CONSTITUTION OF THE OFFICE</b>                                                       | 1-10     |
| 1.1      |          | GENERAL                                                                                 | 1        |
| 1.2      |          | FUNCTION OF O/oTHE DIRECTOR GENERAL/PRINCIPAL DIRECTOR OF AUDIT (INFRASTRUCTURE), DELHI | 1        |
| 1.3      |          | AUDIT JURISDICTION                                                                      | 1        |
| 1.4      |          | SECTIONS UNDER THE CHARGE OF GROUP OFFICERS                                             | 1        |
| 1.5      |          | DISTRIBUTION OF CHARGE(S) AMONG GROUP OFFICERS                                          | 2        |
| 1.6      |          | SANCTION STRENGTH OF DGA (INFRASTRUCTURE) NEW DELHI                                     | 4        |
| 1.7      |          | CADRE CONTROL                                                                           | 6        |
| 1.8      |          | EXTENT OF POWERS/COMPOSITION OF STAFF                                                   | 6        |
| 1.9      |          | DELEGATION OF FINANCIAL POWER                                                           | 9        |
| 1.10     |          | CONTROL                                                                                 | 9        |
| 1.11     |          | CHANGE IN STAFF                                                                         | 9        |
| 1.12     |          | ROTATION OF PERSONNEL IN VARIOUS WINGS                                                  | 10       |
| 1.13     |          | GRIEVANCES REGARDING TRANSFER AND POSTING                                               | 10       |
| 1.14     |          | CATEGORIES OF STAFF AND THEIR DUTIES                                                    | 10       |
|          | 1.14.1   | PERSONNEL                                                                               | 10       |
|          | 1.14.2   | DUTIES OF OFFICIALS/ OFFICERS OF CO-ORDINATION SECTION                                  | 10       |
|          | 1.14.3   | DUTIES OF MEMBERS OF FIELD AUDIT PARTY                                                  | 10       |
|          |          | <b>CHAPTER II</b>                                                                       |          |
|          |          | <b>GENERAL OFFICE PROCEDURE AND SYSTEM OF CORRESPONDENCE</b>                            | 11-33    |
|          |          | <b>SECTION-A GENERAL OFFICE PROCEDURE</b>                                               |          |
| 2.1      |          | GENERAL INSTRUCTIONS FOR ATTENDANCE                                                     | 11       |

|      |  |                                                                                            |    |
|------|--|--------------------------------------------------------------------------------------------|----|
| 2.2  |  | PUNCTUALITY IN ATTENDING OFFICE AND PENALTY FOR LATE ATTENDANCE                            | 11 |
| 2.3  |  | SANITATION AND CLEANLINESS OF THE OFFICE                                                   | 13 |
| 2.4  |  | TIDINESS AND CLEANLINESS OF OFFICE MTS ETC                                                 | 13 |
| 2.5  |  | GENERAL WATCH AND CARE OF THE OFFICE BUILDING                                              | 13 |
| 2.6  |  | STAFF CAR DRIVER                                                                           | 14 |
| 2.7  |  | ACTION FOR LEAVING OFFICE EARLY WITHOUT PERMISSION                                         | 14 |
| 2.8  |  | ACTION FOR LATE COMING WHEN NO CASUAL LEAVE IS AT CREDIT                                   | 14 |
| 2.9  |  | HALF A DAY'S CASUAL LEAVE                                                                  | 15 |
| 2.10 |  | COMBINATION OF CASUAL LEAVE WITH REGULAR LEAVE                                             | 15 |
| 2.11 |  | OBSERVANCE OF PROPER DECORUM DURING THE LUNCH BREAK                                        | 15 |
| 2.12 |  | ARRANGEMENT TO KEEP THE OFFICE OPEN ON HOLIDAYS AND OUT OF OFFICE HOURS                    | 16 |
| 2.13 |  | TIDINESS, CLEANLINESS AND INSPECTION OF OFFICE ROOMS                                       | 16 |
| 2.14 |  | ADMISSION OF OUTSIDERS                                                                     | 16 |
| 2.15 |  | ADMITTANCE TO GENERAL DEPARTMENT RECORD ROOMS, PERSONAL CLAIMS AND ADMINISTRATION SECTIONS | 16 |
| 2.16 |  | OFFICE ORDERS                                                                              | 17 |
| 2.17 |  | DIARISING OF OFFICE ORDERS                                                                 | 17 |
| 2.18 |  | GUARD FILES OF OFFICE ORDERS                                                               | 17 |
| 2.19 |  | INCORPORATION OF OFFICE ORDERS IN MANUALS                                                  | 17 |
| 2.20 |  | DEPARTMENTAL ORDER BOOK                                                                    | 17 |
| 2.21 |  | NOTE BOOK OF ASSISTANT SUPERVISORS/ SENIOR AUDITORS/AUDITORS                               | 18 |
| 2.22 |  | GENERAL DUTIES OF SECTION INCHARGE / ASST. AUDIT OFFICER                                   | 18 |
| 2.23 |  | TAKING WORK HOME                                                                           | 19 |
| 2.24 |  | RESPONSIBILITIES ON TAKING AND MAKING OVER CHARGES                                         | 19 |
| 2.25 |  | GENERAL INSTRUCTIONS ON ADMINISTRATIVE AND OTHER MATTERS                                   | 20 |
| 2.26 |  | STRICT OBSERVANCE OF PROCEDURE PRESCRIBED IN THE OFFICE MANUALS                            | 20 |
| 2.27 |  | OLD PRACTICE AND PROCEDURE                                                                 | 20 |
| 2.28 |  | PERSONAL INTERVIEWS WITH THE PRINCIPAL DIRECTOR / DIRECTOR GENERAL                         | 21 |

|      |  |                                                                                                                                               |    |
|------|--|-----------------------------------------------------------------------------------------------------------------------------------------------|----|
|      |  | <b>SECTION B- SYSTEM OF CORRESPONDENCE</b>                                                                                                    |    |
| 2.29 |  | FORMS OF CORRESPONDENCE                                                                                                                       | 21 |
| 2.30 |  | RECEIPT OF LETTERS AND OTHER DOCUMENTS AND OPENING OF DAK                                                                                     | 21 |
| 2.31 |  | DIARISING OF INWARD LETTERS AND OTHER DOCUMENTS                                                                                               | 21 |
| 2.32 |  | DISPATCH NUMBER                                                                                                                               | 21 |
| 2.33 |  | PROMPT DISPOSAL OF LETTERS RECEIVED FROM COMPTROLLER AND AUDITOR GENERAL AND GOVERNMENT OF INDIA, MINISTRY OF FINANCE OR MARKED “VERY URGENT” | 22 |
| 2.34 |  | RESPONSIBILITY FOR THE DISPOSAL OF URGENT LETTERS                                                                                             | 22 |
| 2.35 |  | UNSIGNED, INCOMPLETE AND MISSENT LETTERS                                                                                                      | 22 |
| 2.36 |  | LETTERS FOR TRANSMISSION TO OTHER OFFICE                                                                                                      | 22 |
| 2.37 |  | DISPOSAL OF INWARD CORRESPONDENCE                                                                                                             | 23 |
| 2.38 |  | PRELIMINARY STAGES IN DISPOSAL                                                                                                                | 23 |
| 2.39 |  | TREATMENT OF INWARD LETTERS ON WHICH INTERMEDIATE ACTION IS REQUIRED BEFORE FINAL DISPOSAL                                                    | 23 |
| 2.40 |  | COLLECTION OF INFORMATION FROM OTHER SECTION                                                                                                  | 23 |
| 2.41 |  | METHOD OF WRITING OFFICE NOTES                                                                                                                | 23 |
| 2.42 |  | MODIFIED LOGO OF THE CAG’S ORGANIZATION                                                                                                       | 24 |
| 2.43 |  | EXCEPTION                                                                                                                                     | 24 |
| 2.44 |  | PLACE OF DISPLAY                                                                                                                              | 24 |
| 2.45 |  | NO SEPARATE COLOUR SCHEME IS PROPOSED FOR THE HEADQUARTERS AND THE FIELD OFFICES                                                              | 24 |
| 2.46 |  | FILING OF LETTERS FROM COMPTROLLER AND AUDITOR GENERAL OR GOVERNMENT OF INDIA                                                                 | 25 |
| 2.47 |  | RECORD OF IMPORTANT CIRCULARS ISSUED BY THE COMPTROLLER AND AUDITOR GENERAL                                                                   | 25 |
| 2.48 |  | CORRECTION TO MANUALS ON ORDERS OF THE GOVERNMENT OF INDIA ETC.                                                                               | 25 |
| 2.49 |  | DEMI-OFFICIAL AND OTHER CORRESPONDENCE ADDRESSED TO THE PRINCIPAL DIRECTOR /DIRECTOR GENERAL                                                  | 25 |
| 2.50 |  | INTERIM REPLIES                                                                                                                               | 26 |

|      |        |                                                                                                                                                                          |    |
|------|--------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|
| 2.51 |        | TOP SECRET AND SECRET DOCUMENTS                                                                                                                                          | 26 |
| 2.52 |        | DISPATCH OF PAPERS BY POST                                                                                                                                               | 26 |
| 2.53 |        | FORM OF ADDRESS                                                                                                                                                          | 26 |
| 2.54 |        | MODE OF ADDRESSING                                                                                                                                                       | 26 |
| 2.55 |        | RESPONSIBILITY FOR FACTS AND FIGURES                                                                                                                                     | 27 |
| 2.56 |        | ASSISTANT AUDIT OFFICERS/SUPERVISORS<br>RESPONSIBILITY FOR DRAFTS WRITTEN BY<br>BRANCH OFFICERS                                                                          | 27 |
|      |        | <b>SECTION C - METHOD OF PUTTING<br/>FILES/PAPERS TO THE PRINCIPAL DIRECTOR<br/>/DIRECTOR GENERAL/GROUP OFFICERS/<br/>BRANCH OFFICER AND DISPATCH OF LETTER,<br/>ETC</b> |    |
| 2.57 |        | GENERAL PROCEDURE                                                                                                                                                        | 27 |
|      | 2.57.1 | ARRANGEMENT OF PAPERS                                                                                                                                                    | 27 |
|      | 2.57.2 | REFERENCING GENERAL PROCEDURE                                                                                                                                            | 28 |
|      | 2.57.3 | NEED FOR PAGE REFERENCING                                                                                                                                                | 28 |
|      | 2.57.4 | LABELLING                                                                                                                                                                | 28 |
|      | 2.57.5 | OFFICE NOTE                                                                                                                                                              | 28 |
|      | 2.57.6 | DISPATCH OF VALUABLE DOCUMENTS                                                                                                                                           | 28 |
| 2.58 |        | COMMUNICATION OF DECISIONS                                                                                                                                               | 29 |
| 2.59 |        | SIGNATURES OF DOCUMENTS                                                                                                                                                  | 29 |
| 2.60 |        | REPORT ON OUTSTANDING INWARD<br>LETTERS                                                                                                                                  | 29 |
| 2.61 |        | PROCEDURE TO DEAL WITH QUESTIONS IN<br>THE PARLIAMENT OR STATE LEGISLATURE                                                                                               | 30 |
| 2.62 |        | OUTSTANDING PERIOD OF LETTERS AND<br>OTHER DOCUMENTS RECEIVED FROM<br>ANOTHER SECTION                                                                                    | 30 |
| 2.63 |        | DISPOSAL OF PENDING CASES                                                                                                                                                | 30 |
| 2.64 |        | TRANSFER OF PAPERS FROM ONE SECTION<br>TO ANOTHER                                                                                                                        | 30 |
| 2.65 |        | TRANSFER REGISTER OF LETTERS                                                                                                                                             | 31 |
| 2.66 |        | PROMPT RECEIPT OF PAPERS TRANSFERRED                                                                                                                                     | 31 |
| 2.67 |        | REMINDERS TO OUTWARD<br>CORRESPONDENCE                                                                                                                                   | 31 |
| 2.68 |        | COMPOSITION OF FILES                                                                                                                                                     | 31 |
| 2.69 |        | FILE HEADING                                                                                                                                                             | 32 |
| 2.70 |        | NUMBER OF FILES                                                                                                                                                          | 32 |
| 2.71 |        | SEPARATION OF NOTES FROM<br>CORRESPONDENCE                                                                                                                               | 32 |

|      |  |                                                                                                                                                                                                        |       |
|------|--|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 2.72 |  | NUMBERING OF PAGES                                                                                                                                                                                     | 32    |
| 2.73 |  | "KEEP WITH" CASE                                                                                                                                                                                       | 32    |
| 2.74 |  | CLOSING OF A FILE                                                                                                                                                                                      | 32    |
| 2.75 |  | DESTRUCTION OF FILES                                                                                                                                                                                   | 33    |
|      |  | <b>CHAPTER III</b>                                                                                                                                                                                     |       |
|      |  | <b>DISCIPLINE</b>                                                                                                                                                                                      | 34-44 |
| 3.1  |  | ABSENCE DURING OFFICE HOURS                                                                                                                                                                            | 34    |
| 3.2  |  | LUNCH RECESS                                                                                                                                                                                           | 34    |
| 3.3  |  | SMOKING IN OFFICE                                                                                                                                                                                      | 34    |
| 3.4  |  | SPITTING                                                                                                                                                                                               | 34    |
| 3.5  |  | GOSSIPING AND LOITERING IN THE CORRIDORS                                                                                                                                                               | 34    |
| 3.6  |  | CENTRAL CIVIL SERVICES (CONDUCT) RULES, 1964                                                                                                                                                           | 34    |
| 3.7  |  | STRICT OBSERVATION OF PROVISIONS RELATING TO CONSUMPTION OF INTOXICATING DRINKS AND DRUGS                                                                                                              | 35    |
| 3.8  |  | TAKING PART IN POLITICS AND ELECTIONS                                                                                                                                                                  | 35    |
| 3.9  |  | STRIKE/REFUSAL TO WORK/ PARTICIPATION IN "GHERAO"                                                                                                                                                      | 36    |
| 3.10 |  | TREATMENT OF UNAUTHORISED ABSENCE OF CENTRAL GOVERNMENT EMPLOYEES FOR PARTICIPATION IN DEMONSTRATIONS ON WORKING DAYS                                                                                  | 36    |
| 3.11 |  | GUIDELINES FOR DEALING WITH A SITUATION WHERE EMPLOYEES RESORT TO VARIOUS AGITATIONAL METHODS VIZ. WALK OUTS, NON CO-OPERATION, INDEFINITE FAST, MASS TELEPHONIC CALL ETC. TO REDRESS THEIR GRIEVANCES | 37    |
| 3.12 |  | MARRIAGE                                                                                                                                                                                               | 38    |
| 3.13 |  | PLURAL MARRIAGES                                                                                                                                                                                       | 38    |
| 3.14 |  | ACCEPTANCE OF DOWRY BY GOVERNMENT SERVANT                                                                                                                                                              | 39    |
| 3.15 |  | PROCEDURE TO BE FOLLOWED FOR OBTAINING THE PERMISSION OF THE GOVERNMENT TO REMARRY WHILE FIRST WIFE IS LIVING                                                                                          | 40    |
| 3.16 |  | INFORMATION TO NON-OFFICIALS                                                                                                                                                                           | 40    |
| 3.17 |  | SUPPLY OF COPIES OF DOCUMENTS RELATING TO PERSONAL MATTERS OF GOVERNMENT SERVANTS TO NON-OFFICIALS                                                                                                     | 40    |

|      |  |                                                                                                                                                                                                                                                                                                      |       |
|------|--|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 3.18 |  | APPROACH TO MEMBERS OF LEGISLATURE                                                                                                                                                                                                                                                                   | 40    |
| 3.19 |  | ADDRESSING A MEMBER OF THE UNION<br>PUBLIC SERVICE COMMISSION                                                                                                                                                                                                                                        | 41    |
| 3.20 |  | FURNISHING INFORMATION TO MEMBERS<br>OF PARLIAMENT OR LEGISLATURE                                                                                                                                                                                                                                    | 41    |
| 3.21 |  | OBSERVANCE OF COURTESIES BY OFFICERS<br>OF THE GOVERNMENT OF INDIA IN THEIR<br>DEALING WITH MEMBERS OF PARLIAMENT                                                                                                                                                                                    | 41    |
| 3.22 |  | ACCEPTANCE OF PART TIME EMPLOYMENT<br>BY GOVERNMENT SERVANTS AFTER OFFICE<br>HOURS                                                                                                                                                                                                                   | 41    |
| 3.23 |  | GOVERNMENT SERVANTS ACTING AS<br>CORRESPONDENT OF NEWSPAPERS AND<br>JOURNALS                                                                                                                                                                                                                         | 42    |
| 3.24 |  | ACQUISITION/ DISPOSAL OF MOVABLE,<br>IMMOVABLE AND VALUABLE PROPERTY                                                                                                                                                                                                                                 | 42    |
| 3.25 |  | QUESTION WHETHER A CHARGE OF<br>CORRUPTION SHOULD BE HELD PROVED, IN<br>CASE THE OFFICER CONCERNED IS UNABLE<br>TO ACCOUNT SATISFACTORILY POSSESSION<br>BY HIMSELF OR BY ANY OTHER PERSONS ON<br>HIS BEHALF OR PECUNIARY RESOURCES OF<br>PROPERTY DISPROPORTIONATE TO HIS<br>KNOWN SOURCES OF INCOME | 42    |
| 3.26 |  | PUBLIC DEMONSTRATION IN HONOUR OF<br>GOVERNMENT SERVANT                                                                                                                                                                                                                                              | 43    |
| 3.27 |  | SECURITY FOR LOANS FROM CO-OPERATIVE<br>CREDIT SOCIETIES                                                                                                                                                                                                                                             | 43    |
| 3.28 |  | INDEBTNESS AND INSOLVENCY                                                                                                                                                                                                                                                                            | 43    |
| 3.29 |  | INDEBTNESS OF INDIAN AUDIT AND<br>ACCOUNT SERVICE OFFICER                                                                                                                                                                                                                                            | 43    |
| 3.30 |  | MISCONDUCT OF ASSISTANT SUPERVISOR/<br>SENIOR AUDITORS/AUDITORS/<br>CLERKS/DEO/MTS                                                                                                                                                                                                                   | 44    |
| 3.31 |  | DISMISSAL FOR INCOMPETENCE AND<br>MISCONDUCT                                                                                                                                                                                                                                                         | 44    |
|      |  | <b>CHAPTER IV</b>                                                                                                                                                                                                                                                                                    |       |
|      |  | <b>SECTION A</b>                                                                                                                                                                                                                                                                                     | 45-51 |
| 4.1  |  | PETITIONS AND MEMORIALS                                                                                                                                                                                                                                                                              | 45    |
| 4.2  |  | MEMORIALS TO THE PRESIDENT AND OTHER<br>AUTHORITIES                                                                                                                                                                                                                                                  | 45    |
| 4.3  |  | MEMORIALS TO THE COMPTROLLER AND<br>AUDITOR GENERAL                                                                                                                                                                                                                                                  | 45    |
| 4.4  |  | REPRESENTATION FROM GOVERNMENT<br>SERVANTS ON SERVICE MATTERS-<br>ADVANCE COPIES                                                                                                                                                                                                                     | 45    |
| 4.5  |  | REPRESENTATIONS ADDRESSED BY NAME<br>TO THE COMPTROLLER AND AUDITOR<br>GENERAL                                                                                                                                                                                                                       | 46    |

|      |  |                                                                                                                                             |       |
|------|--|---------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 4.6  |  | WITHHOLDING OF APPEALS                                                                                                                      | 46    |
| 4.7  |  | APPEALS TO GOVERNMENT OF INDIA BY DISMISSED SERVANTS                                                                                        | 46    |
| 4.8  |  | REPRESENTATIONS                                                                                                                             | 46    |
| 4.9  |  | CUSTODY OF REPRESENTATIONS AND APPEALS                                                                                                      | 46    |
| 4.10 |  | GRANT OF HONORARIUM                                                                                                                         | 47    |
|      |  | <b>SECTION B</b>                                                                                                                            |       |
| 4.11 |  | PERMISSION TO APPLY FOR APPOINTMENTS OUTSIDE THE OFFICE                                                                                     | 47    |
| 4.12 |  | PRINCIPLES TO BE OBSERVED IN CONSIDERING THE QUESTION OF FORWARDING APPLICATIONS OF CENTRAL GOVERNMENT SERVANTS FOR EMPLOYMENT ELSEWHERE    | 47    |
| 4.13 |  | PROCEDURE FOR SUBMISSION OF APPLICATION BY SERVING EMPLOYEES IN RESPONSE TO ADVERTISEMENTS OF UPSC/SSC AND BANKING SERVICE RECRUITMENT ETC. | 48    |
| 4.14 |  | APPLICATIONS FROM EMPLOYEES AGAINST WHOM DISCIPLINARY CASES ARE PENDING                                                                     | 49    |
| 4.15 |  | MEDICAL PRACTICE                                                                                                                            | 49    |
| 4.16 |  | PERMISSION FOR APPEARING IN VARIOUS EXAMINATIONS                                                                                            | 49    |
| 4.17 |  | PERMISSION FOR PURSUING HIGHER EDUCATION                                                                                                    | 49    |
| 4.18 |  | COMMITTALS TO PRISON                                                                                                                        | 50    |
| 4.19 |  | PROCEDURE TO BE FOLLOWED FOR ALLEGED CRIMINAL MISCONDUCT OF GOVERNMENT SERVANTS                                                             | 50    |
| 4.20 |  | SPEEDY DISPOSAL OF DISCIPLINARY CASES                                                                                                       | 51    |
| 4.21 |  | SEEKING REDRESS IN COURTS OF LAW BY GOVERNMENT SERVANTS OF GRIEVANCES ARISING OUT OF THEIR EMPLOYMENT OR CONDITIONS OF SERVICE              | 51    |
|      |  | <b>CHAPTER – V</b>                                                                                                                          |       |
|      |  | <b>WRITING OF ANNUAL PERFORMANCE APPRAISAL REPORTS (APAR)</b>                                                                               | 52-69 |
| 5.1  |  | PREPARATION AND MAINTENANCE OF ANNUAL PERFORMANCE APPRAISAL REPORTS (APAR)                                                                  | 52    |
| 5.2  |  | IMPORTANCE OF ANNUAL PERFORMANCE ASSESSMENT REPORT                                                                                          | 52    |
| 5.3  |  | ANNUAL PERFORMANCE ASSESSMENT REPORT                                                                                                        | 52    |
| 5.4  |  | FORMAT                                                                                                                                      | 53    |

|      |  |                                                                                             |       |
|------|--|---------------------------------------------------------------------------------------------|-------|
| 5.5  |  | PERFORMANCE REPORT OF MTS STAFF                                                             | 53    |
| 5.6  |  | MAINTENANCE AND CUSTODY OF APAR                                                             | 54    |
| 5.7  |  | TIME SCHEDULE FOR PREPARATION AND COMPLETION OF APAR                                        | 54    |
| 5.8  |  | AUTHORITIES FOR WRITING PERFORMANCE REPORTS                                                 | 54    |
| 5.9  |  | SELF APPRAISAL                                                                              | 55    |
| 5.10 |  | GUIDELINES FOR REPORTING AUTHORITY                                                          | 56    |
| 5.11 |  | GUIDELINES FOR REVIEWING AUTHORITY                                                          | 57    |
| 5.12 |  | GUIDELINES FOR ACCEPTING AUTHORITY                                                          | 58    |
| 5.13 |  | NUMERICAL GRADING                                                                           | 58    |
| 5.14 |  | ASSESSMENT OF INTEGRITY                                                                     | 59    |
| 5.15 |  | DIFFERENCE IN ASSESSMENT                                                                    | 60    |
| 5.16 |  | MENTION OF WARNING/DISPLEASURE /REPRIMANDS IN ANNUAL PERFORMANCE ASSESSMENT REPORT          | 60    |
| 5.17 |  | PROPRIETY OF ISSUE OF LETTERS OF APPRECIATION OR NOTES OF COMMENDATION                      | 60    |
| 5.18 |  | PERIODICITY AND PART REPORTS                                                                | 61    |
| 5.19 |  | ISSUE OF NO REPORT CERTIFICATE (NRC /GAP SHEET)                                             | 62    |
| 5.20 |  | DISCLOSURE                                                                                  | 63    |
| 5.21 |  | REPRESENTATION                                                                              | 64    |
| 5.22 |  | TIMELY PREPARATION AND MAINTENANCE OF APAR                                                  | 65    |
| 5.23 |  | MAINTENANCE OF APARS OF OFFICIALS ON DEPUTATION                                             | 66    |
| 5.24 |  | WRITING OF APAR BY A RELATIVE                                                               | 66    |
| 5.25 |  | WRITING OF APARS BY OFFICERS UNDER SUSPENSION                                               | 67    |
| 5.26 |  | WRITING OF APARS AFTER RETIREMENT                                                           | 67    |
| 5.27 |  | APARS OF RETIRED AND DECEASED OFFICERS AND THEIR DISPOSAL                                   | 67    |
| 5.28 |  | GUIDELINES FOR THE CUSTODIAN                                                                | 68    |
| 5.29 |  | FORWARDING OF APARS TO PRIVATE/AUTONOMOUS BODIES ETC.                                       | 68    |
| 5.30 |  | SPARROW                                                                                     | 68    |
| 5.31 |  | INTERPRETATION                                                                              | 68    |
|      |  | <b>CHAPTER VI</b>                                                                           |       |
|      |  | <b>CONSTITUTION OF ADMINISTRATION COORDINATION/ ITA/ REPORT SECTION / RAJBHASHA ANUBHAG</b> | 70-87 |
| 6.   |  | ADMINISTRATION                                                                              | 70    |

|      |       |                                                                                                                           |       |
|------|-------|---------------------------------------------------------------------------------------------------------------------------|-------|
| 6.1  |       | ADMINISTRATION SECTION-I                                                                                                  | 70    |
|      | 6.1.1 | CONFIDENTIAL CELL                                                                                                         | 70    |
|      | 6.1.2 | CALENDAR OF EXAMINATION                                                                                                   | 71    |
|      | 6.1.3 | SYLLABUS / ELIGIBILITY OF DEPARTMENTAL EXAMINATION                                                                        | 72    |
| 6.2  |       | ADMINISTRATION SECTION-II                                                                                                 | 72    |
|      | 6.2.1 | TRAVELING ALLOWANCE ON TOUR / TRANSFER                                                                                    | 72    |
|      | 6.2.2 | COMBINATION OF CASUAL LEAVE WITH TOUR                                                                                     | 74    |
|      | 6.2.3 | TA TO CENTRAL GOVERNMENT SERVANTS ON RETIREMENT SETTLEMENT AT STATION OTHER THAN LAST STATION OF DUTY                     | 74    |
|      | 6.2.4 | TA RATES REVISION OF RATES OF ROAD MILEAGE ALLOWANCE FOR JOURNEY BY TAXI/OWN CAR AND MOTORCYCLE/SCOOTER/AUTO RICKSHAW ETC | 75    |
|      | 6.2.5 | LEAVE TRAVEL CONCESSION (LTC)                                                                                             | 76    |
|      | 6.2.6 | REIMBURSEMENT OF MEDICAL EXPENSES                                                                                         | 80    |
| 6.3  |       | ADMINISTRATION SECTION-III                                                                                                | 81    |
|      | 6.3.1 | PROCUREMENT OF GOODS AND SERVICES                                                                                         | 81    |
|      | 6.3.2 | GOVERNMENT E-MARKETPLACE (GEM)                                                                                            | 81    |
|      | 6.3.3 | REGISTRATION OF SUPPLIERS                                                                                                 | 82    |
|      | 6.3.4 | PURCHASE OF GOODS BY PURCHASE COMMITTEE (GFR RULE 155)                                                                    | 83    |
| 6.4  |       | ADMINISTRATION SECTION-IV                                                                                                 | 84    |
| 6.5  |       | RAJBHASHA ANUBHAG                                                                                                         | 85    |
| 6.6  |       | DIRECTOR GENERAL / PRINCIPAL DIRECTOR'S SECRETARIAT                                                                       | 85    |
| 6.7  |       | DIRECTOR / DY. DIRECTOR SECRETARIAT                                                                                       | 85    |
| 6.8  |       | INTERNAL TEST AUDIT SECTION (ITA SECTION)                                                                                 | 85    |
| 6.9  |       | REPORT -I SECTION (COMMERCIAL)                                                                                            | 87    |
| 6.10 |       | REPORT -II SECTION (CIVIL)                                                                                                | 87    |
|      |       | <b>CHAPTER – VII</b>                                                                                                      |       |
|      |       | <b>MATTERS RELATING TO GAZETTED OFFICERS</b>                                                                              | 88-92 |
| 7.1  |       | GENERAL                                                                                                                   | 88    |
| 7.2  |       | RECRUITMENT                                                                                                               | 88    |
| 7.3  |       | APPOINTMENT IN SENIOR AUDIT OFFICER'S CADRE                                                                               | 88    |
| 7.4  |       | OFFICIATING PROMOTIONS AGAINST GENERAL LIST VACANCIES                                                                     | 88    |

|      |  |                                                                                                                                       |        |
|------|--|---------------------------------------------------------------------------------------------------------------------------------------|--------|
| 7.5  |  | TRANSFER OF CHARGE BY I.A. & A.S. OFFICERS                                                                                            | 88     |
| 7.6  |  | PROCEDURE OF TRANSFER OF CHARGE                                                                                                       | 89     |
| 7.7  |  | SUPERANNUATION AND RETIREMENT                                                                                                         | 89     |
| 7.8  |  | ACCEPTANCE OF GIFTS BY OFFICERS ON THE OCCASION OF THEIR RETIREMENT/TRANSFER                                                          | 89     |
| 7.9  |  | BROADCAST TALK                                                                                                                        | 90     |
| 7.10 |  | REPORT ON THE DEATH OF GAZETTED OFFICER                                                                                               | 90     |
| 7.11 |  | PRIVATE WORK                                                                                                                          | 90     |
| 7.12 |  | DECLARATION REGARDING IMMOVABLE PROPERTY                                                                                              | 90     |
| 7.13 |  | CLASSIFIED LIST OF GROUP “A” OFFICERS IN AUDIT & ACCOUNTS DEPARTMENT                                                                  | 90     |
| 7.14 |  | COMMUNICATION OR REQUESTS MADE TO THE COMPTROLLER AND AUDITOR GENERAL DEMIOFFICIALLY BY OFFICERS BELONGING TO THE IA&AD               | 91     |
| 7.15 |  | EMPLOYMENT OF SONS AND NEAR RELATIONS OF OFFICERS OF THE GOVERNMENT OF INDIA IN PRIVATE FIRMS WHICH ENJOY GOVERNMENT PATRONAGE        | 91     |
| 7.16 |  | COMMERCIAL EMPLOYMENT AFTER RETIREMENT BY GROUP “A” OFFICERS                                                                          | 92     |
|      |  | <b><u>CHAPTER –VIII</u></b>                                                                                                           |        |
|      |  | <b>RECRUITMENT, PROMOTIONS, TRANSFERS &amp; SENIORITY</b>                                                                             | 93-111 |
|      |  | <b>SECTION- A</b>                                                                                                                     |        |
| 8.1  |  | APPOINTING AUTHORITY                                                                                                                  | 93     |
| 8.2  |  | COMPETENT AUTHORITY FOR SIGNING THE APPOINTMENT ORDER                                                                                 | 93     |
| 8.3  |  | RECRUITMENT OF AUDITORS/CLERKS/JUNIOR TRANSLATOR /STENOGRAPHERS/DEO/MTS IN IA&AD                                                      | 93     |
| 8.4  |  | GUIDELINES FOR MUTUAL TRANSFER IN GROUP B AND C CADRES IN IA&AD                                                                       | 94     |
| 8.5  |  | PROCEDURE TO BE FOLLOWED IN THE MATTER OF COMPASSIONATE APPOINTMENTS OF SON/ DAUGHTER/ NEAR RELATIVE OF DECEASED GOVERNMENT EMPLOYEES | 94     |
| 8.6  |  | RESERVATION VACANCIES FOR THE PHYSICALLY HANDICAPPED PERSONS IN GROUP 'C' UNDER THE CENTRAL GOVERNMENT                                | 95     |
| 8.7  |  | JOBS IN GROUP ‘B’ AND ‘C’ SUITABLE FOR                                                                                                | 95     |

|      |  |                                                                                                             |     |
|------|--|-------------------------------------------------------------------------------------------------------------|-----|
|      |  | THE PHYSICALLY HANDICAPPED CATEGORY OF HANDICAP OCCUPATIONAL GROUPS (AVAILABLE IN OUR DEPT.)                |     |
| 8.8  |  | EXTENSION OF TIME LIMIT FOR JOINING DUTY FOR NEW RECRUITS                                                   | 97  |
| 8.9  |  | OATH OF ALLEGIANCE                                                                                          | 97  |
| 8.10 |  | VERIFICATION OF CHARACTER AND ANTECEDENT OF GOVERNMENT SERVANT APPOINTMENT                                  | 97  |
| 8.11 |  | CERTIFICATE OF PROOF IN RESPECT OF SCHEDULED CASTE/ SCHEDULED TRIBES/ OBC                                   | 97  |
| 8.12 |  | PRODUCTION OF MEDICAL CERTIFICATE OF FITNESS AT THE TIME OF FIRST APPOINTMENT                               | 98  |
| 8.13 |  | APPROPRIATE MEDICAL AUTHORITY FOR CONDUCTING MEDICAL EXAMINATION                                            | 99  |
| 8.14 |  | POWER TO DISPENSE WITH A MEDICAL CERTIFICATE OF FITNESS                                                     | 99  |
| 8.15 |  | RE-EXAMINATION BY MEDICAL AUTHORITIES                                                                       | 99  |
| 8.16 |  | COMMUNICATIONS OF GROUNDS OF REJECTION TO PERSONS FOUND UNFIT BY INDIVIDUAL MEDICAL OFFICERS/MEDICAL BOARDS | 100 |
| 8.17 |  | PROCEDURE FOR SENDING PERSONS FOR MEDICAL EXAMINATION                                                       | 100 |
| 8.18 |  | PRECAUTIONS TO PREVENT THE POSSIBILITY OF EMPLOYMENT OF PERSONS PREVIOUSLY DECLARED AS MEDICALLY UNFIT      | 100 |
| 8.19 |  | RECORD OF HEALTH CERTIFICATES IN THE SERVICE BOOKS                                                          | 100 |
| 8.20 |  | PROOF OF AGE IN RESPECT OF EMPLOYEES                                                                        | 101 |
| 8.21 |  | ALTERATION IN THE DATE OF BIRTH                                                                             | 101 |
| 8.22 |  | RECORDING OF EDUCATIONAL QUALIFICATIONS IN THE SERVICE BOOK                                                 | 101 |
|      |  | <b>SECTION B</b>                                                                                            |     |
|      |  | <b>PROMOTION</b>                                                                                            |     |
| 8.23 |  | GENERAL                                                                                                     | 101 |
| 8.24 |  | PROMOTION TO THE POST OF SUPERVISOR (AUDIT)                                                                 | 101 |
| 8.25 |  | PROMOTION TO THE POST OF ASSISTANT SUPERVISOR(AUDIT)                                                        | 102 |
| 8.26 |  | PROMOTION OF AUDITORS TO THE CADRE OF SENIOR AUDITORS                                                       | 102 |
| 8.27 |  | PROMOTION OF AUDITORS AS SENIOR AUDITOR CASES OF MUTUAL TRANSFEREES                                         | 102 |

|      |  |                                                                                                                                                        |     |
|------|--|--------------------------------------------------------------------------------------------------------------------------------------------------------|-----|
| 8.28 |  | PROMOTION TO THE POST OF AUDITOR                                                                                                                       | 102 |
| 8.29 |  | PROMOTION TO THE POST OF DATA ENTRY OPERATOR GRADE-D                                                                                                   | 103 |
| 8.30 |  | PROMOTION TO THE POST OF DATA ENTRY OPERATOR GRADE-B                                                                                                   | 103 |
| 8.31 |  | PROMOTION TO THE POST OF DATA ENTRY OPERATOR GRADE-A                                                                                                   | 103 |
| 8.32 |  | PROMOTION TO THE POST OF CLERK                                                                                                                         | 103 |
| 8.33 |  | ASSISTANT DIRECTOR (OFFICIAL LANGUAGE)                                                                                                                 | 104 |
| 8.34 |  | PROMOTION TO THE POST OF SENIOR PRIVATE SECRETARY                                                                                                      | 104 |
| 8.35 |  | PROMOTION TO THE POST OF PRIVATE SECRETARY                                                                                                             | 104 |
| 8.36 |  | JR. TRANSLATOR                                                                                                                                         | 104 |
| 8.37 |  | PROMOTION TO THE POST OF STENOGRAPHER GRADE-I (PA)                                                                                                     | 104 |
| 8.38 |  | PROMOTION TO THE POST OF STENOGRAPHER GRADE-II (STENOGRAPHER)                                                                                          | 104 |
| 8.39 |  | TIMELINE FOR CONDUCTING DEPARTMENTAL PROMOTION COMMITTEES (DPC)                                                                                        | 105 |
| 8.40 |  | RESERVATION FOR SC AND ST IN POSTS FILLED BY PROMOTION                                                                                                 | 105 |
| 8.41 |  | PROCEDURE TO BE FOLLOWED BY DEPARTMENTAL PROMOTION COMMITTEES IN THE CASE OF OFFICERS UNDER SUSPENSION AND OFFICERS AGAINST WHOM ENQUIRIES ARE PENDING | 106 |
| 8.42 |  | CONSOLIDATED INSTRUCTION ON SUSPENSION                                                                                                                 | 107 |
| 8.43 |  | POLICY TO BE FOLLOWED IN CASES WHERE PERSONS REFUSE PROMOTION TO A HIGHER GRADE                                                                        | 107 |
|      |  | <b>SECTION C</b>                                                                                                                                       |     |
| 8.44 |  | DEPUTATION OF STAFF WITHIN IA & AD                                                                                                                     | 107 |
| 8.45 |  | DEPUTATION OF NON- IA&AS OFFICERS OUTSIDE IA&AD                                                                                                        | 109 |
|      |  | <b>SECTION D</b>                                                                                                                                       |     |
| 8.46 |  | CONDITIONS OF TRANSFER ON DEPUTATION TO OTHER DEPARTMENT OR GOVERNMENT                                                                                 | 110 |
| 8.47 |  | TECHNICAL RESIGNATION AND LIEN                                                                                                                         | 110 |
|      |  | <b>SECTION E</b>                                                                                                                                       |     |
| 8.48 |  | REVERSION OR DISCHARGE ON FAILURE TO PASS THE DEPARTMENTAL EXAMINATION                                                                                 | 110 |

|      |        |                                                                                                                                                   |         |
|------|--------|---------------------------------------------------------------------------------------------------------------------------------------------------|---------|
| 8.49 |        | PROMOTED CLERKS REQUIRED TO PASS THE DEPARTMENTAL TEST                                                                                            | 110     |
| 8.50 |        | CONDONATION OF DEFICIENCY IN SERVICE                                                                                                              | 110     |
|      |        | <b>SECTION F</b>                                                                                                                                  |         |
| 8.51 |        | SENIORITY OF AUDITORS/CLERKS ON APPOINTMENT                                                                                                       | 111     |
| 8.52 |        | SENIORITY OF SR. AO (COMMERCIAL) AND AAO (COMMERCIAL)                                                                                             | 111     |
| 8.53 |        | SENIORITY OF SR. AO (CIVIL ) AND AAO( CIVIL )                                                                                                     | 111     |
|      |        | <b>CHAPTER IX</b>                                                                                                                                 |         |
|      |        | <b>LEAVE</b>                                                                                                                                      | 112-139 |
| 9.1  |        | GENERAL                                                                                                                                           | 112     |
| 9.2  |        | CASUAL LEAVE                                                                                                                                      | 113     |
| 9.3  |        | GRANT OF HALF A DAY'S CASUAL LEAVE                                                                                                                | 114     |
| 9.4  |        | PERMISSION TO LEAVE HEADQUARTERS                                                                                                                  | 115     |
| 9.5  |        | COMPENSATORY LEAVE                                                                                                                                | 115     |
| 9.6  |        | SPECIAL CASUAL LEAVE                                                                                                                              | 116     |
|      | 9.6.1  | FOR PARTICIPATION IN SPORTS AND CULTURAL ACTIVITIES                                                                                               | 116     |
|      | 9.6.2  | FOR MOUNTAINEERING EXPEDITIONS                                                                                                                    | 116     |
|      | 9.6.3  | FOR FAMILY PLANNING PURPOSES                                                                                                                      | 117     |
|      | 9.6.4  | TO MALE EMPLOYEES WHOSE WIVES UNDERGO TUBECTOMY OPERATION                                                                                         | 117     |
|      | 9.6.5  | IN CASES OF POST STERILISATION OPERATION COMPLICATIONS                                                                                            | 118     |
|      | 9.6.6  | IN CASES OF UNDERGOING RECANALISATION OPERATION                                                                                                   | 118     |
|      | 9.6.7  | FOR EX-SERVICEMEN                                                                                                                                 | 118     |
|      | 9.6.8  | FOR UNION/ASSOCIATION ACTIVITIES                                                                                                                  | 119     |
|      | 9.6.9  | FOR UNION OFFICE BEARERS                                                                                                                          | 119     |
|      | 9.6.10 | IN CASES OF INTERVIEWS ETC. FOR INDIAN NAVAL RESERVE/ INDIAN NAVAL VOLUNTEER RESERVE                                                              | 119     |
|      | 9.6.11 | FOR TERRITORIAL ARMY ETC                                                                                                                          | 120     |
|      | 9.6.12 | FOR ATTENDING COMPETITIVE EXAMINATION                                                                                                             | 120     |
|      | 9.6.13 | FOR APPEARING IN THE PROFICIENCY TEST CONDUCTED BY SUBORDINATE SERVICE COMMISSION FOR GRANT OF ADVANCE INCREMENTS TO STENOGRAPHERS (ORDY.) GRADE) | 120     |
|      | 9.6.14 | FOR WORK CONNECTED WITH COOPERATIVE SOCIETIES                                                                                                     | 120     |

|      |        |                                                                                      |     |
|------|--------|--------------------------------------------------------------------------------------|-----|
|      | 9.6.15 | FOR CASTING VOTE IN GENERAL ELECTION                                                 | 121 |
|      | 9.6.16 | IN CASES OF NATURAL CALAMITIES, BUNDH ETC.                                           | 121 |
|      | 9.6.17 | FOR PARTICIPATING IN ACTIVITIES OF HINDI PARISHAD                                    | 122 |
|      | 9.6.18 | MISCELLANEOUS PURPOSES                                                               | 122 |
| 9.7  |        | COMBINING SPECIAL CASUAL LEAVE WITH REGULAR/CASUAL LEAVE                             | 123 |
| 9.8  |        | APPLICATION OF LEAVE RULES                                                           | 123 |
| 9.9  |        | PROCEDURE FOR APPLYING FOR LEAVE                                                     | 124 |
| 9.10 |        | PROCEDURE TO BE FOLLOWED IN DEALING WITH LEAVE APPLICATION                           | 124 |
| 9.11 |        | MAINTENANCE OF LEAVE ACCOUNTS                                                        | 126 |
| 9.12 |        | LEAVE TO PROBATIONER                                                                 | 126 |
| 9.13 |        | EARNED LEAVE                                                                         | 126 |
| 9.14 |        | COMMUTATION OF ONE KIND OF LEAVE INTO ANOTHER                                        | 127 |
| 9.15 |        | ENCASHMENT OF EARNED LEAVE                                                           | 127 |
| 9.16 |        | ELIGIBILITY IN CASES OF OFFICIALS ON LEAVE ON THE LAST DAY OF A PARTICULAR HALF YEAR | 128 |
| 9.17 |        | HALF PAY LEAVE                                                                       | 128 |
| 9.18 |        | COMMUTED LEAVE                                                                       | 129 |
| 9.19 |        | GRANT OF LEAVE ON MEDICAL CERTIFICATE                                                | 129 |
| 9.20 |        | SECOND MEDICAL OPINION                                                               | 130 |
| 9.21 |        | LEAVE NOT DUE                                                                        | 130 |
| 9.22 |        | EXTRAORDINARY LEAVE                                                                  | 131 |
| 9.23 |        | SUFFIX/PREFIX OF HOLIDAYS WITH LEAVE                                                 | 132 |
| 9.24 |        | MATERNITY LEAVE                                                                      | 132 |
| 9.25 |        | PATERNITY LEAVE                                                                      | 134 |
| 9.26 |        | LEAVE TO FEMALE GOVERNMENT SERVANTS ON ADOPTION OF CHILD                             | 135 |
| 9.27 |        | CHILD CARE LEAVE                                                                     | 135 |
| 9.28 |        | STAYING AWAY WITHOUT LEAVE                                                           | 136 |
| 9.29 |        | PENALTY FOR STAYING AWAY WITHOUT LEAVE                                               | 136 |
| 9.30 |        | ABSENCE AFTER EXPIRY OF LEAVE                                                        | 137 |
| 9.31 |        | EXTENSION OF LEAVE                                                                   | 137 |
| 9.32 |        | RESUMING DUTIES BEFORE LEAVE ENDS                                                    | 137 |
| 9.33 |        | FITNESS CERTIFICATE                                                                  | 137 |

|       |  |                                                                                               |         |
|-------|--|-----------------------------------------------------------------------------------------------|---------|
|       |  | <b>CHAPTER – X</b>                                                                            |         |
|       |  | <b>CASHIER / CASH DEPARTMENT</b>                                                              | 140-144 |
| 10.1  |  | DUTIES AND RESPONSIBILITIES OF CASHIER                                                        | 140     |
| 10.2  |  | IMPORTANT INSTRUCTIONS FOR THE GUIDANCE OF BRANCH OFFICER / SR. AUDIT OFFICER (CASH) DDO      | 141     |
| 10.3  |  | PHYSICAL VERIFICATION OF CASH                                                                 | 141     |
| 10.4  |  | SECURITY REQUIRED FROM THE CASHIER                                                            | 142     |
| 10.5  |  | FORM OF SECURITY BONDS                                                                        | 142     |
| 10.6  |  | ACCEPTANCE OF FIDELITY BONDS AS SECURITY DEPOSITS                                             | 142     |
| 10.7  |  | CASH HANDLING AND TREASURY ALLOWANCE                                                          | 143     |
| 10.8  |  | DUTIES OF CASHIER (REFERENCE TO IN PARA )                                                     | 143     |
|       |  | <b>CHAPTER- XI</b>                                                                            |         |
|       |  | <b>OTHER MATTERS RELATING TO OFFICERS/ STAFF</b>                                              | 145-152 |
| 11.1  |  | OPENING OF PERSONAL FILE AND SERVICE BOOKS SERVICE ROLLS                                      | 145     |
| 11.2  |  | ENTRY IN SERVICE BOOK OF PRODUCTION OF MEDICAL CERTIFICATE OF FITNESS ON FIRST APPOINTMENT    | 145     |
| 11.3  |  | PROCEDURES FOR CHANGE OF NAME BY GOVERNMENT SERVANT                                           | 145     |
| 11.4  |  | CHANGE OF RELIGION                                                                            | 146     |
| 11.5  |  | GRADATION LIST                                                                                | 146     |
| 11.6  |  | INSTRUCTIONS GOVERNING THE RETENTION OF NON-GAZETTED PERSONS AGED 55 AND OVER                 | 149     |
| 11.7  |  | RULES REGULATING THE AGE OF SUPERANNUATION AND CONDITIONS OF SERVICE                          | 150     |
| 11.8  |  | OFFICIATING APPOINTMENTS FOR SHORT PERIOD                                                     | 150     |
| 11.9  |  | RESIGNATIONS/ VOLUNTARY RETIREMENT                                                            | 151     |
| 11.10 |  | SETTLEMENT OF OUTSTANDING DUES AGAINST PERSONS WHO SUBMIT RESIGNATION                         | 152     |
| 11.11 |  | WITHDRAWAL OF THE IDENTITY CARD AND THE C.G.H.S. CARD ETC. FROM A RETIRING GOVERNMENT SERVANT | 152     |
|       |  | <b>CHAPTER – XII</b>                                                                          |         |
|       |  | <b>BUDGET</b>                                                                                 | 153-155 |

|      |  |                                                                                                                                |         |
|------|--|--------------------------------------------------------------------------------------------------------------------------------|---------|
| 12.1 |  | PREPARATION OF BUDGET ESTIMATES                                                                                                | 153     |
| 12.2 |  | DATE OF SUBMISSION OF BUDGET ESTIMATES                                                                                         | 153     |
| 12.3 |  | GENERAL INSTRUCTIONS REGARDING FRAMING OF ESTIMATES                                                                            | 153     |
| 12.4 |  | UNFORESEEN EXPENDITURE TO BE MET FROM SAVINGS ONLY                                                                             | 154     |
| 12.5 |  | ROUNDING OFF FIGURES IN BUDGET ESTIMATES                                                                                       | 154     |
| 12.6 |  | CONTROL OVER EXPENDITURE                                                                                                       | 154     |
| 12.7 |  | QUARTERLY RETURNS REGARDING ACTUAL EXPENDITURE                                                                                 | 155     |
|      |  | <b>CHAPTER XIII</b>                                                                                                            |         |
|      |  | <b>CALENDAR OF RETURNS</b>                                                                                                     | 156-168 |
| 13.1 |  | CALENDAR OF RETURNS (COR)                                                                                                      | 156     |
| 13.2 |  | IMPORTANCE OF CALENDAR OF RETURNS                                                                                              | 156     |
| 13.3 |  | INSTRUCTIONS REGARDING COR                                                                                                     | 156     |
| 13.4 |  | ADDITION/DISCONTINUANCE OF RETURNS FROM CALENDAR OF RETURN                                                                     | 157     |
| 13.5 |  | DELAY IN SUBMISSION OF RETURNS                                                                                                 | 157     |
| 13.6 |  | DISCONTINUANCE OF PRESCRIBED RETURNS ETC.                                                                                      | 157     |
| 13.7 |  | UNIFORMITY IN REPORTS/RETURNS                                                                                                  | 157     |
|      |  | <b>CHAPTER XIV</b>                                                                                                             |         |
|      |  | <b>MISCELLANEOUS</b>                                                                                                           | 169-176 |
| 14.1 |  | REQUISITION FOR ORIGINAL DOCUMENTS/RECORDS OR SUMMONS TO MEMBERS OF THIS OFFICE                                                | 169     |
| 14.2 |  | DISPOSAL OF DISCIPLINARY CASES ETC.                                                                                            | 169     |
| 14.3 |  | ESTABLISHMENT OF CENTRAL ADMINISTRATIVE TRIBUNAL                                                                               | 169     |
| 14.4 |  | POINTS OF CONDUCT AND ETIQUETTE FOR THE GUIDANCE OF WITNESSES APPEARING BEFORE PARLIAMENTARY COMMITTEES OR THEIR SUBCOMMITTEES | 169     |
| 14.5 |  | TENDERING EVIDENCE BEFORE THE ADMINISTRATIVE REFORMS COMMISSION                                                                | 170     |
| 14.6 |  | APPEALS AGAINST THE DECISIONS OF THE CHIEF MEDICAL OFFICERS AND INDIVIDUAL MEDICAL OFFICERS                                    | 171     |

|       |         |                                                                                                                 |     |
|-------|---------|-----------------------------------------------------------------------------------------------------------------|-----|
| 14.7  |         | REPLIES TO PARLIAMENT QUESTIONS                                                                                 | 171 |
| 14.8  |         | PROCEDURE FOR THE SETTLEMENT OF CLAIMS ARISING OUT OF ACCIDENTS IN WHICH GOVERNMENT OWNED VEHICLES ARE INVOLVED | 171 |
| 14.9  |         | INSTRUCTION REGARDING THE INSURANCE OF VEHICLES AND ACTION TO BE TAKEN IN THE EVENT OF AN ACCIDENT.             | 172 |
| 14.10 |         | DEATH OF HIGH DIGNITARIES IN INDIA-CLOSING OF OFFICE                                                            | 174 |
| 14.11 |         | COMMITTEE ON PREVENTION OF SEXUAL HARASSMENT OF WOMEN AT WORKPLACE                                              | 174 |
| 14.12 |         | INTRODUCTION OF NEW PENSION SCHEME                                                                              | 174 |
| 14.13 |         | RIGHT TO INFORMATION ACT 2005-DISCLOSURE OF INFORMATION-REGARDING                                               | 175 |
|       | 14.13.1 | AUDIT MATTER                                                                                                    | 175 |
|       | 14.13.2 | ADMINISTRATION MATTERS                                                                                          | 176 |

## **LIST OF APPENDICES**

| <b>No. OF APPENDIX</b> | <b>TOPIC OF APPENDIX</b>                                                 | <b>PAGE No.</b> |
|------------------------|--------------------------------------------------------------------------|-----------------|
| APPENDIX- I            | DELEGATION OF FINANCIAL POWER                                            | 177-180         |
| APPENDIX- II           | DUTIES OF OFFICIALS/ OFFICERS OF CO-ORDINATION SECTION                   | 181-183         |
| APPENDIX- III          | DUTIES OF MEMBER OF FIELD AUDIT PARTY IN CASE OF SUPPLEMENTARY AUDIT     | 184-186         |
| APPENDIX- IV           | DUTIES OF MEMBER OF FIELD AUDIT PARTY IN CASE WHERE C&AG IS SOLE AUDITOR | 187             |
| APPENDIX- V            | SYLLABUS OF DEPARTMENTAL EXAMINATION                                     | 188-193         |
| APPENDIX- VI           | DUTY LIST OF RAJBHASHA ANUBHAG                                           | 194             |
| APPENDIX- VII          | DUTY LIST OF REPORT-I SECTION( COMMERCIAL )                              | 195-198         |
| APPENDIX- VIII         | DUTY LIST OF REPORT-II SECTION( CIVIL )                                  | 199             |
| APPENDIX- IX           | APAR FORMAT                                                              | 200-266         |



## **CHAPTER - I**

### **CONSTITUTION OF THE OFFICE**

#### **1.1 GENERAL**

The office of the Member, Audit Board and Ex-Officio Director of Commercial Audit - I, New Delhi came into existence on the reorganization of the Central Commercial Audit offices w.e.f. 1st May, 1986, which was later on re-designated as the office of the Principal Director of Commercial Audit and Ex-Officio Member, Audit Board-I, New Delhi with effect from February 1990.

Further, on restructuring of Central and States Audit Offices by Office of the Comptroller & Auditor General of India issued vide Strategic Management Unit No. 59/31-SMU/2018, the new structure came into effect from

01 April 2020, in which all offices have been given a sectoral identity.

This office was formed/modified under the charge of DAI (Commercial) and has been renamed as O/o the Principal Director/Director General of Audit (Infrastructure), Delhi.

Post restructuring, Ministry of Housing and Urban Affairs, Ministry of Road Transport and Highways and Ministry of Civil Aviation were allotted to this office (O/o the Principal Director/Director General of Audit (Infrastructure), Delhi. Office handling Ministry of Shipping and office at Chennai & Hyderabad are Joint Auditors of this office.

**(Authority: Strategic Management Unit No. 59/31-SMU/2018 dated 09.03.2020)**

#### **1.2 FUNCTION OF O/O THE DIRECTOR GENERAL/PRINCIPAL DIRECTOR OF AUDIT (INFRASTRUCTURE), DELHI**

The main function of this office is to undertake compliance audit, annual accounts certification, performance audit of different schemes/activities of the Ministry of Housing and Urban Affairs, Road Transport and Highways and Civil Aviation and its attached and subordinate office and statutory corporation, ABs, C&AG under its jurisdiction office.

The local audit is done by the field/local audit parties each of which generally consisting of Senior Audit officers and Assistant Audit officers.

#### **1.3 AUDIT JURISDICTION**

The office of the Director General/ Pr. Director of Audit (Infrastructure), New Delhi is responsible for audit of 03 Ministries viz. Ministry of Housing & Urban Affairs (MoHUA), Ministry of Civil Aviation (MoCA), Ministry of Road, Transport & Highways (MoRTH) and their attached and subordinate offices and administration including Central Public Sector Enterprises (CPSEs), Central Autonomous Bodies (CAB) and Statutory Corporations under the respective Ministries and Departments.

#### **1.4 SECTIONS UNDER THE CHARGE OF GROUP OFFICERS**

| Sl. No. | Previous Name                                     | Re-designated Name                                                                                               | Under charge of                                      |
|---------|---------------------------------------------------|------------------------------------------------------------------------------------------------------------------|------------------------------------------------------|
| 1.      | Commercial Headquarter-II Section (CHQ-II)        | Infra Headquarter-I Section (IHQ-I)                                                                              | Dy. Director/Director (Infra-I)                      |
| 2.      | Newly Created                                     | Infra Headquarter-II Section (IHQ-II)                                                                            | Dy. Director/Director (Infra-II)                     |
| 3.      | Commercial Headquarter-III Section (CHQ-III)      | Aviation                                                                                                         | Dy. Director/Director (Aviation)                     |
| 4.      | Commercial Headquarter-I Section (CHQ-I)          | RTH                                                                                                              | Dy. Director/Director (Road, Transport and Highways) |
| 5.      | Report Section                                    | Report - I Commercial)<br>Report - II (Civil)                                                                    | Director General/Principal Director of Audit         |
| 6.      | Administration I, II, III , and Rajbhasha Anubhag | Admn.-I (Cadre Control)<br>Admn.-II (Establishment)<br>Admn.-III (General)<br>Admn.-IV(IT),<br>Rajbhasha Anubhag | Dy. Director/Director (Administration & I.T.)        |
| 7.      | Internal Test Audit                               | Internal Test Audit                                                                                              | Director General/Principal Director                  |

(Authority: Office Order No. 29, Endorsement No. 741-753/Admn.-I/Restruct. of offices/2020-21 dated 07.07.2020 issued by Office of Principal Director of Audit (Infrastructure), Delhi)

Further, two Resident Audit Parties are operating at the following locations:

1. RAP - NHAI, G 5 & 6, Sector-10, Dwarka, New Delhi-110075. Some staff of Infra-IV section functions from there.
2. RAP - AAI, Rajiv Gandhi Bhawan, Safdarjung Airport, New Delhi – 110003

### 1.5 DISTRIBUTION OF CHARGE(S) AMONG GROUP OFFICERS

Five posts of Group officers have been sanctioned by Headquarters.

| Name | Batch | Group | Assignment |
|------|-------|-------|------------|
|------|-------|-------|------------|

|                              |      |                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                   |
|------------------------------|------|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Shri Ajay Kumar Kripashankar | 2015 | Director<br>(Administration & IT)                                             | <ul style="list-style-type: none"> <li>✧ Administration Section I (Cadre)</li> <li>✧ Administration Section II (Bills)</li> <li>✧ Administration Section III (Welfare/stores/ procurements &amp; GAD)</li> <li>✧ Administration Section IV (Exam/training/IT)</li> <li>✧ Rajbhasha Section</li> <li>✧ Nodal for Finance Accounts and Appropriation Accounts of 03 Ministries</li> <li>✧ Nodal for OIOS</li> </ul> |
| Ms. Priti Jain               | 2016 | Director<br>(Infrastructure-II)                                               | <ul style="list-style-type: none"> <li>✧ CPWD and its units</li> <li>✧ Issue of Audit Certificate for works</li> <li>✧ DDA and its units</li> </ul>                                                                                                                                                                                                                                                               |
| Shri K. S. Narasimha Prasad  | 2016 | Director<br>(Infrastructure- I)                                               | <ul style="list-style-type: none"> <li>✧ Ministry of Housing and Urban Affairs</li> <li>✧ CPSEs like HUDCO, DMRC, NBCC and CABs under MoHUA</li> </ul>                                                                                                                                                                                                                                                            |
| Shri Abhishek Jain           | 2018 | Deputy Director<br>(Road Transport and Highways)<br><br>(Infrastructure - IV) | <ul style="list-style-type: none"> <li>✧ Ministry of Road Transport and Highways</li> <li>✧ Statutory Corporation- NHAI</li> <li>✧ CPSEs/CABs under MoRTH (NHIDCL, DME Development Limited)</li> <li>✧ EAP'S</li> </ul>                                                                                                                                                                                           |
| Shri Vijay Pal Singh         | 2020 | Dy. Director<br>(Aviation)<br><br>(Infrastructure -III)                       | <ul style="list-style-type: none"> <li>✧ Ministry of Civil Aviation</li> <li>✧ Statutory Corporation– Airports Authority of India &amp; Inland Waterways Authority of India</li> <li>✧ CPSEs/CABs under MoCA (Pawan Hans Limited,</li> </ul>                                                                                                                                                                      |

|  |  |  |                                                                              |
|--|--|--|------------------------------------------------------------------------------|
|  |  |  | Alliance Air Aviation Limited,<br>Air India Assets Holding<br>limited, etc.) |
|--|--|--|------------------------------------------------------------------------------|

**1.6 SANCTIONED STRENGTH OF O/O DIRECTOR GENERAL OF AUDIT (INFRASTRUCTURE), DELHI.**

| Group     | Composition of Staff                                                              | Extent of Powers                                                  | Number of Post | Authority                                                                                              |
|-----------|-----------------------------------------------------------------------------------|-------------------------------------------------------------------|----------------|--------------------------------------------------------------------------------------------------------|
| Group 'A' | The Gazetted Staff belonging to members of the Indian Audit and Accounts Services | Head of Department - Director General/Principal Director of Audit | 01             | Comptroller and Auditor General's Manual of Standing Orders (Administrative) Volume II (Third Edition) |
|           |                                                                                   | Head of Office – Director /Deputy Director (Administration)       | 05             |                                                                                                        |
|           |                                                                                   | Assistant Director (Official language)                            | 01             | Hqrs circular No.07/staff appointment-IV letter no. 43 / Staff Appointment-IV/16-2020 dated 06.02.2025 |

| Group                    | Cadre       | Sanctioned Strength |       | PIP<br>As on<br>01.06.2025 |       | Authority                                                                                          |
|--------------------------|-------------|---------------------|-------|----------------------------|-------|----------------------------------------------------------------------------------------------------|
|                          |             | Comm.               | Civil | Comm.                      | Civil |                                                                                                    |
| Group 'A'<br>(Non-IA&AS) | Sr. AO      | 29                  | 35    | 28                         | 26    | Headquarters' letter<br><br>no. 258/Staff (S&R)/Restructuring/Central/Audit Offices/183-2020 dated |
| Group 'A'<br>(Gazetted)  | ISM Grade-I | 01                  | -     | 00                         | -     |                                                                                                    |
| Group 'B'                | AAO         | 83                  | 60    | 76                         | 60    |                                                                                                    |

|                             |                          |     |     |                                |     |                                                                                                                            |
|-----------------------------|--------------------------|-----|-----|--------------------------------|-----|----------------------------------------------------------------------------------------------------------------------------|
| (Gazetted)                  |                          |     |     |                                |     | 05.04.2022                                                                                                                 |
|                             | AAO (Interim)            | 00  | 22  | 00                             | 30  | & Headquarters' letter<br><br>no. 67/SSR/<br>Rationalisation/<br>EDP/ 165-2019/<br>Vol – II dated<br>05.02.2024<br><br>*** |
|                             | Senior Private Secretary | 01  | -   | 01                             | -   |                                                                                                                            |
|                             | ISM Grade-II             | 02  | -   | 00                             | -   |                                                                                                                            |
|                             | Private Secretary        | 02  | -   | 00*(one post held in abeyance) | -   |                                                                                                                            |
| Group 'B'<br>(Non-Gazetted) | Supervisor               | 04  | 02  | 04                             | 01  |                                                                                                                            |
|                             | Asst. Supervisor         | 16  | 04  | 13                             | 04  |                                                                                                                            |
|                             | Senior Auditor           | 33  | 09  | 22                             | 05  |                                                                                                                            |
|                             | Welfare Assistant        | 01  | -   | 01                             | -   |                                                                                                                            |
|                             | Junior Translator        | 03  | -   | 03                             | -   |                                                                                                                            |
|                             | Audit Assistant Grade I  | 02  | -   | 00                             | -   |                                                                                                                            |
|                             | DEO Grade 'D'            | 00  | -   | 00                             | -   |                                                                                                                            |
| Group 'C'                   | Auditor                  | 56  | 15  | 37                             | 05  |                                                                                                                            |
|                             | PA                       | 03  | -   | 00                             | -   |                                                                                                                            |
|                             | Stenographer Grade II    | 03  | -   | 05                             | -   |                                                                                                                            |
|                             | DEO Grade 'B'            | 03  | -   | 03                             | -   |                                                                                                                            |
|                             | Audit Assistant Grade II | 03  | -   | 00                             | -   |                                                                                                                            |
|                             | Admn. Assistant          | 13  | -   | 00                             | -   |                                                                                                                            |
|                             | DEO Grade 'A'            | 04  | 01  | 04                             | 00  |                                                                                                                            |
|                             | Staff Car Driver         | 01  | -   | 00                             | -   |                                                                                                                            |
|                             | Clerk                    | 13  | 02  | 04                             | 01  |                                                                                                                            |
|                             | MTS                      | 39  | 05  | 09                             | 0   |                                                                                                                            |
| <b>TOTAL</b>                |                          | 315 | 159 | 207                            | 134 |                                                                                                                            |

\*One post of PS is held in abeyance.

As against Sanctioned Strength of 1 Sr. Ar/Ar, 1 Clerk and 1 MTS of Resident Audit Party/ Oil & Natural Gas Corporation (ONGC) of O/o Principal Director of Commercial Audit & Ex-Officio, Member Audit Board, Mumbai, New Delhi, 1 Sr. Ar. And 1 asst. Supervisor under the cadre control of this office are posted in RAP/ONGC, New Delhi.

**Authority:**

1. In compliance of Headquarters' office letter No. 537/SS & R/Conversion/436-2013 dated 14.10.2014 all group B Gazetted Regular, Temporary posts are converted into Permanent one which are in existence for more than two years.
2. Revised SS approved vide Hqrs letter no. 258 staff (S&R)/Re- Structuring/Central/Audt Offices/183-2020 dated 05.04.2022.
3. Consequent to implementation of recommendations of Committee on Rationalisation of EDP cadre SS of EDP Cadres revised and Admn Asst and Info. Sys Mgr Cadre have been added vide Hqrs letter No. 67/SSR/Rationalisation/EDP/165-2019 Vol-II dated 05.02.2021.

## 1.7 CADRE CONTROL

This office is the cadre controlling office in respect of Group B Non gazetted and Group C staff of O/o the Director General of Audit (Infrastructure), New Delhi, O/o Director General of Audit (Energy), New Delhi and O/o the Director General of Audit (Railway Commercial), New Delhi upto Supervisor Cadre.

**Authority:** Headquarter letter no. 382/SMU/27-2015 dated 27.09.2017 and letter no. 81/CA-IV/5-2019 dated 26.06.2020

## 1.8 EXTENT OF POWERS/COMPOSITION OF STAFF

### (A) SANCTIONED STRENGTH OF O/O DIRECTOR GENERAL OF AUDIT (INFRASTRUCTURE), DELHI (COMMERCIAL CADRE).

| Group                        | Cadre                             | Sanctioned Strength | Authority                                                                                                                                                                                                                              |
|------------------------------|-----------------------------------|---------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Group 'B'<br>(Non- Gazetted) | Supervisor                        | 04                  | Headquarters' letter<br>no. 258/Staff<br>(S&R)/Restructuring/<br>Central/Audit<br>Offices/183-2020<br>dated 05.04.2022<br><br>& Headquarters' letter<br>no. 67/SSR/<br>Rationalisation/ EDP/<br>165-2019/ Vol – II<br>dated 05.02.2024 |
|                              | Asst. Supervisor                  | 16                  |                                                                                                                                                                                                                                        |
|                              | Senior Auditor /Senior Accountant | 33                  |                                                                                                                                                                                                                                        |
|                              | Welfare Assistant                 | 01                  |                                                                                                                                                                                                                                        |
|                              | Senior Translator                 | 00                  |                                                                                                                                                                                                                                        |
|                              | Junior Translator                 | 03                  |                                                                                                                                                                                                                                        |
|                              | Audit Assistant Grade I           | 02                  |                                                                                                                                                                                                                                        |
|                              | DEO Grade 'D'                     | 00                  |                                                                                                                                                                                                                                        |

|           |                          |    |     |
|-----------|--------------------------|----|-----|
| Group 'C' | Auditor                  | 56 | *** |
|           | Stenographer Grade I     | 03 |     |
|           | Stenographer Grade II    | 03 |     |
|           | DEO Grade 'B'            | 03 |     |
|           | Audit Assistant Grade II | 03 |     |
|           | Admn. Assistant          | 13 |     |
|           | DEO Grade 'A'            | 04 |     |
|           | Driver                   | 01 |     |
|           | Clerk                    | 13 |     |
|           | MTS                      | 39 |     |

**(B) O/O THE DIRECTOR GENERAL OF AUDIT (ENERGY), NEW DELHI**

| Group                        | Cadre                   | Sanctioned Strength |
|------------------------------|-------------------------|---------------------|
| Group 'B'<br>(Non- Gazetted) | Supervisor              | 07                  |
|                              | Assistant Supervisor    | 21                  |
|                              | Audit Assistant Grade I | 02                  |
|                              | Senior Auditor          | 42                  |
|                              | Welfare Assistant       | 01                  |
|                              | Senior Translator       | 00                  |
|                              | Junior Translator       | 02                  |
|                              | DEO Grade 'D'           | 01                  |
| Group 'C'                    | Auditor                 | 70                  |
|                              | PA                      | 03                  |
|                              | Stenographer Grade II   | 03                  |
|                              | DEO Grade 'B'           | 01                  |
|                              | DEO Grade 'A'           | 02                  |
|                              | Driver                  | 01                  |

|  |                          |    |
|--|--------------------------|----|
|  | Audit Assistant Grade II | 03 |
|  | Admn. Assistant          | 13 |
|  | Clerk                    | 04 |
|  | MTS                      | 27 |

**(C) O/O THE DIRECTOR GENERAL OF AUDIT (RAILWAY COMMERCIAL), NEW DELHI**

| <b>Group</b>                | <b>Cadre</b>             | <b>Sanctioned Strength</b> |
|-----------------------------|--------------------------|----------------------------|
| Group 'B'<br>(Gazetted)     | ISM Grade-II             | 01                         |
| Group 'B'<br>(Non Gazetted) | Supervisor               | 01                         |
|                             | Assistant Supervisor     | 02                         |
|                             | Senior Auditor           | 05                         |
|                             | Audit Assistant Grade I  | 0                          |
|                             | Welfare Assistant        | 00                         |
|                             | Senior Translator        | 00                         |
|                             | Junior Translator        | 01                         |
|                             | DEO Grade 'D'            | 00                         |
| Group 'C'                   | Auditor                  | 07                         |
|                             | Stenographer Grade I     | 00                         |
|                             | Stenographer Grade II    | 01                         |
|                             | Audit Assistant Grade II | 00                         |
|                             | Admin Assistant          | 01                         |
|                             | DEO Grade 'B'            | 00                         |
|                             | DEO Grade 'A'            | 00                         |
|                             | Driver                   | 01                         |
|                             | Clerk                    | 02                         |

|  |     |    |
|--|-----|----|
|  | MTS | 05 |
|--|-----|----|

## 1.9 DELEGATION OF FINANCIAL POWER

Consequent upon the approval of the Comptroller and Auditor General of India of revised delegation of financial and administrative cum expenditure sanction powers and revised procedure for procurement in IA&AD in supercession of all previous extant orders and MSO provisions, issued vide circular No. 16/2025, letter no. 115-FMD/DFPR/29-2024 dated 01/05/2025, the Director General of Audit (Infrastructure), re-delegates the following financial/administrative powers vested in HoD, to the Group/Branch Officers of this office as given in Appendix -I to this manual.

## 1.10 CONTROL

Director General/Principal Director of Audit is in direct supervisory charge of Internal Test Audit and Report sections.

The Head of Department is assisted by Directors/Deputy Directors who hold the supervisory charges known as group charges, generally organized on a functional basis.

Group Officers are in direct supervisory charge of Senior Audit Officers in the main office or in Resident Audit Parties or they supervise the work of inspection parties conducting audits.

**(Authority: Comptroller and Auditor General's Manual of Standing Orders (Administrative) Volume I (Third Edition))**

## 1.11 CHANGE IN STAFF

Changes of personnel between different controls require approval by Group Officer in charge of Administration and Principal Director/ Director General for non-gazetted staff and Gazetted Officers respectively. Intra Office and inter office transfer of the staff / Officer of this office is done as per following point.

- (i) For intra transfer of Group A (Non-IAAS) and Group B (Gazetted) officers in various sections, a Four-member board consisting of Dir. (Admin), Dir. (Infra-I), Dy. Dir. (RT & H), SAO (Admin.) has been constituted. The accepting authority is PD/DG.
- (ii) For intra-transfer of Group B (Non- Gazetted) and Group C staff a three-member board constituted of Sr.AO (Report-I), Sr.AO (RTH) and Sr.AO (Admin.) The accepting authority is Director (Admin).
- (iii) For inter-transfer of Group B (Non- Gazetted) and Group C staff a three-member board consisting of Dir. (Admn.) Infrastructure, Dir. (Admin) Energy and Dir. (Admin) Railway Commercial has been constituted by this office. The accepting authority is PD/DG.

For administrative convenience an employee must serve for minimum two years in a Section subject to maximum five year. Any official may be transferred before 2 years as per administrative requirement only after recommendation of the concerned Transfer & Posting Board. In all cases in which an inter change is permitted by the Group Officer, the relevant papers should be sent to the Administration Section- I for information and record.

**(Hqr. Circular no. 1-Staff wing/2014 vide letter no. 10-staff (App-II)63-2013 dt. 06.01.2014 and this office order no. 27 vide no. Admn/2-5(ii)/2020/720 dt. 18.04.2024)**

## **1.12 ROTATION OF PERSONNEL IN VARIOUS WINGS**

As far as possible no member of staff should normally be kept in the same wing, whether in the central office or in the field audit parties for a period not exceeding five years. In case any official is to be retained for more than five years, specific justification may be recorded by the Head of the office under intimation to Headquarters.

(Authority C&AG circular No. 79 CA -IV / 68-2007 KW/ dated 14.05.20180)

## **1.13 GRIEVANCES REGARDING TRANSFER AND POSTING**

Any employee who is not satisfied with his/her transfer and posting in various Section of this office, he/she may represent in this regard showing the appropriate reason through his/her group officer to DG/ PD.

## **1.14 CATEGORIES OF STAFF AND THEIR DUTIES**

### **1.14.1 PERSONNEL**

This office consists of the following categories: -

**Group A:** Director General/Principal Director of Audit (Infrastructure) , Director/Dy. Director, Assistant Director (Official Language).

**Group A – Non IAAS:** Sr. Audit Officer (commercial/civil)

**Group B (Gazetted):** Assistant Audit Officers (commercial/civil), Hindi Officer and Sr. Private Secretary/ Private Secretary to Director General/Principal Director of Audit (Infrastructure), New Delhi

**Group B (Non-Gazetted):** Supervisors, Welfare Assistant, Asstt. Supervisor, Sr. Auditors, Junior Translator, Stenographer Grade-I

**Group C:** Auditors, DEO Grade – A & B, Clerks, Stenographer Grade-II,MTS

### **1.14.2 DUTIES OF OFFICIALS/ OFFICERS OF CO-ORDINATION SECTION**

Duty list of officials / officers working in the co-ordination section has been given in Appendix-II to this manual.

### **1.14.3 DUTIES OF MEMBER OF FIELD AUDIT PARTY**

Duty list of audit staff conducting supplementary audit of company has been given in Appendix-III to this manual and where the Comptroller and Auditor General of India is the sole auditor, the duty list has been given in Appendix-IV to this manual.

\*\*\*\*\*

## **CHAPTER-II**

### **GENERAL OFFICE PROCEDURE AND SYSTEM OF CORRESPONDENCE**

#### **SECTION A: GENERAL OFFICE PROCEDURE**

##### **2.1 GENERAL INSTRUCTIONS FOR ATTENDANCE:**

The regular hours of attendance of the officers and employees are from 9.00 A.M. to 5.30 P.M. with a half hour lunch break on all working days from 1.00 to 1.30 P.M. but when the work is in arrears or in the interests of public service these hours may be extended and the officials who is/are required to work on non-working hours or on holidays must do so as part of his/their regular duties. The members of the staff working at places other than in the main building also observe the same time schedule. It is the duty of the Assistant Audit Officer / Supervisor to prevent the accumulation of arrears, and they are authorized to require the attendance of their subordinates before and after the usual office hours and on holidays, if necessary to bring the work upto date.

Late attendance upto one hour, on not more than two occasions in a month may be condoned by the competent Officer, if he/she is satisfied with the explanation given by the individual. For each occasion of late attendance not condoned, a half day Casual Leave should be forfeited and debited to the casual leave account in the Casual Leave Register. Similarly, half day Casual Leave is to be deducted for leaving the office before a specified time.

##### **2.2 PUNCTUALITY IN ATTENDING OFFICE AND PENALTY FOR LATE ATTENDANCE**

The Government of India, with a view to ensure the observance of punctuality and efficiency in the transaction of work in Central Government Offices, decided to discontinue the practice of allowing a government servant to attend office late, and have for future guidance laid down the following instructions .

The office will remain open for regular work for 5 days in a week from Monday to Friday and all Saturday would be Holiday w.e.f. 05.06.1985.

Members of the staff are expected to attend the office punctually at 9.00 A.M. and sign the attendance register kept in the section. The attendance register will be initialed by the Assistant Audit officer /Supervisor of the section and submitted immediately to the officer in-charge of the section by 9.10 A.M. (i.e. within ten minutes of the official hour of opening). The attendance register will be maintained in form S.Y.302.

In this connection the following instructions should be carefully followed:

- (i) Assistant Audit Officer / Supervisor shall close the attendance register at 9.10 A.M. sharp.
- (ii) A red circle will be marked by the Assistant Audit Officer/ Supervisor against all those who have failed to turn up by 9.10 A.M.
- (iii) The Assistant Audit Officer/ Supervisor will ensure delivery of the attendance register, after closing to his Branch Officer by 9.15 A.M.
- (iv) All late comers coming upto 10.00 A.M. will sign their attendance in Branch Officer's room duly recording the time of their attendance.
- (v) Each Branch Officer will close the register further after marking the letter 'A' in the red circle in

respect of all those who have not turned up till 10.00 A.M.

- (vi) The Branch Officer will thereafter get the attendance register delivered to his Group officer at 10.00 A.M.
- (vii) Late comers arriving between 10.00 and 1.30 P.M. will sign the attendance register in the Group Officer's room duly recording the time of attendance.
- (viii) The Group Officer will add another 'A' in the red circle for those who do not turn up till 1.30 P.M.
- (ix) The Group Officer will return the registers to the B.O.'s concerned at any time between 2.30 P.M. and 5.00 P.M. with directions to have attendance taken in the sections immediately thereafter.
- (x) Any member/staff who intends/required to attend office prior to 9.00 A.M. or work beyond 7.00 P.M. must obtain a written permission from concerned branch officer to do so.
- (xi) The late attendance with double 'A' ('AA') in red circle will count as a casual leave provided the person concerned puts in an application for its ex-post-facto sanction, failing which it will be treated as unauthorized absence from duty and dealt with as such.
- (xii) Each red circle with or without letter 'A' will be treated as half casual leave, provided that red circles, without letter 'A' upto a maximum of two in a month, may be condoned by Branch officer in case of not-habitual 'late comers', at his sole discretion.
- (xiii) Each section will prepare an absentee statement at the end of each month and submit it to his Branch Officer/Group Officer for onward submission to Admin-II section by the 5th of the following month.
- (xiv) Insofar as MTS employees are concerned, they are required to attend the office half an hour before usual office hours. An attendance register should be maintained in the Administration section (III) for MTS posted in the main office building, except for those who are required to mark their attendance in the sections to which they are attached. They will mark their attendance in the attendance register of the Administration section (III) maintained by the Caretaker/ Welfare Assistant by 8.30 a.m. The attendance of the MTS posted outside the main office building should be marked and controlled by respective Resident Audit Parties.
- (xv) The section in-charge of such a section in which the MTS marks his attendance should inform the administration section when any MTS is absent to ensure that the services of MTS whose presence has been marked in the attendance register maintained in administration Section are maintained their Casual Leave account. MTS are required to be present in the office exactly at 8.30 a.m. and they should immediately proceed to the sections to which they are attached and get to the doors of the sections opened whenever the sections are provided with separate rooms. They should dust the tables, chairs, racks etc. Any lapse on the part of the MTS (regular and outsourced) should be brought to the notice of administration Section in writing.
- (xvi) MTS should not leave office without the permission of the Branch Officer or the Assistant Audit Officer/ Supervisor concern before 5.30 p.m. All the officers of this office should ensure that MTS attached to them attend office, in proper uniform supplied to them by the office. Cases of defaulting MTS should be reported in writing to the Administration Section promptly.
- (xvii) The payment of dress allowance to the MTS is as per order.
- (xviii) Each Group Officer/Branch Officer shall also conduct surprise inspections from time to time to ensure that the above instructions are being faithfully complied with by all the concerned staff. Any remissness in this regard should be viewed

seriously.

**Note :** Concession of a religious or sectarian nature, coming to office late or Leaving office early should not be granted to the officials. No Government servant should get privilege on the ground of his communities or religious alone.

**2.3 SANITATION AND CLEANLINESS OF THE OFFICE-** The Welfare Assistant, under the supervision of Sr.AO (Admin.) is responsible for the sanitary arrangements and ventilation of the office. In the discharge of these duties, he shall be assisted by the Caretaker. The Welfare Assistant and Caretaker must occasionally make ventilation through, the office should be secured by opening up all inside doors, etc. During office hours windows and doors should also be kept open so far as this can be done without inconvenience to employees.

**2.4 TIDINESS AND CLEANLINESS OF OFFICE, MTS ETC.-** The Welfare Assistant and the Caretaker should generally see that the MTS are tidily and cleanly dressed. They should see that all irregularities and faults pointed out to MTS have been remedied and that proper discipline is maintained. They should communicate to these MTS any orders which may have been passed by the DG/PD/ Group Officer regarding their duties or other matters affecting them.

**2.5 GENERAL WATCH AND CARE OF THE OFFICE BUILDING-** The Caretaker is responsible for the General watch and care of the office building and duties assigned to him are as under: -

- (i) General watch and care of the office building as a whole including night watch, so as to guard against any theft, fire, damage to the building or pilferage of records of furniture etc. (This will include supervision of the work of MTS regard to opening and closing of the doors, in regard to opening and closing of the office).
- (ii) To keep control over MTS deputed on the entrance to building, with a view to guard against any unwanted or unauthorized entry into the office, through the Receptionist.
- (iii) Supervision of the work of MTS regard to the office sanitation and general cleanliness of the office and making arrangements connected therewith.
- (iv) Supervision of the work of MTS so far as the dusting of rooms, seats, tables, records, etc. is concerned and also to take the attendance of MTS in the morning.
- (v) To keep an eye that no official document or record is removed and that no doubtful persons approach the building with a view to do any harm to it.
- (vi) To go round the building of the office by surprise at night, ensure that watch and ward arrangements are in order and there is no danger to the building or the record, etc.

Note: This would be possible when he is allocated suitable accommodation either within the office or very near it.

- (vii) To receive any urgent official message etc. (including telegrams, or telephonic calls) and arrange to communicate these to the officer concerned without delay. (This would only be possible when he is allotted suitable accommodation either within the office or very near it.
- (viii) To keep a watch over the condition of the building and report to the Sr. AO (Admin.) any repairs necessary so that the same may be got conducted immediately.
- (ix) To arrange for proper charge of furniture in different rooms of the office and to fix responsibility in case of any loss.

- (x) All the staff members attending to duties on holidays should sign the register placed at the main gate for information and record.

**2.6 STAFF CAR DRIVER:** The normal working hours of the staff car driver are from 8.30 A.M. to 6.00 P.M. with a lunch break of half an hour from 1.00 P.M. to 1.30 P.M. The Controlling Officer may, however, prescribe the working hours of the Driver according to the administrative convenience and requirements that the total number of hours on effective duty does not exceed 8 hours and 36 minutes per day.

The Staff Car Driver should sign the attendance register kept in GD (Admin-III) Section.

**(Authority: Government of India, Ministry of Finance O.M. No. F 3 (10)-E-II(A)/85 dated 24.06.1986 circulated vide C & A.G. letter No. 532 Audit-I/34-85/I-86(88) dated 6.8.1986)**

## **2.7 ACTION FOR LEAVING OFFICE EARLY WITHOUT PERMISSION**

The case of a government servant who leaves office early should also be treated like late attendance and half-a-day's casual leave should be debited to the C.L. Account for each such early departure from office.

**(G.I.D.P. & A.R.O.M. No. 28034/10/75-Estt.(A) dated 27.8.75)**

## **2.8 ACTION FOR LATE COMING WHEN NO CASUAL LEAVE IS AT CREDIT**

If an official who has no casual leave to his credit come late without sufficient justification and the competent authority is not prepared to condone the late coming but does not, at the same time, propose to take disciplinary action, it may inform the official that it will be treated as unauthorized absence for the day on which he has come late and leave it to the official himself either to face the consequences of such unauthorized absence or to apply for earned leave or any other kind of leave due and admissible for the entire day.

**(G.1. D.P.& A.R.O.M. No.28034/3/82-Estt.(A) dated 5.3.82)**

## **2.9 HALF A DAY'S CASUAL LEAVE**

- (i) For the grant of half-a-day's casual leave, the lunch interval is to be dividing line i.e. a person who takes half-a-day's casual leave for forenoon session is required to come to office after lunch break (i.e. at 1.30 p.m.). Similarly, if a person takes leave for afternoon session, he can be allowed to leave the office at the commencement of the lunch hour (i.e. at 1.00 p.m.). In the case of Resident Audit Parties which are generally following company/corporations timing including lunch hour timing, the concerned Group Officer may decide the office timing including lunch hour timing accordingly.
- (ii) The balance at credit in the casual leave account of same Government servant may be in terms of full days plus half a day. In such cases there is no objection to the grant of half a day's casual leave, in conjunction with full day's casual leave, if so applied for. Likewise, even when the casual leave at the credit of a government servant is in terms of full days, there is no objection to the grant of half day's casual leave in conjunction with full day's casual leave. The existing restrictions imposed on the number of days- casual leave that can normally be granted at a time, will, however, continue to apply.

**(G.I.M.H.A.O.M. No.60/17/64-Estt. (A) dated 4.8.65)**

## **2.10 COMBINATION OF CASUAL LEAVE WITH REGULAR LEAVE**

As a general rule, casual leave cannot be combined with regular leave and accordingly an officer who has only half-a-day's casual leave to his credit should satisfy himself that he would be in a position to attend office on the next working day before he avails of half-a-days casual leave in the afternoon.

- (a) In cases where an officer avails of half a day's casual leave in the afternoon and unable to resume duty on next working day due to un-expected illness or some other compelling grounds, may as an exception to the general rule, be permitted to combine half a day's casual leave with regular leave if his absence on the next working day was due to unexpected illness or other compelling grounds and is thus constrained to take leave for that day.
- (b) However, in cases where Government servant having only half a day's casual leave at his credit and will not attend office on the next working day (having already applied for leave of the kind due and admissible to cover his absence) should not be allowed the last half a day casual leave for the A/N.

**(G.I.M.H.A.O.M. No.60/45/65-Estt. (A) dated 4.2.66 received vide CAG's letter 306- NGEI/194-65 dated 16.2.66))**

The Ministry of Home Affairs in consultation with the Ministry of Finance have advised the following matters which is based on CAG's letter No. 1911/NGEI/194-65 D/8.8.66.

The half day casual leave in combination of regular leave may also be granted where the official has casual leave at his credit but not sufficient enough to cover the period of leave applied for if other conditions mentioned in the last sentence of para 2 of O.M. dated 4.2.66 (i.e. official was unable to resume duty on next working day due to un-expected illness or some other compelling grounds) are satisfied.

A question whether the official in the above case should be deemed to have been relieved on the afternoon of the previous day by half a day's debit to his casual leave account was raised and it has been decided that the casual leave is not treated as absence from duty and the pay is not intermitted and accordingly Government servant should hand over charge on the afternoon of the date of commencement of casual leave. In the case of non gazetted officer, it would be taken that the officer concerned has been deemed to have been relieved from the afternoon of the date of the commencement of casual leave.

## **2.11 OBSERVANCE OF PROPER DECORUM DURING THE LUNCH BREAK**

- (i) All staff members are expected to maintain proper decorum during the lunch break. Persons found violating these instructions will be liable to disciplinary action.
- (ii) The game of cards should be confined to the recreation rooms or places approved for such purposes.
- (iii) No indoor games should be played in the office building after 7.00 p.m. except on special occasion such as tournaments etc.

**(G.I.D.P. & A.R.D.O.N.15/45/67-830 dated 11.8.67)**

## **2.12 ARRANGEMENT TO KEEP THE OFFICE OPEN ON HOLIDAYS AND OUT OF OFFICE HOURS**

On all working days the office will be kept open to the staff from 9.00 A.M. to 6.00 P.M. If any member of the staff desires to attend office earlier or work later, he will inform the caretaker (or AAO/Sr.AO admin-III Section) in writing of the hours of his attendance through the Branch Officer (BO) in-charge concerned and the Caretaker will ensure that only that particular room or hall is opened to the staff during those hours and the rest of the office is securely closed. It will be the duty of these members of the staff to inform the Guard to have the rooms closed before they leave the office.

On Sundays, Saturdays and holidays, the office will normally remain closed but will be opened on requisitions sent by the Branch Officer of the section concerned. All requisitions for the opening of office on Sundays, Saturdays and holidays and intimation for remaining in office after the usual closing hour must reach the BO of Admin-III for necessary orders by 3.30 P.M. after approval of the group officer concerned on preceding working days. Beyond which they will not be entertained.

## **2.13 TIDINESS, CLEANLINESS AND INSPECTION OF OFFICE ROOMS**

The following instructions should be carefully observed.

- (i) Each Assistant supervisor/ Sr.Auditors/ auditor/clerk must tidy up his table and should place his files and registers on the space so that the tables and the floor can be thoroughly cleaned by the sweepers. No boxes, steels or goblets etc. should be placed under the tables.
- (ii) Vehicles should be kept in the stand and not elsewhere in the office premises.
- (iii) Furniture should be maintained in order and neatly arranged in the sections.
- (iv) Waste papers should be placed in Dustbins provided for it and not thrown on the floor.
- (v) Important or confidential files, papers & vouchers, etc. should be locked up in almirahs before leaving the office.
- (vi) Sectional AAOs/Supervisors are responsible for ensuring that above instructions are strictly carried out and also for seeing that Assistant supervisors/ Sr.Auditors/ auditor/clerk handle their registers/files with due care and do not subject them to damage by throwing them about or using them to sit on.

## **2.14 ADMISSION OF OUTSIDERS**

No "outsider" can ordinarily have any access to any section of the office. It will be the duty of AAO / Supervisor to direct anyone who seeks admittance to the Branch Officer under whose instructions he may be received in the section.

Any person who is found helping an outsider to get access to the section on any pretext will be held responsible for the infringement of this important directive.

If friends or relatives of members of this office want to see them, they should not be received in the sections. Members should meet them in the corridor or outside the office after obtaining the orders of the Assistant Audit Officer.

## **2.15 ADMITTANCE TO GENERAL DEPARTMENT RECORD ROOMS, PERSONAL CLAIMS AND ADMINISTRATION SECTIONS**

Clerks/Auditors from other sections should not enter the General Department, Record Room,

Stationery and Forms Store, PC and Admn. Sections except when their presence is absolutely necessary. Leave applications, indents for stationery, requisitions for records etc. should as a rule be sent through MTS unless the AAO directs otherwise. Personal information required by members of staff should be obtained from the Admn sections between 3.00 P.M. and 4.00 P.M.

## **2.16 OFFICE ORDERS**

Office orders should be issued on important subjects e.g. general office procedure, audit procedure etc. All other matters should be communicated in the form of office memos. A particular office order should be prepared in the section where the case relating to it arises and get approved by the Group Officer/Principal Director/ Director General. It should, thereafter, be entered in the office order register and a serial number should be assigned to it. The brief subject and the case file number should invariably be given in the office order itself as well as in the register.

## **2.17 DIARISING OF OFFICE ORDERS**

Office orders should be diarized in the sectional diaries and thereafter delivered to and received by the assistant or the diarist (for whom they are marked by the AAO of the section for disposal). Like letters, the office orders will be received under their dated initials. In the diary they should be shown as disposed of after the AAO has seen that proper action has been taken thereon. Separate files may be opened each year for filing office orders received from different controls.

## **2.18 GUARD FILES OF OFFICE ORDERS**

For proper functioning of the office and control over it, Para 2.42 of the Comptroller & Auditor General's Manual of Standing Orders (Administrative)- Vol. I laid down for maintenance of "Guard Files" containing copies of important orders for consultation by all officers and subordinates. Further, files should be maintained according to individual cases governed by these orders and should be filed in a compact file containing all current orders on a particular subject even if they are issued in different years. For the above purpose an index of the general files is required to be opened and kept in each section. At the time of transfer of charge every Gazetted Officer should make over to his successor a complete guard file of office orders inviting his attention to important ones on which action is not complete or has yet to be taken.

## **2.19 INCORPORATION OF OFFICE ORDERS IN MANUALS**

As soon as a procedure incorporated in an office order has sufficiently crystallized, it should be incorporated in the relevant Manual by the Section concerned and the fact should be intimated to the Admin section. On the 1st of May of each year, the office order file of the previous year should be examined by the Admin section with a view to canceling all orders that have either become obsolete or have been incorporated in the Office Procedure Manual. When the review has been completed an office order should be issued giving the number and date of the office orders which should be retained and cancelling the rest. The AAO and Branch Officers should remove all cancelled office order from their files and ensure their guard files are complete and serially arranged in respect of all current office orders.

Annual review of the file of Office orders Work and updates of the relevant manual should commence on 1st May and be completed on 15th May.

## **2.20 DEPARTMENTAL ORDER BOOK**

A general office order book will be maintained by each section and will contain all instructions issued by the branch officer to his subordinates from time to time. All-important orders and rulings that have any bearing on the working of the department concerned should be noted in this order book and each entry be approved and signed by the Asstt. Audit Officer. When a gazetted officer has occasion to lay down a ruling for the guidance of his section which may affect other section, he should before doing so discuss the matter with the BO of the sections concerned, and any difference of opinion arising thereon should be submitted to the Principal Director through the Deputy Director/ Director concerned for final orders. All such decisions of the Principal Director/ Director General and also his decision on questions arising out of an article of the prescribed rules or codes or of some rule or order of Government which are not issued in the form of office orders should be entered in the Departmental Order Book.

## **2.21 NOTE BOOK OF ASSISTANT SUPERVISORS/ SENIOR AUDITORS/AUDITORS**

A notebook in a suitable form should be maintained by each auditor for keeping notes of all points that have to be kept in mind as requiring action to be taken thereon, but which cannot be noted in any of the Sectional Registers The notebook should be reviewed monthly by the Assistant Audit Officer.

## **2.22 GENERAL DUTIES OF SECTION INCHARGE / ASST. AUDIT OFFICER**

- (i) The AAO is responsible for the work of his section and is expected to see to the regular and efficient discharge of it. He is required to see that system and discipline are always maintained and that the work is fairly and judiciously distributed, each member of the section being efficiently trained and fully occupied. He should bring to notice any tendency to redundancy or duplication of work and in causes of absence of auditors or pressure of work; he should make proper arrangements for prompt disposal of business making redistribution.
- (ii) He should see that the codes and regulations are correctly applied and strictly observed, and should on no account allow any departure from any prescribed procedure without the express orders of superior authority.
- (iii) He is also responsible for seeing that no undue delay occurs in the disposal of any document, that all returns due from the branch are rendered on due date, and that facts and results in all figured statements are correctly stated.
- (iv) He is required to undertake personally the disposal of important cases, unofficial references and all other important work including notes, reminders, etc. from other sections. The letter may be marked for filing by the Branch Officer except letters from the Government and the Comptroller and Auditor General which will be filed under the orders of the Group Officer.
- (v) The Asst. Audit Officer is also responsible for ensuring that all the disposals are made strictly in accordance with the rules and orders applicable to the cases concerned. He should put up all doubtful points for orders.
- (vi) The Asst. Audit Officer/Section Officer is also required to see that the furniture and records of the sections are arranged in the most convenient possible way and that strict economy is always observed in the use of forms and stationery.
- (vii) The AAOs of each section should see that the above rules are duly observed and bring to the notice of the Branch Officer any case of repeated infringement. The Assistant Audit Officers should

thoroughly inspect his section every Friday before leaving the office.

- (viii) AAO will be held responsible for seeing that these instructions are observed. If they should leave office while some of their assistants are at work, they should nominate one man to see that no wastage of electricity takes place, and if subsequently the latter leaves office while others are at work, he should nominate a man who is still working, and so on till the last man to leave office is made responsible for carrying out the above instructions. The AAO of the office will visit the rooms occasionally and report cases of careless wastage of electric current that he may notice.
- (ix) AAO has power to grant Casual Leave to Asst. Supervisor, Senior Auditor, Auditor, DEO, Clerks, MTS working under them upto a Maximum period of 3 days at a time.
- (x) The above particulars are not exhaustive. In the restructured set up the duties of AAO are furnished in Annexure 2.9.1 of Manual of instructions for restructuring of Cadres of IA &AD.

## **2.23 TAKING WORK HOME**

Taking away office files, vouchers, etc. by the AAOs/ Supervisor (Sup) /Assistant Supervisors/ Sr. Auditors/Auditors and Clerks when leaving office are strictly prohibited. If anyone has extra work which cannot be completed in an ordinary course during office hours, he should attend office early and stay late in the evening. If otherwise urgently required then entry should be made in File movement register kept in the section.

## **2.24 RESPONSIBILITIES ON TAKING AND MAKING OVER CHARGES**

The following procedure should be observed whenever transfer of a Branch Officer takes place in this office:

- (a) Every Branch Officer on transfer of his charge due to the Officer's departure from the office or to his transfer from one gazetted charge to another within office itself should hand over to his successor all Keys, valuables and other confidential documents, if any, and report the fact to the Group officer through his successor of his having done so. He should also draw up, for the information of his successor a memorandum of points of importance in connection with the working of the charge, and of any important cases or types of work that are pending and likely to call for his special attention or scrutiny. Any serious defects that may exist in the working of any of the sections comprising the charge should be specifically mentioned in the memorandum. A list of all arrears whether of audit or other items of work should be appended to the memorandum. If any review of the audit of accounts allotted to the relieved officer has not been completed the same should also be mentioned.

The charge report of Branch Officer drawn up in accordance with the foregoing instructions should be put upto the Group Officer concerned before relieving of the officers.

- (b) The above memorandum should be drawn separately for the sections under each group. The portion relating to each group should be sent by the relieving officer to the Group Officer concerned for information and orders on any points raised therein. The Group Officer will, then, call for a report of the relieving officer on all points requiring action and also on the clearance of arrears, if any, in consultation with the group Coordination section.
- (c) Where the charge transferred is that of a Director/ Dy. Director, the memorandum should contain information required in paragraph (a) above both in respect of the direct and the supervisory charges

and will be submitted to the Director General /Principal Director for information and orders.

- (d) Whenever there is a change in the charge of AAO, Sup, Assistant Supervisors/ Sr. Auditor/Auditor a regular charge report should be prepared and signed by the outgoing AAO, Sup, Assistant Supervisors/ Sr. Auditor or Auditor as the case may be.
- (e) Every AAO/Sup/Assistant Supervisor/Sr. Auditor/Auditor/Clerk when taking over charge of his duties from another, even temporarily, is expected to ascertain whether the work is up-to-date and to report at once to his immediate superior any arrears or irregularities he may notice, in order that prompt action may be taken. If no such report is submitted the officer assuming charge remains responsible for the state of work under his charge including any arrears or irregularities which may exist. The AAO is also responsible to see that the furniture and various codes and books of reference as per list kept in the section. The Sectional copy of the charge report after Director's or Principal Director/ Director General's perusal should be filed in the section concerned in a case cover neatly tagged.
- (f) Whenever an auditor/clerk make over charge to another he must take a receipt for all papers hand over, and the AAO of the section must see this receipt before he allows the auditor/clerk to leave section. In a case where no charge is made or taken over owing to the absence on grounds of illness or otherwise, the AAO should overhaul the absentee's table and make out a list of the papers found. The list should then be sent to the absentee, and he may be asked to state whether there were any papers with him other than those mentioned in the list and if so, to communicate their whereabouts. The absentee will be held responsible for the loss of any paper which was received by him but has not been accounted for.

## **2.25 GENERAL INSTRUCTIONS ON ADMINISTRATIVE AND OTHER MATTERS**

A Branch Officer may not reverse any deliberate orders of an important nature passed by his predecessor without the prior sanction of the Director (under whose direct control he is working) or the Director General/ Principal Director.

## **2.26 STRICT OBSERVANCE OF PROCEDURE PRESCRIBED IN THE OFFICE MANUALS**

AAOs/Supervisors are responsible for seeing that the procedure allowed in their departments is as per prescribed codes and manuals and no departure there from should be allowed without special orders.

## **2.27 OLD PRACTICE AND PROCEDURE**

It must be clearly understood that the "old practice of the office" is no authority for a departure from the instructions contained in the various manuals. If any such variation of procedure comes to the notice of an Assistant Supervisor / Sr. Auditor/Auditor he should bring it to the notice of his AAO/Sup with suggestions, if any, in writing. Cases of departure from the procedure prescribed in the manuals, coming to the notice of AAO/Sup, must be reported to the Branch Officer-in-charge with a reasoned recommendation that the instruction in the manual be amended to conform with the practice or unauthorized practice be discontinued and the procedure laid down in the manual concerned be strictly adhered to in the future. When a member of the staff persistently disregards rules or instructions the matter should be brought to the notice of his superior authority.

## **2.28 PERSONAL INTERVIEWS WITH THE PRINCIPAL DIRECTOR / DIRECTOR GENERAL**

Any member of the office establishment may seek a personal interview with the Principal Director / Director General in accordance with the orders in force.

## **SECTION B- SYSTEM OF CORRESPONDENCE**

### **2.29 FORMS OF CORRESPONDENCE**

The several forms of correspondence used by this office are as follows:

- (i) Memorandums
- (ii) Letters including speed post/registered letters
- (iii) Demi- official Letter and
- (iv) Un-official letter and
- (v) Email

### **2.30 RECEIPT OF LETTERS AND OTHER DOCUMENTS AND OPENING OF DAK**

All letters, Secret Covers, parcels and other documents, whether registered or not, addressed to the Principal Director / Director General or any other Group Officer by name, should not be opened but placed before him who after opening, passes them on to his secretary for entering in the register of confidential and secret letters kept for the purpose; the covers containing secret and confidential documents addressed to the Principal Director / Director General by designation should be opened by the Director (Admn) personally. All covers received from Government of India and State Government addressed by designation should be opened in Dak Section and sent to the Group Officer/ Branch Officers concerned through Dak Pads.

### **2.31 DIARISING OF INWARD LETTERS AND OTHER DOCUMENT**

On receipt of inward letters from Dak through the Branch Officer, the sectional diarist will check the letters with the number noted in the transit register of Dak and put them up before the AAO/Sup. He will note the name of the Assistant Supervisors / Sr. Auditors/Auditors concerned on each letter. Any letter that requires early, urgent or immediate action should be so marked and the AAO/Sup will be personally responsible for seeing that such action is taken. The diarist should diary the letters received from Dak section without break under the date on which Dak Section enters them in its dak register in e office even if he diaries them on a later date. If a section wants to transfer letters (mismarked and wrongly sent to it) to another section, the AAO/Sup of the sections should under their dated initials, make necessary addition to or deductions from the total number of letters marked by him on the top of the page of the sectional diary.

The diarist should note in the diary the serial number of letters received from Dak Section. Letters received from sources other than Dak Section e.g. those received through the transit registers of other sections, should be diarized immediately in e office. The full number and date of the outward letter should be noted against the file which contains the inward register so that the file which contains the disposal of the inward can easily be traced.

Where, however, a letter is filed without any reply, the file number in which it has been filed should be noted in the inward diary.

### **2.32 DISPATCH NUMBER**

Similarly, in the case of letters sent out from this office, the sectional letter, case and file numbers should be added before the running dispatch number. The first three will be noted on the draft by the dealing assistant and the last one will be added by the dispatcher. This will enable the diarist to deliver the letter of reply to the Assistant concerned for being dealt with in the proper file. For instance, Admin/07-193/761 will indicate that the letter relates to the Admin Section and is to be dealt with in case No.193 of file No. 07. Also, a photocopy of the dispatched letter should be kept in the concerned field.

### **2.33 PROMPT DISPOSAL OF LETTERS RECEIVED FROM COMPTROLLER AND AUDITOR GENERAL AND GOVERNMENT OF INDIA, MINISTRY OF FINANCE OR MARKED "VERY URGENT"**

All references from the office of the Comptroller and Auditor General should ordinarily be marked "urgent/very urgent" be disposed of within three days and as per timeline mentioned in letter and should be entered in CAG Diary. References received from the Government of India, Ministry of Finance are to be disposed of within a fortnight, of their receipt. The time limit should be strictly observed in the disposal of letter from the Comptroller and Auditor General and any failure in this regard will be viewed seriously.

The dak from Comptroller & Auditor General's office is seen by the Principal Director / Director General before it is passed on to the sections, the concerned section shall send acknowledgement whenever asked for.

**(Authority: Para 68 of C&A.G.'s M.SO & C.A.G.'s letter No. 225-O&M/13-72, dated 21st April 1972)**

### **2.34 RESPONSIBILITY FOR THE DISPOSAL OF URGENT LETTERS**

If for any reason a letter or return marked "Very urgent" or "urgent" cannot be disposed of within the time referred to above the matter should be represented in writing to the Branch Officer in-charge and his orders should be obtained. Unless sanction has been given to an extension of the time fixed, the AAO/Sup will be held personally answerable for any delay that may occur. The Assistant Supervisors/ Sr. Auditors/Auditors, Supervisors and Asstt. Audit Officers should not leave office if any urgent cases have been sent to the Branch Officer / Group Officer that require immediate disposal, unless the cases have come back from the officer, or they have ascertained from the Officer that their presence would not be required.

### **2.35 UNSIGNED, INCOMPLETE AND MISSENT LETTERS**

- (1) On such a letter being referred to him, the AAO/Supervisors will examine it carefully in order to make sure that it is not for his section and (2) if possible, form an idea as to the section to which it relates. Then he may mark on the letter "probably for-----section" and send it at once to Dak. Such letters are not to be delayed in sections before being returned to the Dak Section.
- (2) If any document is received unsigned or incomplete in any respect or is not required by this office, the section concerned should take necessary action on it and not the Dak Section. Only in cases in which a letter or paper has been wrongly delivered to this office or when a reminder is received to a letter that is not traceable than the Dak Section send the letter or paper to the proper office at once or call for a copy of the letter to which attention has been drawn.

### **2.36 LETTERS FOR TRANSMISSION TO OTHER OFFICE**

Letters and documents sent to this office for transmission elsewhere especially those intended for the Local Government, Government of India or the Comptroller and Auditor General which are forwarded through this office should always be kept clean and should not bear any marks of notes, direction or orders except

the office stamp which should be affixed in the margin. The diary number of any such letter shall be entered on a slip of paper attached to the inward letter.

### **2.37 DISPOSAL OF INWARD CORRESPONDENCE**

All letters not needing a reply must be disposed of within four days from the date of their receipt in the office. Ordinary letters needing a reply must be disposed of within a week.

### **2.38 PRELIMINARY STAGES IN DISPOSAL**

If a case has to be circulated for opinion, or old papers have to be searched for, or the orders of a Gazetted Officer or of the Principal Director / Director General have to be taken, the auditor dealing with the case must take the initial step, i.e. call for the papers or write his note immediately and all these preliminary stages must be completed except in very exceptional circumstances within three days.

### **2.39 TREATMENT OF INWARD LETTERS ON WHICH INTERMEDIATE ACTION IS REQUIRED BEFORE FINAL DISPOSAL**

Letters falling under the following two classes should be treated as pending: -

1. When for the disposal of an inward letter, information is required which is not available in the office and to obtain which it is necessary to make a reference to another office.
2. When it is essential for the disposal of an inward letter to be deferred pending a certain occurrence. The intermediate action taken for the disposal of a letter should not be treated as final disposal of letter and the number and date of the outward letter should not be entered in column 8 of the letter receipt diary. A note, however, be made of the intermediate action taken in the remark's column of the diary.

### **2.40 COLLECTION OF INFORMATION FROM OTHER SECTION**

When information is required to be collected from other sections for the disposal of a letter, the letter with a note will be circulated to the sections concerned. Such letters should be treated as urgent, and no delay should be allowed in furnishing the requisite information.

### **2.41 METHOD OF WRITING OFFICE NOTES**

All office notes should be written on both sides of the paper, a quarter margin being left blank for the record of the orders passed by the officer to whom the note is submitted. They should be temporarily and courteously expressed and written, if possible, in the third person and should be broken up into numbered paragraphs. It may be assumed that the paper under consideration will be read by the officer to whom it is submitted and that no paraphrase or reproduction or verbatim extracts of it are ordinarily necessary in the notes. A précis of its contents need be made only when the paper is of great length and complexity. When a note is submitted, it should as far as possible confine itself to: -

1. The question at issue.
2. Circumstances leading up to it, necessary.
3. Rules and precedents bearing upon it
4. Suggestions for action.

To facilitate the rapid disposal of cases and especially urgent cases, personal discussion be freely resorted

to. A draft letter or email, as the case may be, should be prepared at any stage of a case, if it appears that the consideration and disposal of the case would be facilitated by submitting it in the form of a draft. AAO/Sup of the sections should not overlook the fact that there may be a case which either by its intricate nature or being urgent can be dealt by its intricate nature of being urgent can be dealt with adequately by the Branch Officer. In such cases, the papers should be submitted immediately "for orders." In important cases on which an officer has passed orders, either by approving the suggestions made in the notes or by a note of his own but has not actually suggested the phraseology to be employed, the draft should invariably be submitted to the officer before issue. The section last dealing with an office note should see that there is at least one blank page attached on which the officer can record his remarks.

## **2.42 MODIFIED LOGO OF THE CAG'S ORGANIZATION**

The Comptroller and Auditor General of India has approved the modified logo for Supreme Audit Institution of India, which may be used by all the offices in the Indian Audit and Accounts Department in respect of following:

- Visiting card
- Invitation card
- File covers, notepads etc.
- Official publications of the department
- Advertisements, banners, pamphlets, background displays etc.
- Crests, flags with such modification as considered necessary
- Websites of the department
- Certificates issued by the department
- Signage, shields, backdrop panels, advertisements
- Departmental vehicles (optional)
- Audit Reports

For any other purpose as deemed fit without violating the provisions of the State Emblem of India (Prohibition of improper use) Act, 2005 and the State Emblem of India (Regulation of Use) Rules, 2007.

Further, Headquarters Office has issued guidelines for creation of visual identity of institution of C&AG of India vide letter no. 409-सम्पदा/17-2024 dated 08.08.2024. Following guidelines have been issued in this regard:

- a) Name of IA&AD Office and residential premises.
- b) Signage boards
- c) Letter head and stationery
- d) Further, it has been decided that on signage, visiting cards and letterheads, only the IA&AD logo, which already incorporates the 'National Emblem', may be used.

## **2.43 EXCEPTION**

For Identity Cards and certain types of official stationery viz, D.O. letters, Ordinary letters, the State Emblem of India will continue to be used.

## **2.44 PLACE OF DISPLAY**

In all types of usage, the logo may be exhibited preferably on the top left, however, in the Audit Reports, the logo may be used on the top left-hand side of the outer page along with the emblem of the Government of India/the respective State Government which will be placed on the top Right-hand side.

## **2.45 NO SEPARATE COLOUR SCHEME IS PROPOSED FOR THE**

## **HEADQUARTERS AND THE FIELD OFFICES**

Hence, the same colour combination of the logo may be followed by all through the department.

Further, Headquarters Office has issued guidelines for creation of visual identity of institution of C&AG of India vide letter no. 409-सम्पदा/17-2024 dated 08.08.2024. Following guidelines have been issued for letter heads and stationery

- a) Official stationery viz. office letter heads, shall be white paper with navy blue and gold fonts.
- b) Visiting cards will be with a cream background with navy blue font colour.
- c) The font 'Times New Roman' in English (the font used in this letter) and 'Kruti Dev' in Hindi shall be extensively used in all the above documents.
- d) Sample letter heads and visiting card are enclosed with a request to adopt the same. The design parameters and logo are attached as Annexure.

(Authority: Headquarters letter no. 31- Audit (JMT&AR) 232-2010 dated 07.03.2011 and Headquarters Strategic Management Unit No.420/13/PPG/2011 dated 29.11.2022 & C&AG of India vide letter no. 409-सम्पदा/17-2024 dated 08.08.2024)

### **2.46 FILING OF LETTERS FROM COMPTROLLER AND AUDITOR GENERAL OR GOVERNMENT OF INDIA**

Letters of the Comptroller & Auditor General or Government of India should not be filed by the section concerned without the orders of the Group Officer in-charge.

### **2.47 RECORD OF IMPORTANT CIRCULARS ISSUED BY THE COMPTROLLER AND AUDITOR GENERAL**

The attention of Principal Director/ Director General as well as of other officers, on return from leave, should be drawn to circular letters of general interest which may have been issued by the Comptroller & Auditor General during their absence on leave etc.

### **2.48 CORRECTION TO MANUALS ON ORDERS OF THE GOVERNMENT OF INDIA ETC**

Letters containing the orders of the Government of India, Comptroller and Auditor General or the Local Government which require corrections to be issued to the office Manuals, should be disposed of promptly. The corrections should be issued as early as possible to the sections concerned for information and guidance to see the original orders it can refer to the section which received.

### **2.49 DEMI-OFFICIAL AND OTHER CORRESPONDENCE ADDRESSED TO THE PRINCIPAL DIRECTOR /DIRECTOR GENERAL**

All demi-official and other letters addressed to the Principal Director / Director General by name will be entered in register(s) maintained by Principal Director / Director General's Secretariat and sent with the register to Group officer of the department concerned to whom they are marked by the Principal Director / Director General. Calls for copies of documents should not be too freely indulged in; in many cases, the required documents are already in the office, possibly with the writer himself, and instances are not unknown in which executive officers have complained that copies of documents, already in this office, have been called for, not once, but several times. No copies of documents should therefore be called for unless it is established that its original has not been received and that a copy is essentially necessary for audit purpose. For this purpose, drafts of letters calling for copies of sanctions should be attested by the diary clerk of the section and in the case of important receipts by the Dak Section also.

## **2.50 INTERIM REPLIES**

Demi-official letters etc. should be disposed of immediately and at the latest by three days of their receipt in the sections. If it is not possible to dispose of a D.O. letter within that time an interim reply acknowledging the D.O. letter and stating the position (e.g. that the matter is receiving attention in the office) should be issued.

For other correspondence also, it is necessary that persons addressing this office should not be kept waiting for a reply for an unduly long time. If it is not possible to deal with such references, say within a fortnight an ad interim reply should be sent in such cases also and the writer should be kept informed of the position at regular intervals. In no case the office should sit on reminders, but an ad interim reply should be issued immediately on the day of receiving a reminder.

## **2.51 TOP SECRET AND SECRET DOCUMENTS**

Extracts from the memorandum of Instructions regarding the treatment and safeguarding of top secret and secret information and papers are reproduced below for information.

"Secret papers are intended only for the perusal of the officer to whom they are addressed and of a limited number of reliable persons whose duty it is to deal with them. Papers marked secret should, as far as possible, be addressed to an officer by name only."

## **2.52 DISPATCH OF PAPERS BY POST**

Top secret and secret papers when sent by post must invariably be enclosed in double covers, the inner cover being marked top secret or secret as the case may be and addressed to the officer for whom it is intended, while the outer cover should bear only the usual official address and the designation of the dispatching officer. Letters or packets containing Top Secret or Secret papers when sent by post should invariably be registered/ insured and should be sent "acknowledgement due". Dispatch section should not accept any inner cover handed over to them if the inner cover is not in accordance with above instructions.

## **2.53 FORM OF ADDRESS**

The form of address to Government, to the Comptroller and Auditor General and to heads of departments should as a rule be 'I am to request'. "I am to invite a reference" I am to forward" etc. The letters should begin with salutation "Sir" and terminate with subscription "Yours faithfully" followed by signature and designation of the person signing the letter.

## **2.54 MODE OF ADDRESSING**

The following procedure should normally be followed with regard to the issue of outward communications.

### **Nature of communications received from to be replied at the level of**

1. Official letters from Secretary to Union Government-by Branch Officer with the approval of Group Officer. Communication to Government on important matters of principle policy or professional opinion would be issued with the approval of DG/PD or in his absence by the Group Officer
2. D.O. letters from Secretary, Joint Secretary, Commissioner of Union Government & Officers of the rank of Joint Secretary & above of Government of India by Group Officer.
3. D.O. Letters from Heads of Departments of Central Governments by PD/DG.
4. Communication to C.A.G. by a Director/Dy. Director or other Officer with the concurrence of the

DG/PD and the fact should be indicated on the letter itself.

## **2.55 RESPONSIBILITY FOR FACTS AND FIGURES**

All information prepared in the section of the office for Government or for controlling offices, must invariably be tested and vouched for by the AAO/supervisor the assistant in charge of the section supplying it. This includes all facts and figures that find a place in drafts and reports, as well as regular statements or statistical returns, AAO/Supervisor are not permitted to leave to their subordinates the duty of checking or bearing responsibility for results that must issued under the name of Gazetted officer.

## **2.56 ASSISTANT AUDIT OFFICERS/SUPERVISORS RESPONSIBILITY FOR DRAFTS WRITTEN BY BRANCH OFFICERS**

When the Principal Director / Director General or Branch Officer drafts a letter himself, it must be understood that the AAO/Sup. of the section concerned is responsible for the correctness of any facts or figures the Principal Director / Director General or the higher officer may state, just as if the letter was drafted by the AAO/Sup himself. AAO/Sup is also responsible for bringing to notice any order of the Government or other authority that the Principal Director / Director General or the Gazetted Officer may have accidentally overlooked. All drafts, after being passed by the Principal Director / Director General or any other Gazetted officer should invariably be returned to the AAO/Sup of the section to which they belong.

## **SECTION C- METHOD OF PUTTING FILES/PAPERS TO THE PRINCIPAL DIRECTOR/ DIRECTOR GENERAL/ GROUP OFFICERS/ BRANCH OFFICER AND DISPATCH OF LETTER, ETC**

### **2.57 GENERAL PROCEDURE**

The following procedure should generally be observed whenever an 'office Note' or 'draft' is submitted to the Principal Director/ Director General/ Group officer for consideration and approval: -

- (a) When the note or draft is submitted for the disposal of Inward Dak/Correspondence (Letters, Govt. orders, etc.), the Inward Dak, the Note and Draft should be tagged together in such a way that the Note remains at the top, the draft below and the Inward Dak next below.
- (b) All the files/cases containing Dak the back papers (previous reference) on the subject and referred to in the draft and/or Note should then be placed beneath these papers. All these should be tied up in a file board with flag and submitted after referencing.

#### **2.57.1 ARRANGEMENT OF PAPERS**

The two main parts of a file are (a) Notes and (b) Correspondence. The following instructions/arrangement of papers should normally be observed in the files: -

1. Notes portion should be placed on the left side and the Correspondence portion to the right side.
2. The notes side should contain notes recorded on papers under consideration (PUC) and the correspondence side communications received (PUC) and office copies of outgoing communications.
3. Every page in each part of the file should be consecutively numbered in separate series. Correspondence should be arranged in chronological order and pages numbered from bottom to top.

On the notes side pages numbers should be from top to bottom.

4. Every communication, whether receipt or issue kept in correspondence side should be given a Serial Number (preferably in red ink) on the top. The first communication will be marked 'Serial No.1' and the subsequent ones Serial Nos. 2, 3, and so on.

#### **2.57.2 REFERENCING GENERAL PROCEDURE:**

Draft should be attached by a flag D.F.A. (Draft for approval). To the Inward Dak should be attached a flag PUC (Paper under Consideration). If more than one Inward Dak/ Communications be involved in the disposal, the main communication shall be marked PUC-I, others PUC-II, PUC-III and so on. To the back papers referred to in the PUC, DFA and Note and contained in the files/cases, should be attached slips with different alphabets. The flag should be attached covering the entire width of the file/cases in such a way that all the flags are visible. All the back papers should then be referenced by noting in the margin of the PUC/DFA/Note, in pencil, the alphabet of the flag attached to the page number and case number/file number of the back paper should also be noted in pencil below the alphabet of the flag.

#### **2.57.3 NEED FOR PAGE REFERENCING:**

The page reference of back papers is necessary as: -

1. Slips/Flag are not permanent identification as these are to be removed after disposal of the PUC.
2. Slips/Flag may fall out in transit from one place to another.
3. To facilitate the location of previous references (back paper) at a later date after the flags/slips fall out/are removed.

#### **2.57.4 LABELLING**

Disposals demanding immediate attention should be labeled "Immediate" or "Urgent". The papers/files of confidential nature should be labeled as 'Confidential', 'Secret' or 'Top-Secret' as the case may be.

#### **2.57.5 OFFICE NOTE**

An office note is prepared to analyze or discuss the issue and for obtaining orders or directions of the appropriate authority, such as:

- (i) issues arising in the course of audit and in the discharge of other day to day work.
- (ii) issues proposed by the officers for advice or/and ruling.
- (iii) issues involving interpretation of rules and/or orders arising in the process of disposal or Inward Dak.
- (iv) Rules and precedents bearing upon it and suggestion if any.

#### **2.57.6 DISPATCH OF VALUABLE DOCUMENTS**

The AAO/Sup of the Section which issues a draft letter with which a valuable document is to be sent will be responsible for seeing that the receipt of the dispatcher is obtained on the sectional register of outward letter. It is essential that in such cases the valuable documents should pass through as few hands as possible and the AAO/Sup should therefore take special precaution in this respect.

## **2.58 COMMUNICATION OF DECISIONS**

Decisions communicated by this office should always be supported by rules. If there are not clear rules or orders on any point, the decision on it must be issued with the approval of the Principal Director / Director General/Group Officer as the case may be.

## **2.59 SIGNATURES OF DOCUMENTS**

Letters relating to the sections and subjects under the direct supervision of a Branch Officer and Group Officer shall be issued ordinarily under his signature though they are stamped as emanating from the Director General /Principal Director.

The name of the officer signing any letter should invariably be typed below his signature. Provided that no communications of the following nature should be issued except with the previous approval of the Principal Director / Director General.

1. Letters implying dissatisfaction or censure and
2. Letters to Union Government.
  - (a) Bearing on the important question of audit or accounting
  - (b) Challenging decision or orders.
  - (c) Questioning the validity of any sanctions otherwise than for merely technical grounds and
  - (d) Containing proposals for writing off or waiving recovery of over payments.

Such Communications should ordinarily be signed either by the Principal Director / Director General himself or by Group Officer. In the alternative, the letter should bear sufficient indication that it is being issued under the direction of the Principal Director / Director General.

Further, all letters to the Comptroller and Auditor General other than on routine matters should ordinarily be issued under the signature of the Principal Director / Director General. If communications are issued to his office by Deputy Director / Director or other officer with the concurrence of the Principal Director / Director General, the fact should be indicated in the letter. In a case where under the constitution or any other enactment, the Comptroller and Auditor General, is required to certify the figures based on the figures furnished by the Principal Director / Director General etc. the later should personally sign the statements and certify their correctness.

**(Authority: Note to para 70 of the Comptroller & Auditor General's M.S.  
O & C.S. to para 34 of the Comptroller & Auditor General's M.SO)**

## **2.60 REPORT ON OUTSTANDING INWARD LETTERS**

All Sections will prepare a fortnightly report of outstanding inward correspondence which must be submitted to the Group Officer through the Branch Officer in-charge. This report will include all letters which were not disposed of by the dealing Staff alongwith reasons thereof.

The report should be prepared in the sectional diary itself, suitable space being left therein for the purpose. The report should be in the following form: -

Date of report \_\_\_\_\_

Receipts upto \_\_\_\_\_

Last letter diary no. \_\_\_\_\_

Opening Balance \_\_\_\_\_

Receipts Total \_\_\_\_\_

Disposals \_\_\_\_\_

Closing Balance \_\_\_\_\_

## **2.61 PROCEDURE TO DEAL WITH QUESTIONS IN THE PARLIAMENT**

All requests from the Government of India or the Comptroller and Auditor General for information etc. in connection with questions in the Parliament should be dealt with as immediate by everyone concerned. The Dak Section will arrange to enter them in the CAG Diary that they maintain for the Communications received from these authorities mentioned and put them up to the PD/ DG for perusal before sending them to the sections concerned.

The Branch Officer of the section will examine the terms of communications closely in consultation with the AAO/Sup of the section so as to ascertain the nature and amount of work involved in supplying the information. If there are any doubtful points or doubtful aspects, the matter should be referred through the Group Officer for such instruction etc. as may be necessary.

## **2.62 OUTSTANDING PERIOD OF LETTERS AND OTHER DOCUMENTS RECEIVED FROM ANOTHER SECTION**

Outstanding period of letters transferred from one section to another should be taken to commence from the date of the office stamp borne by them and the letters should be entered in the diary of the receiving section with a note of the exact date as shown by the date stamp of the office and attention of the Branch Officer drawn to it, when submitting letter reports.

## **2.63 DISPOSAL OF PENDING CASES**

When the necessary information is collected and the inward letter shown in the register is finally disposed of the number and date of the outward letter representing the final disposal should be entered in the diary.

## **2.64 TRANSFER OF PAPERS FROM ONE SECTION TO ANOTHER**

AAO/Sup must pay attention to the matter and the following instructions regarding the maintenance of transit registers through which papers pass from one section to another.

- (i) No letters should be taken out of the transit register by the AAO/Sup or the diarist without giving a receipt in the latter and on no account should the (Multi-Tasking Staff) MTS bringing letters for delivery be unnecessarily detained by them. All memos received in the sections should be diarized in the sectional diary and their prompt disposal should be watched like other letters.
- (ii) No Assistant supervisor/ Sr. Auditor/ Auditor/ DEO should hand over to or receive from another section any document except through his AAO/Sup and then only after the letter has noted the necessary order on the documents above his initials. Transfers unsupported by such notes are prohibited. When an Auditor receives verbal orders of higher authority as to disposal of treatment of a document, he should immediately record these orders to the best of his ability.

## **2.65 TRANSFER REGISTER OF LETTERS**

All correspondence required to be sent to other sections or branches must invariably be entered in the transit register which should show in each case the actual date of transfer. The AAO/Sup of the receiving section will note at once on the letters the name of the Assistant supervisor/ Sr. Auditor/ Auditor/ DEO who should take action on them and pass on the letters with the register to his diarist to receive them. No letters should be taken out of the transit register by the AAO/Sup or the diarist without giving a receipt and on no account should the MTS bringing letters for delivery be unnecessarily detained by them. All memos received in the sections should be diarized in the sectional diary and their prompt disposal watched like other letters.

## **2.66 PROMPT RECEIPT OF PAPERS TRANSFERRED**

Any papers sent through Transit Register should first be taken to the Branch Officer then to the AAO/Sup or in his absence to the Assistant Supervisor / Sr. Auditor/ Auditor/ DEO present. Under no circumstances the letter should be returned to the sending section because the clerk concerned is not there to receive it. If no action is required to be taken on the letters sent to his section the AAO/Sup should note the fact on the letter itself.

## **2.67 REMINDERS TO OUTWARD CORRESPONDENCE**

The following rules are prescribed for issuing reminders except in the case of letters issued to the Government of India, Comptroller and Auditor General and the State Government and special attention of the AAO/Sup is invited for their proper observance particularly in regard to items held under objection:

- (i) First reminder after a fortnight of the issue of letter.
- (ii) Second reminder after a fortnight of first reminder.
- (iii) Third reminder after a fortnight of second reminder.
- (iv) Special personal letter after a fortnight of third reminder.
- (v) Reminder after a fortnight of special letter.
- (vi) Report to superior officer after a fortnight of reminder.

## **SECTION D - MAINTENANCE OF FILES**

### **2.68 COMPOSITION OF FILES**

The unit for recording correspondence is the "File". All letters received from outside or issued from this office, as well as all office notes thereon, must form part of some file or the other. All notes and correspondence bearing on one subject will be incorporated in on "File" which should be given a suitable heading. Each section should have an approved exhaustive list of file headings based on experience, and no additions should be allowed in this list, without the approval of the Branch Officer, so that the diarist should have no difficulty in locating the case in which a particular letter is to be dealt with. Each file and cases subordinate to a file should be serially numbered. Also, an index should be made of registers used in the section.

### **E-OFFICE FILE SYSTEM**

All the procedure related to correspondence starting from receipt of letter, putting it in the file, Noting,

Drafting the office Memorandum, Office Order, UO Note etc. , Approval and Dispatch are being done in the e-office. All the guidelines related to e-office are available at the Portal of e-office. As per office Order no 02 dated 03.04.2025 all the works related to dispatch of the letter/OM/Office Order are being sent to the Hqrs. by e-office/ email only.

## **2.69 FILE HEADING**

The file heading should indicate the subject in brief and general terms and should not be altered except in special circumstances. The cases subordinate to a file may, however, be opened at any time as required. The subject of the case should be concise but comprehensive.

## **2.70 NUMBER OF FILES**

The file number and title should be recorded at the outside top of the cover and in the space for “subject” respectively. The financial year in which it is opened is indicated by recording the financial year in the file no. under this again comes the authorized initials of the section.

## **2.71 SEPARATION OF NOTES FROM CORRESPONDENCE**

The office notes in a case should be quite separate from the correspondence and should come first in proper sequence tagged on to the front outer cover. Next comes the correspondence, separately tagged to the back cover. All papers should be in strict chronological order, in the case of correspondence; the papers should be filed from below upwards so that the paper under consideration may be on top. The correspondence portion should include *inter alias* all unofficial and demi official correspondence as well as office orders, paragraphs for Reports, corrections to Manuals and their drafts. A margin of 2 inches should always be left blank on the inner edge of both sides of each note sheet.

## **2.72 NUMBERING OF PAGES**

All pins should be removed when papers are put into a case or file. However, insert a paper in a case, give it a page number and also enter page numbers of previous pages if this is necessary. Officers do not, however, record page numbers and it is the duty of the auditor dealing with the case to complete them in this respect. In numbering the pages of a case both sides of a sheet of paper should be counted, whether there is any writing on page or not though it is generally sufficient to write down only the alternate numbers thus 1,3,5,7 etc. the other sides of the sheets being understood to be numbers will run for the notes portion an correspondence portion respectively.

## **2.73 “KEEP WITH” CASE**

Routine correspondence of an ephemeral nature, e.g. reminders and interim replies, should be kept in a "keep with" case along with the main case. This will reduce the size of the main case and facilitate future handling and reference.

## **2.74 CLOSING OF A FILE**

As soon as a file or a part of a file is closed, the flags and waste papers should be removed. The tag should also be removed and the file should be stitched, if necessary, with a fresh cover along the whole length of the left hand side.

## **2.75 DESTRUCTION OF FILES**

Each section should periodically review all the files, cases, and papers in its section as per extent rules and prepare lists of those that do not seem to be required further. Those files proposed for destruction with

covering lists should be forwarded to the Admin-III section after approval of the group officer. Certain cases that contain a few orders of importance and much that is unimportant should be weeded out to retain only the important papers and the notes. Papers ordered for destruction should then be removed and requisite entries made in the old record register under the dated initials of AAO/Sup against these files and cases so removed.

.....

## **CHAPTER-III**

### **DISCIPLINE**

#### **3.1 ABSENCE DURING OFFICE HOURS**

No Group "C" staff should leave the office during the day without AAO/Sup's permission. Absence beyond a quarter of an hour in the case of an AAO/Sup as well as of assistants requires the sanction of the Branch officer. AAO/Sup should see that Assistant Supervisors/Senior Auditors/Auditors and Clerks and other staff do not leave the office before their proper time and that they are fully engaged on official work during working hours. Private work during office hours is strictly prohibited.

No person should leave his seat without the prior permission of AAO/Sup. "leaving the seat" means leaving the section without leaving the office to take tea or to go on official work to another part of the office.

#### **3.2 LUNCH RECESS**

Thirty minutes are allowed for lunch recess, from 1.00 P.M. to 1.30 P.M. Cases of assistants who exceed the time allowed should be reported by the AAO/Supervisor to the Branch Officer concerned.

#### **3.3 SMOKING IN OFFICE**

Smoking in office rooms, verandas, corridors, staircases or on the steps of the office is absolutely prohibited and AAO/Sup will see that this rule is strictly observed.

NOTE: AAO/Sup should warn the clerks and the MTS staff of their sections that if anyone is found smoking in the places mentioned in the above paragraph he will be severely dealt with.

#### **3.4 SPITTING**

Spitting anywhere in the building is strictly prohibited. Any person acting in contravention of these orders will make oneself liable to disciplinary action.

#### **3.5 GOSSIPING AND LOITERING IN THE CORRIDORS**

The practice of loitering about and talking in the staircases, corridors, verandas, and office compounds, particularly near the rooms of gazetted officers, is most objectionable and anyone found indulging in this practice, without just reason, will be liable to disciplinary action. AAO/Sup will report to the Deputy Director / Director (Administration) through their Branch Officer on such cases when they come to their notice.

#### **3.6 CENTRAL CIVIL SERVICES (CONDUCT) RULES, 1964**

All Gazetted officers and members of the office establishment are expected to be acquainted with the rules contained in the Central Civil Services (Conduct) Rules, 1964.

A copy of the rules should be supplied to each new probationer of the Indian Audit Department, whenever one is attached to the office.

### **3.7 STRICT OBSERVATION OF PROVISIONS RELATING TO CONSUMPTION OF INTOXICATING DRINKS AND DRUGS**

According to Rule 22 of C.C.S. (Conduct) Rule 1964, a Government Servant shall strictly abide by any law relating to intoxicating drinks or drugs in force in any area in which he may happen to be for the time-being and shall not be under the influence of any intoxicating drinks or drugs during the course of his duty and shall take due care that the performance of his duties at any time is not affected in any way by the influence of such drinks or drugs. He shall also refrain from consuming any intoxicating drinks or drugs in a public place and from appearing in a public place in a state of intoxication. Violation of any of these provisions would constitute good and sufficient reason for taking a very serious view and not being hesitant to impose the severest punishment on such a Government Servant.

**(Ministry of Home Affairs Department of Personal & Admn. Reforms O.M. No. 11013/3/84-Estt. (A) dt. 29.3.84 C.A.G. Endost. No 344-N-2/3-84 dt. 4.5.84.)**

A Government servant is expected to maintain a responsible and decent standard of conduct in his /her private life and not bring discredit to his / her service by his misdemeanors. In cases where a government servant is reported to have acted in a manner unbecoming of a Government servant as, for instance, by neglecting his / her spouse and family, departmental action can be taken against him on that score without invoking any of the conduct Rules. It has been held that neglect by a government servant of his / her spouse and family in a manner unbecoming of a Government servant may be regarded as a good and sufficient reason to justify action being taken against him under Rule 11 of the Central Civil Services (Classification, Control and Appeal) Rules.

### **3.8 TAKING PART IN POLITICS AND ELECTIONS**

No Government Servant shall be a member of or be otherwise associated with any political party or any organization which takes part in politics. He shall not also take part in, subscribe to or assist in any manner, any political movement or activity.

It shall be the duty of every Government Servant to endeavour to prevent any member of his family from taking part in, subscribing, or assisting in any manner, any movement or activity which is or lends, directly or indirectly, to be subversive of Government. When he fails in his endeavour, he shall make a report to that effect to the Government. Whether the conduct of any particular nature amounts to participation in a political movement is a question of fact to be decided on merits and in the circumstances of each particular case.

The responsibility for Government Servants conduct rests squarely on his shoulders and a plea of ignorance or misconception as to government attitude should not be tenable.

The question of whether attendance by Government servant at public meetings organized by political parties would amount to participation in political movements has been clarified as below: -

- (1) Attendance at meetings organized by political parties would always be contrary to Rule 5 of the Government servants conduct Rules unless all the following conditions are satisfied: -
  - (a) that the meeting is a public meeting and not in any sense a private or restricted meeting.
  - (b) that the meeting is not held contrary to any prohibitory orders or without permission, where

permission is needed.

- (c) that the Government servant does not himself speak at or take active or prominent part in organizing or conducting the meeting.
- (2) Even where said conditions are satisfied, while occasional attendance at such meetings may not be construed as participation in a political movement frequent or regular attendance by the Government servant at meeting of any particular political party is bound to create the impression that he is the sympathizer of the aims and objectives of the party and that in his official capacity he may favour or support the members of the particular party. Conduct which causes such an impression may be construed as assisting a political movement.

Government Servants have ample facilities through the medium of the press to keep themselves informed regarding the aims, objects and activities of different parties and to equip themselves to exercise intelligently their civic rights, e.g. the right to vote at elections to legislatures or local self-government institutions.

### **3.9 STRIKE/REFUSAL TO WORK/ PARTICIPATION IN "GHERAO"**

It has been clarified that "Strike" means refusal of work or stoppage or slowing down of work by a group of employees acting in combination and includes: -

- (a) mass abstention from work without permission (which is wrongly described as mass casual leave)
- (b) refusal to work overtime where such overtime work is necessary in the public interest.
- (c) resort to practices or conduct which is likely to result in or results in substantial retardation or cessation of work. They include "go slow" "sit down", "pen-down", "stay in", "token", sympathetic or any other form of strike, as also absence from work for participation in a bundh.

Instances have come to the notice of Government of India, in which employees of certain Central Government offices staged what is called "Gherao" involving forcible confinement of public servants within office premises by surrounding their place of duty and have held demonstrations/meetings both within office premises during office hours and also outside the office premises outside the office hours, tending to forcible confinement of public servant within office premise. Such demonstrations are prejudicial to public order and also involve criminal offences like wrongful restraint, wrongful confinement, criminal trespass, or incitement to commit offences. They are also subversive of discipline and harmful to public interest, and participation in them by Government servants amounts to conduct wholly unbecoming of government servant and would constitute good and sufficient reason within the meaning of Rule 10 of the Central Civil Services (Classification, Control and Appeal) Rule, 1965. A serious view will be taken of such acts of lawlessness and insubordination on the part of public servants.

**(Authority: Ministry of Home Affairs O.M. No. 25/23/66.Estt. (A) dated 9.12.66 & Ministry of Home Affairs O.M. No 25 (S) X/11/67-Estts. (A) dated 15.4.67)**

### **3.10 TREATMENT OF UNAUTHORISED ABSENCE OF CENTRAL GOVERNMENT EMPLOYEES FOR PARTICIPATION IN DEMONSTRATIONS ON WORKING DAYS**

In the event of demonstrations by the staff members beyond reasonable and permissible limits interfering with the regular working hours, the provisions of the Rules/Government order on the subject are quoted below for their guidance: -

- (i) According to Rule 7(ii) of C.C.S. (Conduct) Rules 1964, no Government servant shall resort to or in any way abet any form of strike in connection with any matter pertaining to his services or the service of any other Government servant.
- (ii) Strike means refusal to work or stoppage or slowing down of work by a group of employees acting in combination, and includes: -
  - (a) mass absence from work without permission and
  - (b) resort to practices or conduct which is likely to result in or results in the cessation or substantial retardation of work. Government servants who resort to action of the above kind violate the provision of rule 7(ii) of the Central Civil Services (Conduct) Rule 1964 and are liable to disciplinary action.
- (iii) The period of unauthorized absence as a result of acting in combination or in concerted manner, such as during a strike, without any authority or valid reasons to the satisfaction of the competent authority, and in the case of an individual employee, remaining absent unauthorizedly or deserting the post, shall be deemed to cause an interruption or break in the service of the employee, unless otherwise decided by the competent authority for the purpose of leave travel concession, quasi permanency and eligibility for appearing in departmental examination for which a minimum period of continuous service is required, provided that reasonable opportunity may be given to the employee to show cause why such action may not be taken.

### **3.11 GUIDELINES FOR DEALING WITH A SITUATION WHERE EMPLOYEES RESORT TO VARIOUS AGITATIONAL METHODS VIZ. WALK OUTS, NON-CO-OPERATION, INDEFINITE FAST, MASS TELEPHONIC CALL ETC. TO REDRESS THEIR GRIEVANCES**

Instructions have been sought out from time to time on how to deal with the situation where employees resort to various agitational methods viz. walk outs, non-cooperation, indefinite fast, mass telephonic call etc. to redress their grievances. It may be pointed out that any situation must be dealt with tactfully and firmly keeping in view the seriousness of the problem. The following instructions may please be kept in view while dealing with such situations.

- (a) Whereas details of action taken may vary from office to office, it is desirable to have a uniform approach to deal with such situations. It is, therefore, necessary to keep in close touch with the AGs of the neighbouring States.
- (b) At an appropriate time, the staff concerned should be warned in writing in regard to such participation in dharnas etc. or in regard to indecorous behaviour and their attention should be drawn to Government orders on the subject.
- (c) When staff absent themselves for any reason whatsoever from work or do not do work, those can be identified (every effort should be made to identify the individuals), it should be taken in terms of the proviso under FR 17 (1) and FR 17 (A) after following the proper procedure.
- (d) Where there is no stoppage of work on the part of an individual as such, but he/she is prima facie

guilty of indecorous behaviour or disobedience of orders, proper disciplinary action should be taken against the individuals.

- (e) It is learnt that concerned moves are being organized by the Associations representing the general non-gazetted staff, the AAO/Sup and the AOs to refuse to go on inspection work on the ground that the Government have not so far agreed to increase the Daily Allowance. The D.A. issue was taken up by the Staff side in the Joint Consultative Machinery, but the Government could not agree so far to raise the Daily Allowance. If for this reason the officials, whatsoever their rank, refuse to go for inspection work, the rationale for holding their posts ceases. If any such refusal comes to notice, the individuals concerned should be treated as on unauthorized absence and action under proviso to FR 17 (1) and FR 17 (A) should be taken and disciplinary action for disobedience of orders should also follow. The C.A.G. desires that unauthorized absence from inspections should be viewed seriously and firm action may be taken against all concerned. The delinquency on the part of higher cadres of officials should even be viewed more severely compared to an official in the lower ranks of the staff.

### **3.12 MARRIAGE**

Rule 21 of the Central Civil Services (Conduct) Rule 1964 enjoins that no government servant shall enter into or contract a marriage with a person having a spouse living. The government may, however, permit a government servant to enter into or contract any such marriage if it is satisfied that such a marriage is permissible under the personal law applicable to such Government servant and another party to the marriage and there are other grounds for so doing.

A Government servant who marries or has married a person other than of Indian Nationality shall forth with intimate the fact to Government.

With the coming into force of the dowry prohibition Act 1961, dowry "ceases to be regarded as 'customary gift' and giving or taking or abetting the giving or taking of dowry or demanding any dowry directly or indirectly from the parents or guardian of a bride or bridegroom as the case may be, are offences punishable under the provision of the Act. Government servants should not, therefore give or take or abet the giving or taking of dowry. They should not also demand dowry directly or indirectly from the parents or guardian of a bride or bridegroom as the case may be.

Any violation of the provision of the Act would constitute a good and sufficient reason for instituting disciplinary proceedings against the Government servant in addition to such legal action as may be taken in accordance with the provision of the Act.

Presents in the form of cash, ornaments, clothes or other articles made at the time of marriage by one party to the marriage to other party to the marriage shall not be deemed to be dowry for this purpose unless they are made as considerations for the marriage.

**(Authority: Rule 13 A of C.C.S. (Conduct) Rules 1964 and Govt. of India, Ministry of Home Affairs O.M. No. 25/37/65-Estt. (A) dt. 30.8.65)**

### **3.13 PLURAL MARRIAGES**

- (i) No person who has more than one wife living or who, having a spouse living marries in any case in which such marriage is void by reasons of its taking place during the life time of such spouse, shall be eligible for appointment to service; and

No women whose marriage is void by reason of the husband having a wife living at the time of such marriage or who has married a person who has a wife living at the time of such marriage, shall be eligible for appointment to service.

Provided that the Central Government may, if satisfied that there are special grounds for ordering, exempt any person from the operation of this rule.

(ii) No Government servant who has a wife living shall contract another marriage without first obtaining the permission of the government notwithstanding that such subsequent marriage is permissible under the personal law for the time being applicable to him.

(iii) No female Government servant shall marry any person who has a wife living without first obtaining the permission of Government.

A declaration to this effect should be taken from every entrant to Government service in the prescribed form as per CAG letter.

**(Authority: GIMHA OM No. 25/25/60-Ests. (A) dated 9th December 1960- File 33-509 read with CAG's No. 32-NGE. II/39-60, dated 9th January 1961)**

### **3.14 ACCEPTANCE OF DOWRY BY GOVERNMENT SERVANT**

With reference to rule 13 – A of Central Civil Services (Conduct) Rules 1964, no Government Servant shall

(i) give or take or abet the giving or taking of dowry, or

(ii) Demand directly or indirectly, from the parent or guardian of a bride or bridegroom, as the case may be, any dowry.

For the purpose of this rule, “dowry” has the same meaning as in the Dowry Prohibition Act, 1961 (28 of 1961). Section 2 of this Act defines dowry as “any” property or valuable security given or agreed to be given directly or indirectly by one party to marriage to the other party to marriage or by the parents of either party to a marriage or to any other person at or before the marriage as consideration for the marriage of the said parties”, but does not include “Dower” or in the case of persons to whom the Muslim Personal Law (Shariat) applies.

For removal of doubts, Explanation 1 below section 2 declares that “any” present made at the time of marriage to other party to the marriage in the form of cash, ornaments, clothes or any other articles, shall not to be deemed to be dowry within the meaning of this section, unless they are made as consideration for the marriage of said parties.

Persons, who are guilty of giving or taking or abetting the giving or taking of dowry or demanding any dowry directly or indirectly from the parents or guardian or a bride or bridegroom as the case may be, are liable to punishment prescribed in section 3 and 4 of the Act. Dowry can, therefore, no longer be treated as “Customary Gift”. Any violation of the provisions of Dowry Prohibition Act 1961 by a Government Servant will constitute a good and sufficient reason for instituting disciplinary proceedings against him, in addition to such legal actions may be taken against him in accordance with the provisions of the Act.

(Authority: D.P. & A. R. Not. No. 11013/12/75. Estt. (A) dated 13.02.1976)

### **3.15 PROCEDURE TO BE FOLLOWED FOR OBTAINING THE PERMISSION OF THE GOVERNMENT TO REMARRY WHILE FIRST WIFE IS LIVING**

Before cases are referred to the Home Ministry for advice whether the permission sought by a government servant may be granted for a second marriage, while the first wife is living, enquiry should be made on the following lines.

The first point to be scrutinised, when an application for permission is received, is whether such marriage is permissible under the personal law applicable to the applicant. If so, the question arises whether there are sufficient grounds for allowing an exception to the Government's general policy. The alleged grounds given in support of the request should be scrutinized to see whether the allegations are true and well founded. In case the wife also joins the application, it should be ascertained whether she has willingly consented and whether any letter etc. purporting to proceed from her is genuine and is the outcome of her own free will. For this purpose, higher officers in the department concerned may, if necessary, send for the applicant and his wife and make personal enquiries. Where the first wife's views have not been stated, that should, if possible, be ascertained. If permission is sought on grounds of alleged sickness of the wife as much information as possible should be obtained in consultation with the medical authorities. The arrangements made by the husband for the maintenance of the first wife should also be ascertained and it should be examined whether they are satisfactory.

### **3.16 INFORMATION TO NON-OFFICIALS**

No employee of the office is permitted to give any information connected with office matters to an outsider, whether a government servant or a private person, or copies of the office papers, without the express sanction of his Gazetted Officer; nor is he permitted to communicate or correspond with any newspaper on official matters without the sanction of the Principal Accountant General. In this connection attention of all concerned is invited to Rule 11 of the Central Civil Services (Conduct) Rules, 1964 and they are cautioned that any communications to non-officials, which may involve an infringement of that rule, will be severely dealt with. In case an outsider is allowed access to any of the office records by a Gazetted Officer, the clerk responsible for such records should be present during the examination.

### **3.17 SUPPLY OF COPIES OF DOCUMENTS RELATING TO PERSONAL MATTERS OF GOVERNMENT SERVANTS TO NON-OFFICIALS**

The Comptroller and the Auditor General has, in consultation with the Government of India, decided that there is no obligation on Government or their officers to supply copies of documents relating to their staff to the Insurance Companies or anyone else, and the request for such copies need not be complied with.

### **3.18 APPROACH TO MEMBERS OF LEGISLATURE**

Members of office are also prohibited from approaching members of Legislature with a view to have their individual grievances made the subject of interpolations. As, such a practice, usually entails the disclosure to non-official persons of information which has been obtained from official sources or has come into the possession of the members of the establishment concerned in the course of their officials' duties, and any such disclosure is a breach of rules 11 and 20 of the Central Civil Services (Conduct)

Rules, 1964. Any communication to a member of the Legislature which involves an infringement of the said rules will be seriously dealt with.

### **3.19 ADDRESSING A MEMBER OF THE UNION PUBLIC SERVICE COMMISSION**

In case of recruitment by selection, an officer of the Government of India addressed a demi-official letter to one of the members of the Commission who was on the Selection Board. The Government of India have ordered that if it is considered essential to address the Commission demi-officially, it is in the fitness of the things that such demi-official letters should be addressed either to the Secretary of the Commission or to the Chairman. Such correspondence is however, kept to the minimum.

(Comptroller and Auditor General's endorsement No. 3280-G.B.E/881-17, dated July, 13 1948)

### **3.20 FURNISHING INFORMATION TO MEMBERS OF PARLIAMENT OR LEGISLATURE**

Members of parliament or Legislature asking for information, on a point of work or organization of the Indian Audit and Accounts Department, may be given the information if the Director General sees no objection. If, however, such a member writes criticizing executive or administrative arrangements he should be told that the Director General is not at liberty to discuss these arrangements as he is responsible for them to the Comptroller and Auditor General to whom any representation should be addressed. In the letter's case, a copy of the correspondence should be sent to the Comptroller and Auditor General if the point under discussion is of any importance. Any Correspondence of this nature should be put up to and passed by the Director General .

### **3.21 OBSERVANCE OF COURTESIES BY OFFICERS OF THE GOVERNMENT OF INDIA IN THEIR DEALING WITH MEMBERS OF PARLIAMENT**

Due courtesy and regard should be shown to the members of parliament who have important functions to perform under the constitution. It should be the endeavour of every officer to help them to the extent possible in the discharge of their functions.

In case, however, when officers are unable to accede to the request or suggestion of the Members of Parliament, the reasons of the officer's inability to do so should be courteously explained to them. For purposes of interview, the members of parliament should be given preference over other visitor and in the very rare cases where an officer is unable to see a Member of Parliament at a time about which he had no previous notice the position should be politely explained to the Member and another appointment fixed in consultation with him. The same courtesy and regard should be shown to Member of Legislatures attending public functions wherein particular seats befitting their position should be specially kept earmarked for them.

Where any meeting convened by government is to be attended by Members of the Parliament , special care should be taken to see that due notice with precise date and time of the meeting is given to them so that no inconvenience is caused to them in their busy schedule.

### **3.22 ACCEPTANCE OF PART TIME EMPLOYMENT BY GOVERNMENT**

## **SERVANTS AFTER OFFICE HOURS**

While the competent authority may permit a government servant under S.R. II to undertake work of a casual or occasional character, for a whole time Government servant should not ordinarily be allowed to accept any part-time employment whether under Government or elsewhere, even though such employment may be after office hours. In rare cases, where it is proposed to give permission to a government servant to accept part time employment prior sanction of Government should be obtained. A part-time lectureship in an educational institution is to be regarded as a regular remunerative occupation which requires the sanction of Government under Conduct Rule 15.

**(Government of India, Ministry of Finance, letter No f.10(94)E, II(B)/58, dated 13.9.1958 Read with Govt. of India Ministry of Home Affairs, O.M. No. 25/42-T Ests.(A), dated 16th October 1958).**

### **3.23 GOVERNMENT SERVANTS ACTING AS CORRESPONDENT OF NEWSPAPERS AND JOURNALS**

No officer should act as correspondent, honorary or paid, occasional or regular to newspapers and journals or edit any newspaper or any other periodical publication, without the previous permission of the Comptroller and Auditor General. Before giving permission, the Comptroller and Auditor General will consult the Central Government in the Ministry of Home Affairs so as to ensure uniformity of practice between all ministries.

If a government servant acts as a correspondent of newspapers and journals without obtaining the previous sanction, he infringes Rules 8 and 15 of the Central Civil Services (Conduct) Rules, 1964. To act as a regular correspondent of a newspaper is clearly "employment". No officer should become a member of any Committee or Board of Management of institutions which are under the audit control of the Comptroller and Auditor General. Cases where this is proposed should be referred to the Comptroller and Auditor General.

### **3.24 ACQUISITION/ DISPOSAL OF MOVABLE, IMMOVABLE AND VALUABLE PROPERTY**

In connection with the acquiring or disposal of any movable, immovable property by lease, mortgages, purchase, sale or gift or otherwise either in the name of any member of his family or in the name of any other person, refer to Rule 18 of the Central Civil Services (Conduct) Rules, 1964. The declaration submitted by government servant in pursuance of the said rule should be kept with the authority which maintains the Personal File of the officers/ officials concerned.

### **3.25 QUESTION WHETHER A CHARGE OF CORRUPTION SHOULD BE HELD PROVED, IN CASE THE OFFICER CONCERNED IS UNABLE TO ACCOUNT SATISFACTORILY POSSESSION BY HIMSELF OR BY ANY OTHER PERSONS ON HIS BEHALF OR PECUNIARY RESOURCES OF PROPERTY DISPROPORTIONATE TO HIS KNOWN SOURCES OF INCOME**

The Government of India considers that a presumption of corruption fairly and reasonably arises against an officer who cannot account for large accretion of wealth which he could not possibly have saved

from his known sources of income. Such a principle has received statutory recognition in section 13 of the Prevention of corruption Act, 1988, and it is considered that its application in a departmental enquiry would not be unjust or inequitable. Accordingly, it has been decided that if an officer against whom a departmental enquiry is held is unable to explain satisfactorily the large wealth amassed by him the officer holding the enquiry is entitled to act on the presumption that such wealth was amassed by corrupt means.

(GOI, Ministry of Home Affairs, O.M. No. 39/19/51-Ests. Dated 8th October 1952,)

### **3.26 PUBLIC DEMONSTRATION IN HONOUR OF GOVERNMENT SERVANT**

Rule 14 of the Central Civil Services (Conduct) Rules, 1964 prohibits Government Servants, except with the prior sanction of Government and subject to certain minor exceptions, from receiving any complementary or valedictory address or accepting any testimonials or attending any meeting or entertainment held in honour or in honour of any other Government Servant. The question has been raised whether it would be in consonance with the spirit of this rule for Government servants to accept invitations to declare buildings, etc. open or to lay the foundation stones of new buildings or to allow roads, bridges, parks, or public institutions such as hospitals, schools or colleges to be named after them. The Government of India, have in consultation with the Comptroller & Auditor General, decided that it would not be against the spirit of Rule 14 of the Central Civil Services (Conduct) Rules for Government servants to act in the above manner but would indeed be inappropriate and inconsistent with the role of detached impartiality legitimately expected of Government Servants and that it would generally have an unwholesome effect. While it is possible that there may be occasions when Government Servants may have to participate in such functions which have a cultural and sociological significance especially in remote areas they should as far as possibly refrain from associating themselves with such functions. In cases where they are in doubt, they should get the prior permission of their superior officers.

(GOI, M.O.H., Memo No. 25/24/57-Ests. (A), dt. 6.9.1957)

### **3.27 SECURITY FOR LOANS FROM CO-OPERATIVE CREDIT SOCIETIES**

The Government of India have decided that it is not their intention that employees should be prevented from standing security for members of the same or of a different establishment for loans obtained from co-operative Credit Societies.

### **3.28 INDEBTNESS AND INSOLVENCY**

Indebtedness impairs an employee's efficiency, morale and under certain circumstances renders a government official liable to disciplinary action under CCS/C.C.A. Rules, 1965.

The employee standing surety for another is strictly discouraged and has observed that heavy indebtedness out of a government servant's standing surety for another is by itself an imprudent Act not due to circumstances beyond his control.

### **3.29 INDEBTNESS OF INDIAN AUDIT AND ACCOUNT SERVICE OFFICER**

If the pay of any officer of the Indian Audit and Account Service is attached by order of the Civil Court,

the fact must be immediately reported to the Principal Director/Director General together with the explanation of the officer. All attachment orders, other papers in connection there with and the attachment register will be kept by the Admin II section and the AAO/Sup of the concerned sections is personally responsible for their safe custody.

### **3.30 MISCONDUCT OF ASSISTANT SUPERVISOR/SENIOR AUDITOR/AUDITORS/CLERKS/DEO/MTS**

It is the duty of every AAO/Sup to bring to the notice of the Principal Director / Director General through his Branch officer and the Director (Administration) immediately, any disorderly conduct, irregular habit, or insubordination on the part of any other staff in his department, and as soon as the matter has been investigated, to submit a full report for the orders of the Principal Director / Director General.

### **3.31 DISMISSAL FOR INCOMPETENCE AND MISCONDUCT**

Every employee in the office has clearly to understand that inefficiency, misconduct, irregular attendance and indebtedness may at any time lead to his degradation or removal from the office. In all cases of dismissal except in consequence of facts or inferences elicited at a judicial trial or in the case of persons who abscond with accusations over their heads, the charges must be reduced to writing, the defence must either be taken in or reduced to writing, and the decision on the defence must also be in writing.

**NOTE: -1** In order to reduce long delays in the disposal of disciplinary cases against Government Servants, it has been decided by the Government of India that time limit should be fixed within which replies must be submitted by the persons concerned to the charge framed against them. This time limit is to be rigidly enforced.

**NOTE: -2** The circular intimating the dismissal of government servant or the discharge of those, it is considered undesirable to re-employ in Government service as well as circular regarding candidates for employment who are found to be unsuitable for government service, should, in future, invariably be sent to all State Governments and Chief Commissioners also.

**NOTE: -3** A Copies of all communications relating to dismissal or removal of persons found unsuitable for government employment may in future be addressed also direct to the Union Public Service Commission, New Delhi.

\*\*\*\*\*

## **CHAPTER-IV**

### **PETITIONS, MEMORIALS, REPRESENTATION, PERMISSION ETC**

#### **SECTION A**

##### **4.1 PETITIONS AND MEMORIALS**

The instructions dealing with the submission of petitions to the President contained in the Ministry of Home Affairs Notification NO. 40/5/50-Ests (B), dated 8-9-54 as amended from time to time are not applicable to the IAAD. However petitions and memorials addressed to the President may be forwarded to the Comptroller and Auditor General in duplicate.

**Authority: Para 3.39 of C&AG MSO(Administrative) Vol.I third edition**

##### **4.2 MEMORIALS TO THE PRESIDENT AND OTHER AUTHORITIES**

Copies of Memorials addressed to the President or other higher authorities should not be forwarded by the memorials direct to those authorities. Such representations should be forwarded through proper channels.

##### **4.3 MEMORIALS TO THE COMPTROLLER AND AUDITOR GENERAL**

Memorials or representation addressed to the Comptroller and Auditor General by members of the office establishments should in all cases be sent through the Principal Director / Director General and in duplicate. A sparecopy for the file of this office must be supplied at the same time over and above the number of numbers which have to be forwarded.

##### **4.4 REPRESENTATION FROM GOVERNMENT SERVANTS ON SERVICE MATTERS- ADVANCE COPIES**

The Comptroller and Auditor General has observed that members of the staff of the Audit and Accounts offices sometimes send advance copies of representations to him and has pointed out that such a procedure is regular and contrary to the Standing Orders.

Whenever, in any matter connected with his service rights or conditions, a Government Servant wishes to press a claim or to seek redress of a grievance, the proper course for him is to address his immediate official superior, or the Head of his office, or such other authority at the lowest level, as is competent to deal with the matter. An appeal or representation to a higher authority must not be made unless the appropriate lower authority has already rejected the claim or refused belief or ignored or unduly delayed the disposal of the case. Representations to still higher authorities (e.g. those addressed to the President, the Government, or to Ministers) must not be made unless all means of securing attention or redress from lower authorities have been exhausted even in such cases the representation must be submitted through the proper channel (i.e. the Head of Office, etc; concerned). There will be no objection at the stage, but only at that stage, to an advance copy of the representation being sent directly.

**(Government of India, Ministry of Home Affairs, New Delhi, office Memo No. 118/52-Ests. Dated the**

**30th April, 1952 and GoI, Ministry of Personnel, Public Grievances & Pensions DoPT OM No. N0.1101310812013-Estt.(A)-III Dated 06.06. 2013).**

#### **4.5 REPRESENTATIONS ADDRESSED BY NAME TO THE COMPTROLLER AND AUDITOR GENERAL**

It is not permissible for the members of the staff to address a personal letter to the Comptroller and Auditor General or send advance copies of their representations to him by name. Representations, appeals, etc. should be sent to his office through the proper channel. In this connection attention is also invited to paragraph 308 of the Comptroller and Auditor General's Manual of Standing Orders.

Further, Headquarters' Office has issued guidelines for forwarding representations by Government servants on service matters on 07.07.2014, 19.09.2024 and 21.10.2024.

**(Authority: Circular no. 26-Staff Wing/2014 circulated vide letter no. 1149-Staff(App-II) 67-2014/ Vol-III dated 07.07.2014 and letter no. 892/SA-V/Representation/64-2023 dated 19.09.2024 and letter no. 03/2024/Representation/825/CA-I/165--2024 dated 21.10.2024 ).**

#### **4.6 WITHHOLDING OF APPEALS**

As soon as any appeal addressed to the Comptroller and Auditor General is withheld by the Principal Director / Director General, necessary particulars of the appeal should be entered in a register to be maintained for the purpose in the Administration section. Returns showing the list of appeals withheld during the preceding quarter should be submitted to the Comptroller and Auditor General on the 15th January, April, July and October of every year. If there is no case to report in any quarter, a "NIL" return need not be sent.

#### **4.7 APPEALS TO GOVERNMENT OF INDIA BY DISMISSED SERVANTS**

Whenever an appeal from dismissed Government Servants is submitted to the Government of India, his service book should invariably be forwarded with it for inspection. (Vide G.I.H.D. No. 1925-34 dated the 21st June, 1902).

#### **4.8 REPRESENTATIONS**

No application for permanent or temporary promotion may be submitted and appeals and representation against order of promotion are discouraged. If any member of the office, however, determines to make such an appeal or representations, it must be written in a becoming manner and submitted through the Branch Officer and the Group officer to the Director (Admn) for detailed examination and submission to the DG/PD for orders.

#### **4.9 CUSTODY OF REPRESENTATIONS AND APPEALS**

All papers relating to representations and appeals, on which orders have been passed, should be returned to the Administration Section for file in the personal file of the individuals concerned. The papers should, under no circumstances, be handed over to the individuals concerned. They may, if they wish, keep copies of the orders passed, but once a representation or appeal is lodged and orders passed on it, it becomes the property of the Government.

#### **4.10 GRANT OF HONORARIUM**

The grant of an honorarium to any member of the office establishment in return for work performed either within or outside the course of his ordinary duties, is subject to the condition that the work performed is of such exceptional merit or of such an arduous or peculiar nature as to justify a special reward, and the reasons for the grant of the honorarium must invariably be recorded in writing by the sanctioning authority.

The amount of an honorarium should be fixed with due regard to the value of the service in return for which it is given.

### **SECTION B**

#### **4.11 PERMISSION TO APPLY FOR APPOINTMENTS OUTSIDE THE OFFICE**

The transfer of the services of a government servant from one government office or department to another is regulated by the “Government Servant Application for posts (Central Services) Rules 1943” relevant portions of which are reproduced below: -

“An applicant for appointment to a central service or to any post in a Central Service shall not be eligible for appointment if he is in the service of the (Government of India) and has applied without the consent of the Head of the office in which or Department of Government under which he is employed”. Permission to a Government servant employed in a central service to apply for, or for transfer of his services to a post in another Department or Office of the Central Government, or a State Government or a Chief Commissioner shall not be granted except in such cases and in such circumstances as may from time to time be specified by order of the Central Government.

#### **4.12 PRINCIPLES TO BE OBSERVED IN CONSIDERING THE QUESTION OF FORWARDING APPLICATIONS OF CENTRAL GOVERNMENT SERVANTS FOR EMPLOYMENT ELSEWHERE**

The general principles to be observed in considering the question of forwarding applications of employees for employment elsewhere are stated below:

##### **(i) Applications from permanent government servants.**

When a person has been offered and has voluntarily accepted a permanent post or a permanent appointment to a regular service, which offers him the chance of an honorable career with prospects of earning promotion on merits, he is under a moral obligation to devote his energies whole-heartedly to the performance of his duties in that post or service and not to divide his attention and efforts in search for employment elsewhere.

He cannot justly complain of hardship or harsh treatment if his application for any other post or employment is withheld.

##### **(ii) Application from purely temporary employees**

A temporary employee, who has no reasonable prospects of being made permanent, can hardly be blamed if he is on the lookout for better and longer lasting employment. Withholding of this application would result in hardship. Applications from such employees should therefore be readily forwarded

unless there are compelling grounds of public interest for withholding them.

**(iii) Applications from temporary employees who may have good prospects of being made permanent in due course**

An employee of this type falls somewhere between the types mentioned under (i) and (ii) above, and an application from him should therefore be dealt with on its own merits, with reference to the circumstances in each case.

**(iv) Applications of employees who have been given some special technical training at Government expense after commencement of service**

The State is justified in demanding that in return for the training given to him at State expense, an employee of this category should continue to give his service to the State, in the post or service in which such training was given. He cannot justifiably complain of hardship if he is not allowed to capitalise the special qualifications so gained by seeking other better employment. Withholding of application in such a case is, therefore, justifiable.

**(v) Applications of government servants for employment in private business and industrial firms etc.**

The rules quoted above do not specifically deal with applications of this category. On general grounds, however, it is highly improper for a government servant to apply without permission for employment in a private business or industrial firm etc. Where a government servant seeks permission to apply for such employment, he should first offer to resign or retire from Government service. He cannot complain of hardship if he is not granted permission to apply for such employment or if his application is withheld. While a person remains in Government service, the State can legitimately refuse to surrender its claim on his services in favour of a private employer.

Notwithstanding anything contained in the preceding paragraph, in a case in which a particular employee cannot be spared without serious detriment to important working hand, public interest would justify withholding of his application even if otherwise the application would have been forwarded.

It may be added for information that where for good and sufficient reasons, an application is withheld no infringement of any Constitutional right is involved.

**(Authority: G.O.I., Ministry of Home Affairs O.M. No. 170/51-Estsm dated 31st October 1952)**

**4.13 PROCEDURE FOR SUBMISSION OF APPLICATION BY SERVING EMPLOYEES IN RESPONSE TO ADVERTISEMENTS OF UPSC/SSC AND BANKING SERVICE RECRUITMENT ETC.**

The persons already in Government service who wish to appear at a competitive examination conducted by the Union Public Service Commission or wish to apply for a post, recruitment to which is proposed to be made by selection through the Union Public Service Commission may submit their complete application in the prescribed printed form direct to the Commission. They should, however, immediately inform the Head of their Office/Department, giving details of the examination/post for which they have applied, requesting him to communicate his permission to the Commission directly. In case the Head of Office/Department consider it necessary to withhold the requisite permission he should inform the Commission within thirty days of the closing date for the receipt of the application.

In case no such communications are received from the Head of Office/Department it shall be presumed by the Commission that there is no objection on the part of the employing department to the candidature of the Government employees in question to be considered by the Commission.

**(Authority: D.P.& A.R., O.M.No.42015/4/78-Estt. (C) dated 1st January 1979)**

The above procedure may also be followed in regard to forwarding of application of Government employees for posts advertised by Staff Selection Commission.

As regards the posts advertised by the Banking Service Recruitment Boards are concerned, the application should be routed through the controlling authorities.

Such Government servants who apply direct should not be granted permission

**(Authority: D. P. & A.R., O.M. No.28016/1/80-Estt. (C) dated 18.7.1980)**

**DOPT, GoI vide OM no. 280011/1/2013-Estt. (C), dt. 23.12.2013 has issued consolidated instruction on forwarding of application of Govt. servants for outside employment, which should also be considered before forwarding any such application.**

#### **4.14 APPLICATIONS FROM EMPLOYEES AGAINST WHOM DISCIPLINARY CASES ARE PENDING**

Applications of Government servants for the posts should not be forwarded when disciplinary proceedings against them are contemplated, whether for a major or for a minor penalty. In other words, when the conduct of a government servant is under investigation and the investigation has reached a state at which a prima facie case can be made out against the Government servant, but formal charge-sheet is yet to be issued, the application of such Govt. servant should not be forwarded.

Application of a Government servant for appointment whether by direct recruitment, transfer on deputation or transfer to any other post should not be considered forwarded, if he is under suspension

#### **4.15 MEDICAL PRACTICE**

Any (non-medical) Government servant who practices Homeopathic or any other form of medical treatment without the previous sanction is acting in contravention of the provisions of Rule 15 of the C.C.S. (Conduct) Rules, 1964. As medical practice by unqualified practitioners is open to obvious objections and as government servant who undertake this must find it difficult to avoid distraction from their official duties, all applications for sanction should be refused.

#### **4.16 PERMISSION FOR APPEARING IN VARIOUS EXAMINATIONS**

Permission for appearing in various Examinations is given in this office as per guidelines given in DOPT Circular mentioned below and circular received from Hqrs. Office from time to time.

**Authority : Government of India, Ministry of Personnel, Public Grievances and Pensions, DOPT circular No. 28011/1/2013-Estt© dated 23.12.2013**

#### **4.17 PERMISSION FOR PURSUING HIGHER EDUCATION**

Permission for appearing in higher education is given in this office as per guidelines given in

Circular mentioned below and circular received from Hqrs. Office from time to time.

**Authority : Government of India, Ministry of Home affairs Circular No. 130/54-Ests(A)-11 New Delhi-2, dated 28.02.1955**

#### **4.18 COMMITTALS TO PRISON**

Any member of the office committed to prison, either for debt or on a criminal charge, should, be considered as under suspension from the date of his arrest and not allowed to draw any pay until the termination of the proceedings against him, when an adjustment of his allowances should be made according to the circumstances of the case, the full amount being given only in the event of his being acquitted of blame or (if the imprisonment was for debt) of its being proved that his liability arose from circumstances beyond his control.

#### **4.19 PROCEDURE TO BE FOLLOWED FOR ALLEGED CRIMINAL MISCONDUCT OF GOVERNMENT SERVANTS**

The Government of India has decided that following procedure should normally be adopted in cases of alleged criminal misconduct of government servants:

- (i) As soon as sufficient evidence is available for the purpose in the course of investigation in cases of misconduct whether such investigation is conducted departmentally or through the police (including the special police Establishment) action should be taken under the Civil Services Rules (classification, control and appeal) or other appropriate disciplinary rules, and disciplinary proceedings should be initiated forthwith. Such departmental proceedings need not interfere with the police investigation, which may be continued where necessary, after the departmental proceedings are concluded and the penalty, if any, imposed as a result thereof, the question of prosecution should be considered in the light of such materials as may have become available as result of the investigation.
- (ii) In suitable cases criminal proceedings should thereafter be initiated. Before initiating such proceedings, advice or evidence should be obtained from government counsel and in more important cases from the Attorney General or the Solicitor General. Where the conduct of an officer discloses a grave offence of a criminal nature, criminal prosecution should be the rule and not the exception. Where the competent authority is satisfied that there is no criminal case which can be reasonably sustained against such an officer, criminal prosecution should not of course be resorted to, but prosecution should not be avoided merely on the ground that the case might lead to an acquittal.
- (iii) Should the decision of the trial court or the appellate court, as the case may be, lead to the acquittal of the accused, it may be necessary to review the decision taken earlier as a result of the departmental proceedings. A consideration to be taken into account in such a review would be whether the legal proceedings and the departmental proceedings covered precisely the same ground. If they did not, and the legal proceedings related only to one or two charges, i.e., not the entire field of departmental proceedings it may not be found necessary to alter the decision already taken, moreover, it should also be remembered that while the court may have held that the facts of the case did not amount to an offence under the law, it may well be that the competent authority in the Departmental proceedings might hold that the government servant was guilty of a departmental misdemeanour and he had not behaved in the manner in which a person of his position was expected to behave.

(iv) If departmental action against him is considered desirable, it will be necessary to follow the provisions of the relevant disciplinary rules, and where necessary, the substantive provision of Article 311(2) of the constitution.

**(Authority: - Government of India, M.O. Home affairs O.M. No 3930-Estt. Dated 7<sup>th</sup> june, 1995 )**

#### **4.20 SPEEDY DISPOSAL OF DISCIPLINARY CASES**

The Government of India have ordered that the very great importance of securing a prompt investigation and speedy disposal of disciplinary cases should constantly be borne in mind and while the officer who may have to be entrusted with the conduct of disciplinary enquiries particularly in cases of bribery and corruption, should give all reasonable facilities to the accused to make their defence, they should firmly resist any tendency on the part of the accused officers to adopt dilatory tactics.

In suitable cases recourse may also be had to the Public Servant (Enquiries) Act, 1850, which gives power to the authorities appointed to hold enquiries to summon witnesses and to record their evidence on oath.

#### **4.21 SEEKING REDRESS IN COURTS OF LAW BY GOVERNMENT SERVANTS OF GRIEVANCES ARISING OUT OF THEIR EMPLOYMENT OR CONDITIONS OF SERVICE**

In the matter of grievances arising out of government servant employment or conditions of service, the proper course is to seek redress from the appropriate departmental and governmental authorities. Any attempt by a Government Servant to seek a decision on such issues in a court of law (even in cases where such a remedy is legally admissible) without first exhausting the normal official channels of redress, can only be regarded as contrary of official propriety and subversive of good discipline and may well justify the initiation of disciplinary action against the government servant.

\*\*\*\*\*

## **CHAPTER V**

### **WRITING OF ANNUAL PERFORMANCE APPRAISAL REPORTS (APAR)**

#### **5.1 PREPARATION AND MAINTENANCE OF ANNUAL PERFORMANCE APPRAISAL REPORTS (APAR)**

The existing nomenclature of the Annual Confidential Report (ACR) have been modified as Annual Performance Appraisal Report (APAR). The performance of every Government servant is assessed annually (April-March) through his/her Annual Performance Appraisal 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, selection for deputation, selection for foreign assignment etc. In the following paragraphs, the salient features of the existing instructions issued from time to time and still in force as on date, on preparation and maintenance of APAR has been consolidated for information, guidance and compliance of all concerned. The section entrusted with the maintenance of APAR after its receipt shall disclose the same to the officer reported upon. Performance appraisal files should be handled like confidential document.

#### **5.2 IMPORTANCE OF ANNUAL PERFORMANCE APPRAISAL REPORT**

- a) The Annual Performance Appraisal Report (APAR) is an important document and forms the basic material for assessing the character, conduct, capabilities and performance of a Government servant throughout the year. It serves as the basis for assessing the suitability of a Government servant for his/her career advancement in the form of confirmation, promotion, placement, deputation, financial upgradation etc.
- b) It is in the interest of the every Government servant that he/she should know how well or otherwise, he/she is performing the job assigned to him/her. In fact, he/she would be more interested to know particularly the defects and shortcomings which would affect his/her career advancement in the long run. Unless he/she comes to know of them in time and overcomes them by taking remedial measures, he/she cannot plan his/her career development in a systematic manner.
- c) The system of APAR has two principal objectives. First objective is to improve the performance of the subordinate in his/her present job and second objective is to assess the potentialities of the subordinate and prepare him/her through appropriate feedback and guidance. It ensures the efficiency and effectiveness of an employee. A credible APAR is thus important not only for the employees but also for the Department as well.
- d) At present while assessing the suitability of a Government servant for his /her career advancement, the various committees like the Departmental Promotion Committee (DPC) have only the APARs to rely upon while making the assessment. At times the assessment made by the DPCs on the basis of APARs alone, are at variance with the real qualities of the person assessed. Therefore the APARs are required to be written with the greatest care, so that the work, character, qualities and capabilities of the officer reported upon can be accurately judged from the report.

#### **5.3 ANNUAL PERFORMANCE APPRAISAL REPORT:**

- a) An Annual performance Appraisal Report (APAR) shall be written for every financial year (April - March).
- b) An Annual Performance Appraisal Report (APAR) shall be written for all categories of employees in Group 'A', Group 'B' and Group 'C'.
- c) No Annual Performance Appraisal Report need to be written for honorary or part-time employees. However Annual Performance Appraisal Report shall be written for a Government servant appointed on a contract basis. The APAR of the Government servant appointed on contract basis can be the basis to assess his/her performance and to decide whether the contract may be renewed if the circumstances require an extension of the contract.
- d) No Annual Performance Appraisal Report need to be written for Group 'D' employees. However a performance report on the work and conduct of such employees shall be written by the controlling officer.
- e) No Annual Performance Assessment Report need to be written for a Government servant joining during the year and have put in less than ninety days of service when the report is normally due. In such cases a 'No Report Certificate' shall be placed in the APAR dossier certifying that "no report is written for the period from \_\_\_\_\_ to \_\_\_\_\_ since the period is less than ninety days". (see para 19)
- f) For the purpose of computing the ninety days, any leave availed for more than 15 days at a time by the officer to be reported upon shall be excluded.

#### **5.4 FORMAT:**

- a) The format of the Annual Performance Assessment Report (APAR) shall be as prescribed by the department of Personnel and Administrative Reforms (P&AR) from time to time.
- b) The format at Form I shall be applicable for Assistant Audit Officer / Supervisor / Hindi officer.
- c) The Format at Form II shall be applicable for Stenographer / Personal Assistant / Private Secretary / Senior Private Secretary.
- d) The Format at Form III shall be applicable for Assistant Supervisor / Senior Auditors/ Auditors / Junior Translator.
- e) The format at Form IV shall be applicable for clerk / Data Entry Operators.

Above mentioned APAR Format is placed in appendix IX.

#### **5.5 PERFORMANCE REPORT OF MTS STAFF:**

- a) Presently no performance reports are recorded for Group 'D' employees, as a result there is no satisfactory system for the purpose of judging the relative merit of the employee at the time of his/her promotion, confirmation, financial upgradation etc. At present, the system of obtaining 'fitness certificate' of the employee at the time of his/her career advancement does not truly reflect the actual performance of the employee or the suitability of the employee thereby compromising efficient delivery of service.

- b) Thus, the maintenance of regular performance reports would prove a useful record which may be utilized for purpose of career advancement as well as for purpose of general discipline. Henceforth, an assessment report on the performance of such employees for every financial year shall be recorded by the controlling officer as per the format at Form IV and placed in personal file of the employee.

## **5.6 MAINTENANCE AND CUSTODY OF APAR:**

- a) The APAR in respect of every official shall be maintained by the concerned department which controls the service of the official.
- b) The APAR of all Gazetted Officers shall be in the custody of the Administrative Head of the Cadre Controlling Authority.
- c) The APAR of all non Gazetted Officers shall be in the custody of the Head of the Department.
- d) Register of the APARs shall be maintained by the Custodian year wise.

## **5.7 TIME SCHEDULE FOR PREPARATION AND COMPLETION OF APAR:**

The time limit for completion of Annual Performance Assessment Report shall be as prescribed in Schedule -I at the end of this chapter.

## **5.8 AUTHORITIES FOR WRITING PERFORMANCE REPORTS:**

- a) In order to minimize the operation of the subjective element and of conscious or unconscious bias, the Annual Performance Assessment Report on every employee should contain the assessment of more than one officer except in cases where there is only one supervisory level above the officer reported upon. The authorities prescribed at various levels are briefly classified below:
  - i) **REPORTING AUTHORITY** means the authority supervising the performance of the officer reported upon during the period for which the APAR is written or any such other authority as may be specifically empowered in this behalf by the Government.
  - ii) **REVIEWING AUTHORITY** means the authority supervising the performance of the Reporting Authority during the period for which the APAR is written or any such other authority as may be specifically empowered in this behalf by the Government.
  - iii) **ACCEPTING AUTHORITY** means the authority supervising the performance of the Reviewing Authority during the period for which the APAR is written or any such other authority as may be specifically empowered in this behalf by the Government.
- b) The assessment of the performance of an employee at more than one level ensures a greater degree of objectivity and fairness. However, in the case of certain posts (eg. Personal staff attached to officers, Dy. Director/Director, PD/DG etc.) wherein there is only one supervisory level above him/her, the assessment will be at the level of Reporting Authority only. The APAR with the assessment of the Reporting Authority shall be considered as a complete APAR.
- c) Only one report shall be written on a Government servant for a particular period during the course of the financial year and there shall be a single reporting, reviewing and accepting authority at each

level of the assessment.

- d) When more than one person of the same superior level supervises the performance of the Government servant, the Government shall identify the Reporting/Reviewing/Accepting Authority, as the case may be, who has/have supervised substantial work of the officer reported upon of the period under report.
- e) If the Officer reported upon occupies more than one post, the Government shall identify the post (substantive) to report, review and accept in advance of the relevant assessment year.
- f) The Annual Performance Assessment Report should be objective, frank and honest. The APAR, in order to be useful, must give a critical analysis of the qualities as well as the faults of the government servant. It should be possible on the basis of APARs to judge the caliber of the Government servant as to whether he/she is good or average or poor in his/her performance. Also, the manner of writing APAR would reveal the ability of the Reporting/Reviewing Authority in assessing the character, qualities and faults of his/her subordinate.
- g) All officers who are charged with the responsibility of either reporting, reviewing or accepting the APAR should lay proper emphasis on the correct appraisal of the conduct, work and merit of the officer reported upon. They should have carefully observed the work and conduct of those under their control and the APAR should be based upon such observations as well as periodical inspection.
- h) The Reporting/Reviewing Authority should also not shy away from reporting shortcomings in performance, attitudes or overall personality of the officer reported upon.
- i) Inability or failure to report properly and objectively and undue delay in submission of the reports will be construed as an adverse trait in the Reporting/Reviewing Authority themselves and commented upon by their superior officers.

## **5.9 SELF APPRAISAL:**

- a) The APAR is to be initiated by the Government servant to be reported upon himself/herself. The officer reported upon is required to give a brief description of his/her duties and responsibilities. Ideally this should be in bullet form and normally not exceed 100 words.
- b) The officer reported upon is provided the opportunity to reflect upon his/her performance during the year and indicate area which he/she thought was exceptional contribution made by him/her during the year. Examples of such a contribution may be successful completion of an extraordinarily challenging task or successful dealing of an emergency or major systematic improvement resulting in significant benefits to the public or reduction in time and costs. (It is not possible for any officer to make such contributions every year and hence this need not be attempted for each year of his/her service)
- c) The officer reported upon is required to indicate reasons for not achieving specific targets if any and details of factors that hindered his/her performance. His/her reflection should also enable him/her to record his/her specific learning from the experiences and possible systemic changes that could be made.
- d) The officer reported upon is required to indicate specific areas in which he/she feels the need to

upgrade skills and attend training programs for the current assignment and future career.

- e) The officer reported upon is also required to certify that he/she has completed the APARs of all subordinate staff for the previous reporting year for whom he/she is the Reporting Authority. In case the APARs of any subordinate staff could not be completed, the reasons for the same need to be indicated. This could be due to the concerned subordinate staff not having submitted his/her self-appraisal or some delay due to some emergent work.

## **5.10 GUIDELINES FOR REPORTING AUTHORITY:**

- a) The primary responsibility of initiating the performance report assessing the performance, character, conduct and qualities of every official rest with the Reporting Authority.
- b) The Reporting Authority should have supervised the performance of the officer to be reported upon for at least ninety days. For the purpose of computing the ninety days, the leave availed for more than 15 days at a time by the officer to be reported upon should be excluded.
- c) The Reporting Authority must be fully conversant with the quality of work of the employees working under them so that the assessment is clear and useful. Remarks and observation of the Reporting Authority should be specific and clearly mentioned under each column.
- d) The Reporting Authority should take pain in writing the performance report with due care and attention and after devoting adequate time and make a genuine attempt to convey their appraisal of the work of the officer reported upon during the period under report.
- e) The report should carry a general appreciation of the character, conduct and aptitude and shortcomings of the officer reported upon. The practice of writing vague, non-committal remarks such as 'good', 'very good', 'average' etc should be avoided as it does not reflect the caliber of the Government servant.
- f) The comments and observations of the Reporting Authority should relate only to the period for which the report is written.
- g) While writing of performance report is a year-end exercise, every Reporting Authority should at regular interval review the performance of employee under his/her control and take necessary corrective steps by way of advice etc.
- h) The Reporting Authority should ensure that his/her observation or comments are realistic and impartial and are not influenced by any prejudice against the officer reported upon.
- i) The Reporting Authority is required to comment on the self-assessment made by the officer reported upon and specifically state whether he/she agrees with the responses relating to the accomplishments/achievements. In case of disagreement, the Reporting Authority should highlight the specific portions with which he/she is unable to agree and the reasons for such disagreement.
- j) The Reporting Authority is required to comment on the skill upgradation needs as identified by the officer reported upon. In case, the Reporting Authority agrees with the training needs indicated by the officer reported upon, he/she may indicate specific steps taken/proposed to be taken by him/her

to enable the officer reported upon to have the skill upgraded. In case, he/she disagrees with the officer reported upon, he/she should record his/her reasons for such disagreement.

- k) The Reporting Authority is also required to record a descriptive pen-picture on the overall qualities of the officer reported upon and his/her performance including his/her attitude towards the weaker section. This need not exceed 100 words and should try to cover overall qualities of the officer reported upon including areas of strength and lesser strengths. The pen-picture is also meant to be a qualitative supplement to the quantitative assessment.
- l) The Reporting Authority after completing his/her part of the report should submit it to his/her superior known as the Reviewing Authority.

### **5.11 GUIDELINES FOR REVIEWING AUTHORITY:**

- a) A Reviewing Authority should have supervised the performance of the officer to be reported upon for not less than ninety days. For the purpose of computing the ninety days, the leave availed for more than 15 days at a time by the officer to be reported upon should be excluded.
- b) In some cases, the Reviewing Authority may not be sufficiently familiar or have detailed knowledge of the qualities of the officer reported upon. It shall be the responsibility of the reviewing authority to verify the correctness of the remarks of the Reporting Authority after making such enquiries as may be necessary. Where necessary, he/she should also give a hearing to the officer reported upon before recording his/her remarks.
- c) The Reviewing Authority should exercise positive and independent judgment on the numerical grading given by the Reporting Authority and remarks of the Reporting Authority and express clearly his/her agreement or disagreement with these remarks. The Reviewing Authority is also free to make his/her own remarks on points not mentioned by the Reporting Authority.
- d) The Reviewing Authority should ensure that the various instructions for writing the performance report have been correctly followed by the Reporting Authority. The Reviewing Authority is required to state that he is satisfied that the report has been written with due care and attention.
- e) The Reviewing Authority should carefully go through the comments made by the Reporting Authority. If the comments are found to be vague or ambiguous, the report should be returned to the Reporting Authority for suitable modification.
- f) The Reviewing Authority is required to give comments not only on the assessment made by the Reporting Authority but also his/her own original comments on the overall qualities of the officer reported upon.
- g) If the Reviewing Authority does not agree with any of the remarks given by the Reporting Authority, he/she should mention so in the relevant column, giving reasons. The Reviewing Authority can modify or add his/her own observation. This is particularly necessary in regard to any adverse remarks or an outstanding report.
- h) If the Reviewing Authority states that he/she agrees with the assessment of the Reporting Authority, it would not be correct to give any comments substantially different from those given by the Reporting Authority

- i) The Reviewing Authority after completing his/her part of the report should submit it to his/her superior known as the Accepting Authority.

## **5.12 GUIDELINES FOR ACCEPTING AUTHORITY:**

- a) The Accepting Authority shall, after review of the APAR may record his/her own remarks and accept it after such modifications as may be necessary.
- b) The Accepting Authority is required to indicate if he/she agrees with the assessments made by the Reporting/Reviewing Authorities. In case of difference of opinion, he/she is required to give details and reasons for the same in the relevant column.
- c) When there are differences in the assessment/grading made by the Reporting and the Reviewing Authority, the Accepting Authority should ensure that the Reviewing Authority had suitably justified the reasons for upgrading or downgrading the assessment made by the Reporting Authority. In the absence of suitable justification, the Accepting Authority may upgrade or downgrade the assessment.
- d) An Accepting Authority should have supervised the performance of the officer to be reported upon for not less than ninety days. For the purpose of computing the ninety days, the leave availed for more than 15 days at a time by the officer to be reported upon should be excluded.
- e) The Accepting Authority after finalization/completion of the report should forward the same to the section entrusted with the maintenance of APARs.

## **5.13 NUMERICAL GRADING:**

- a) The Reporting/Reviewing Authority is required to award numerical grading for the quality of work output, personal attributes and functional competence of the officer reported upon on a scale of 1-10 where 1 refers to the lowest grade and 10 to the highest.
- b) APARs graded between 8 and 10 will be rated as 'Outstanding'.
- c) APARs graded between 6 and short of 8 will be rated as 'Very Good'.
- d) APARs graded between 4 and short of 6 will be rated as 'Good'.
- e) APARs graded below 4 will be rated as 'Fair/Poor'.
- f) It is expected that any grading of 1 to 4 (against work output or attributes or overall grade) would be adequately justified while commenting on the overall qualities of the officer reported upon by way of specific failures and similarly, any grade of 8 to 10 should be justified with respect to specific accomplishment.
- g) In awarding a numerical grade, the Reporting/Reviewing/Accepting Authorities should rate the officer reported upon against a larger population of his/her peers that may be currently working under them or would have worked under them in the past.
- h) Grades of 1-2 and 8-10 are expected to be rare occurrences and hence the need to justify them.

- i) A Government servant should not be graded 'outstanding' unless exceptional qualities and performance have been noticed. Grounds for awarding such grading should also be clearly brought out. A brief and objective comment should be made justifying the grading and indicating the area of his/her exceptional contribution/achievement (reference may be made to his/her self-assessment/work plan) for their period under consideration.
- j) In case the Reviewing Authority does not agree with any of the numerical assessment of the attributes given by the Reporting Authority, only then the assessment of the Reviewing Authority may be recorded in the columns provided along with initials.

#### **5.14 ASSESSMENT OF INTEGRITY:**

- a) In every form of the Annual Performance Assessment Report, there shall be a column regarding integrity to enable the Reporting Authority to comment on the integrity of the officer reported upon. In recording remarks with regard to integrity, he/she need not limit him/herself only to matters relating to financial integrity but could also take into account the moral and intellectual integrity of the officer reported upon. The following procedure should be followed in filling up the column relating to integrity.
  - (i) If the officer's integrity is beyond doubt, it may be stated.
  - (ii) If there is any doubt or suspicion, the column should be left blank and action taken as under:
    - (a) A separate secret note should be recorded and followed up. A copy of the note should also be sent together with the performance report to the next superior officer who will ensure that the follow-up action is taken expeditiously.
    - (b) If, as a result of the follow up action, the doubts or suspicions are cleared, the officer's integrity should be certified and an entry made accordingly in the report .
    - (c) If the doubts or suspicions are confirmed, this fact should also be recorded and duly communicated to the officer concerned.
    - (d) If as a result of the follow-up action, the doubts or suspicions are neither cleared nor confirmed, the officer's conduct should be watched for a further period and thereafter action taken as indicated at (b) and (c) above.
  - (iii) Where it is not possible either to certify the integrity or to record the secret note, the Reporting Authority should state either that he/she had not watched the officer's work for sufficient time to form a definite judgement or that he/she has heard nothing against the officer reported upon, as the case may be. Such instances can occur when the officer reported upon is serving in a remote station and the Reporting Authority has not had the occasion to watch his work closely or the officer reported upon has worked under the Reporting Authority only for a brief period. However a superior officer should make every effort to form a definite judgement about the integrity of those working under him/her, as early as possible, so that he/she may be able to make a positive statement.
- b) Thus, the remarks against the integrity column shall be made by the Reporting Authority in one of the three options mentioned below:

|       |                                                                                                                                                |
|-------|------------------------------------------------------------------------------------------------------------------------------------------------|
| (i)   | Beyond doubt                                                                                                                                   |
| (ii)  | Since the integrity of the officer is doubtful, a secret note is attached                                                                      |
| (iii) | Not watched the officer's work for sufficient time to form a definite judgement but nothing adverse has been reported to me about the officer. |

#### **5.15 DIFFERENCE IN ASSESSMENT:**

- (a) When there are differences in the comments/grading given by the Reporting/Reviewing/Accepting Authority, the comment/grading of the higher officer will be taken as the correct assessment provided the superior officer has clearly indicated the nature and content of such differences
- b) A report containing an adverse remark of the Reporting Authority which is overruled by the Reviewing Authority will be treated as a good report. Similarly, if the Reviewing Authority gives any adverse remark on a good report written by the Reporting Authority, the report shall be treated as an adverse one.
- c) A report containing adverse remarks of the Reporting/Reviewing authority which is overruled by the Accepting Authority will be treated as a good report. Similarly, if the Accepting Authority gives any adverse remark on a good report written by the Reporting/Reviewing Authority, the report shall be treated as an adverse one.

#### **5.16. MENTION OF WARNING/DISPLEASURE/REPRIMANDS IN ANNUAL PERFORMANCE ASSESSMENT REPORT:**

- a) A brief mention shall be made by the Reporting Authority in the relevant column of the performance report if the officer reported upon has been issued warning, censure, displeasure, reprimand or if any departmental proceedings or enquiries are pending during the period under report.
- b) If the Reporting Authority comes to the conclusion that despite the issue of such warning, censure, displeasure, reprimand as the case may be, the officer reported upon has not improved, he may make appropriate mention. A copy of the warning/censure/displeasure/reprimand referred to in the performance report shall be placed in the APAR dossier.

#### **5.17 PROPRIETY OF ISSUE OF LETTERS OF APPRECIATION OR NOTES OF COMMENDATION:**

- a) The practice of granting letter of appreciation or notes of commendation to Government servants and placing them in the APARs dossier should normally be discouraged. Appreciation of work should be recorded in the APAR rather than in letters of appreciation which do not give a complete perspective of the Government servant's good and bad qualities.
- b) The following documents may, however, be included in the APAR:

- (i) Letters of appreciation issued by the Government or Administrative Head of Department or Head of Department in respect of any outstanding work.
  - (ii) Letters of appreciation issued by special bodies or committees, etc or of their reports expressing appreciation for a Government servant by name.
  - (iii) Letters of appreciation from individual non-official/official (other than Administrative Head of Department or Head of Department) may go into the APAR if confined to expressing appreciation for services rendered far beyond the normal call of duty and provided the Administrative Head of Department or Head of Department so directs.
- c) The mere fact that a letter of appreciation goes into the APAR does not give any official undue advantage in matters of promotion which goes more by overall and consistently good performance than by occasional flashes of good work.

#### **5.18. PERIODICITY AND PART REPORTS:**

- a) While normally there will be only one report covering a financial year, writing of more than one report during a financial year may become necessary in the following cases:
  - (i) The officer to be reported upon is transferred to another office or within the same office with a different Reporting Authority during the course of a financial year. In such cases, the officer to be reported upon shall complete the report for the period prior to such transfer, provided the period is not less than ninety days. The officer to be reported upon should write the report at the time of transfer or immediately thereafter and not deferred till the end of the financial year. Any delay resulting in non-submission of APAR shall be the responsibility of the officer to be reported upon.
  - (ii) The Reporting Authority is transferred or retires during the course of a financial year. In such cases, the Reporting Authority should complete the report of all subordinate staff at the time of such transfer, retirement or immediately thereafter and not deferred till the end of the financial year.
  - (iii) The Reviewing Authority is transferred or retires during the course of a financial year, but the Reporting Authority continues. In such cases part reports are not necessary if the new Reviewing Authority will have the opportunity to watch the performance of the officer reported upon for at least ninety days. The Reporting Authority will write the report for the full year, which can be reviewed by the new Reviewing Authority, provided he/she has watched the performance of the officer to be reported upon for at least ninety days.
  - (iv) Where the Reviewing Authority is not immediately posted and the period of his/her service is less than ninety days, the reports can be without review. An entry to this effect shall be made in the APAR.
  - (v) However, if the Reviewing Authority is transferred/retires, say in the month of January and the new Reviewing Authority will have less than ninety days to see the performance of the officer to be reported upon, the report should be completed and reviewed up to the date of transfer/retirement of the outgoing Reviewing Authority and NRC may be issued for the remaining period.
  - (vi) The Accepting Authority is transferred or retires during the course of the financial year, but the Reporting and Reviewing Authority continues. In such cases part reports are not necessary. The

Reporting and Reviewing Authority will report and review for the full year, which can be accepted by the new Accepting Authority, provided he/she has watched the performance of the officer reported upon for at least ninety days. In case the new Accepting Authority has not watched the performance of the officer reported upon for at least ninety days, the report can be without acceptance. An entry to this effect shall be made in the APAR. A certificate can be issued and entered in the Acceptance Section of the APAR certifying that 'the comments/remarks of the Accepting Authority could not be recorded as the Accepting Authority has not completed the ninety days period required for initiating the APAR or the Accepting Authority has demitted office'. (Annexure II in Appendix IX)

- b) When more than one performance report is written for the same year, each report should indicate precisely the period covered by it.
- c) When a Reporting Authority who is in charge for substantial portion of the year has to proceed on long leave, transfer, deputation etc. he/she should write the report of his/her subordinates before handing over charge even if the reports are not due at that time.
- d) When an official has taken leave for a period of more than fifteen days, the total period spent on leave can be deducted from the total period spent on any post for the purpose of calculating the period of ninety days which is relevant for writing entries in the APAR.

#### **5.19 ISSUE OF NO REPORT CERTIFICATE (NRC /GAP SHEET):**

- a) While normally there will be one report/part reports covering the whole financial year, instances may arise where there is a gap in the period under report and issuance of NRC may become necessary for the deficient period.
- b) A No Report Certificate (NRC) is generally issued when the part period is less than ninety days. (See Para 3 (e) and 18 (a) above)
- c) While issuing the NRC for the deficient period, the reasons for issuance of NRC may be mentioned in the 'No Report Certificate'.
- d) A general indicative format for issuance of NRC is attached at Annexure I – III (see in appendix IX)
- e) Generally, the following nature of cases have been noticed where issuance of NRC becomes necessary:
  - (i) The part period is less than 3 months. Such cases may arise when the officer reported upon or the reporting /reviewing authority is transferred in the course of a financial year, say, in the month of January and the new reporting/reviewing authority will have less than 3 months to supervise the performance of the officer reported upon. Thus, NRC may be issued for the remaining period. ( see Annexure I in appendix IX)
  - (ii) The part period is over 3 months, but the part period is reckoned as reduced to less than 90 days as the officer reported upon was on leave/training for more than 15 days and the leave/training period is deducted from the period under report. In such cases the facts may be verified, and NRC may be issued. (Annexure I in appendix IX)
  - (iii) The part period is over 3 months, but the officer reported upon has not completed 3 months under

any single reporting authority. In such cases the facts may be verified, and NRC may be issued. (Annexure III in appendix IX)

- (iv) The officer reported upon was on unauthorized absence. In such cases the facts may be verified, and NRC may be issued.
- f) Instances may also arise where the remarks/comments of the Reviewing/Accepting Authority could not be recorded because the Reviewing/Accepting Authority retired/expired/demitted office. Such cases may arise if the Reviewing/Accepting authority demits office during the course of the financial year, say in the month of January and the new Reviewing/Accepting Authority will have less than ninety days to supervise the performance of the officer reported upon. In such cases the APAR may be filled up for the whole year and the report may be without review/acceptance as the case maybe and a certificate can be issued and entry to this effect shall be made in the performance report in the relevant section. (Annexure II in appendix IX)
- g) Where for a period under report, there is no Reporting Authority with the requisite experience, the Reviewing authority may initiate the report as a reporting authority. Where a report is thus initiated by the reviewing authority, he/she will have to be submitted to his/her own superior for review.
- h) The primary responsibility of initiating the performance report assessing the performance, character, conduct and qualities of a government servant rests with the Reporting Authority and the Reviewing/Accepting Authority own assessment are mostly based on the assessment given by the Reporting Authority. Thus, a report should not be without reporting under any circumstances and NRC should not be issued in respect of the Reporting Authority. However, if due to some unforeseen circumstances, a gap arise and there is no Reporting Authority with the requisite experience, the Reviewing authority may initiate the report as the Reporting Authority. Where a report is thus initiated by the Reviewing Authority, he/she will have to be submitted to his/her own superior for review. Such cases may arise when the Reporting Authority who is in charge for a substantial portion of the year dies in harness.
- i) The above instances are only indicative, there may be other cases besides the above mentioned above.
- j) Wherever the officer reported upon finds there is gap in the period under report and NRC is required to be issued for the deficient period, the concerned officer shall write to the custodian requesting him/her for issuance of NRC by providing the details and reasons. The custodian shall verify the facts before issuing NRC.
- k) The competent authority to issue NRC for Gazetted Officers shall be the Administrative Head of Department. For non Gazetted Officers, it shall be the Head of office-. The NRC should be signed by the competent authority or an officer authorized by the competent authority.

## **5.20 DISCLOSURE:**

- a) The new performance appraisal system is no longer a confidential process, and the entire appraisal is now required to be revealed to the officer reported upon. This fits in with the primary objective of the performance assessment being a tool for the development of the officer.
- b) In order to make the performance assessment system more consultative and transparent, the full

APAR shall be communicated to the officer reported upon after the APAR is completed and finalized by the accepting authority. All entries whether poor, fair, good, very good, outstanding should be communicated to the officer reported upon. Where there is only one supervisory officer above the officer reported upon, such communication shall be made after the reporting officer has completed the performance assessment.

- c) The custodian after its receipt from the accepting authority shall disclose the same to the officer reported upon within 30 days or latest by 31st august whichever is earlier to enable the officer reported upon to represent his case.
- d) The custodian should scrutinize the reports as soon as received to see whether any adverse remark has been entered in the report or grading below the prescribed benchmark for promotion to the next higher scale/grade.
- e) The question whether or not a particular remark recorded in the performance report is an adverse remark shall be decided by the accepting authority.
- f) Gradings in the performance report below the prescribed benchmark for promotion to the next higher grade/scale shall be treated as an adverse report. The prescribed benchmark for promotion to the next higher grade/scale shall be 'Very Good' as prescribed by the department of P&AR.
- g) While mentioning any faults/defects, the reporting/reviewing authorities should also give an indication to the efforts at reform made by him/her, by way of guidance, admonition etc. and the result of such efforts.

## **5.21 REPRESENTATION:**

- a) The officer reported upon shall be given opportunity to make any representation against the entries or the final grading given in the report in writing to the custodian within a period of 15 days from the date of disclosure or by 30th September whichever is earlier.
- b) While communicating the entries to the officer reported upon, the custodian shall make it clear that in case no representation is received within 15 days from the date of disclosure, it shall be deemed that he/she has no representation to make.
- c) If the custodian does not receive any information from the concerned officer within 15 days from the date of disclosure or 30th September whichever is earlier, the APAR will be treated as final.
- d) The officer reported upon may give his comments/representation on the performance report in writing to the custodian.
- e) The comments/representation shall be restricted to the specific factual observations contained in the report leading to assessment of the officers in terms of attributes, work output etc.
- f) The custodian shall, within 15 days of receipt of comments/representation from the officer reported upon or latest by 15 October, whichever is earlier, forward the same to the competent authority for examination. The competent authority to decide the representation will be the Accepting Authority.
- g) The Accepting Authority may consider such representation in consultation with the Reporting Authority and the Reviewing Authority if they are still in service.

- h) The Reporting/Reviewing authority, being satisfied with the contentions made by the officer reported upon, wishes to change any of the remarks or assessments, they may do so. In case they are not satisfied, they may give their views and observations on the representation to the Accepting Authority.
- i) While deciding the representation, the Accepting Authority shall consider the comments of the officer reported upon, the views and remarks of the Reporting and Reviewing Authority and after due consideration may reject the representation or may accept them and modify the grading in the APAR accordingly within a period of 30 days from the date of receipt of representation from the custodian or latest by 15 November whichever is earlier.
- j) While deciding such representations, specific reasons must necessarily be given in the order of the Accepting Authority. An order stating the reasons for modification/upgradation /downgradation on the overall grading in APAR should be executed by the Accepting Authority and such order should be placed in the APAR dossier. APARs should, under no circumstances, be reconstructed in any manner whatsoever on account of modification/upgradation/down gradation on the overall grading in the APAR.
- k) The decision of the Accepting Authority and the final grading shall be forwarded to the custodian and the same shall be communicated by the custodian to the officer reported upon within 15 days from the receipt of the decision or latest by 30th November whichever is earlier, and no further representation of any kind shall be entertained thereafter, and a Disclosure Certificate shall be issued.

## **5.22 TIMELY PREPARATION AND MAINTENANCE OF APAR:**

- a) It is essential that the APARs are completed within the prescribed timeline so that up-to-date APARs are available at any given time. A number of instructions have been issued from time to time regarding the procedure for writing APARs and the need for timely action in this regard by all concerned, the APARs, however, are frequently received late and in some cases, the officer to be reported upon fails to submit/initiate their APARs.
- b) Cases continue to occur where confirmation, promotion, deputation etc could not be considered in time because of the non-availability of APARs for the relevant period and in some cases, APARs of some officers were not available for 3-4 years out of the assessment period of 5 years. In many instances officers have been deprived of timely confirmations, promotions, deputations etc primarily because of delay in submission or non-submission of APARs by some erring officers and for no fault of theirs.
- c) Therefore, the matter of timely completion of APARs was further reviewed and reiterated that in case the APAR is not submitted by the officer to be reported upon within the stipulated timeline, promotions/confirmation etc will not be considered in the absence of APARs which are due.
- d) In instances where APAR(s) of the relevant period needed for confirmation, promotion, deputation, financial upgradation etc is/are not available, the officer reported upon shall be given a final opportunity to submit the same within a period of 15 days alongwith a written explanation for failure to submit the same within the stipulated time. In case the officer reported upon fails to submit the same within 15 days, the Custodian shall forward the available APARs to the DPC/Screening Committee by making suitable entry in the relevant section to the effect that the non-availability of

APAR(s) was/were not submitted by the officer reported upon. Non availability of APARs which are due shall be a ground for denial of promotion, deputation, confirmation, financial upgradation etc.

- e) Any promotion/confirmation etc taken up due to the absence of APARs for the relevant period and consequently resulting in denial of promotion or supersession in seniority shall be final.
- f) However, on ascertaining that the officer concerned has duly submitted his/her APAR on time but the same was delayed at Reporting/Reviewing/Accepting Authority levels, then it should be construed that the officer is not at fault and he/she should not be penalized for confirmation, promotions etc. Such cases would be considered on the basis of available records of the preceding years.
- g) If it comes to light that any Reporting/Reviewing Authority has willfully delayed submission of APAR of his/her subordinate beyond the stipulated timeline despite receiving it on time, the fact of this negligence is to be viewed seriously and an entry shall be made in the APAR of the concerned officer that he/she failed to complete the APARs of his/her subordinates in time.
- h) The department may also call for an explanation from the concerned officer and in the absence of proper justification, a written warning for delay in completing the APAR in time shall be placed in the APAR folder of the defaulting officer.
- i) It shall be therefore mandatory for every Government Servant to submit their APAR with a forwarding letter to the Reporting Authority with intimation to the concerned department/ cadre controlling authority/ concerned branch entrusted with maintenance of the APARs.
- j) Similarly, the Reporting/Reviewing Authority while submitting APAR to the next higher authority shall endorse a copy of the forwarding letter to the concerned department/ cadre controlling authority/ concerned branch entrusted with maintenance of the APARs.

### **5.23 MAINTENANCE OF APARS OF OFFICIALS ON DEPUTATION:**

- a) In case of officials deputed to other departments/agencies or on deputation to foreign service, and where there is practice of writing APARs using the same format or similar format, their APARS shall be maintained by their parent department. It is the responsibility of the parent department to obtain the performance report of the officials on deputation and maintain such reports.
- b) In case of officials deputed to United Nations or its Agencies, intergovernmental organisation or contract assignments under bilateral arrangements/assignments etc, where there is no practice of writing APARs by the concerned agency, it is not necessary to get APAR on government officials on deputation to it. An entry may be made in the Annual Performance Assessment Report dossier of the officer concerned to the effect that he/she was on deputation to an agency/ organisation during the relevant period and where there is no practice of writing APARs. However, the official on deputation may be asked to obtain a Performance Certificate/Assessment Report financial year wise in the format used by the agency/ organisation.

### **5.24 WRITING OF APAR BY A RELATIVE:**

- a) When the Reporting Authority and the officer reported upon happens to be close relatives (Spouse,

Siblings, In-Laws, immediate family members etc), the Reporting Authority should abstain from writing the APAR of the officer reported upon and instead the Reviewing Authority should take the role of the Reporting Authority.

- b) Similarly, if the Reviewing Authority and the officer reported upon happens to be close relatives, the Reviewing Authority should abstain from reviewing the APAR of the officer reported upon and instead the Accepting Authority should take the role of the Reviewing Authority.

#### **5.25 WRITING OF APAR BY OFFICERS UNDER SUSPENSION:**

- a) If an official was under suspension, performance report shall not be recorded for the period he/she was under suspension. A Certificate may be issued to the effect that the officer reported upon was under suspension during the relevant period and kept in the APAR's dossier of the officer concerned.
- b) No official under suspension should be allowed to report/review/accept the performance reports of his/her subordinates for the period he/she was under suspension as he/she might not have the full opportunity to supervise the work of his/her subordinates.
- c) He/she may be permitted to report/review/accept the performance report of his/her subordinates for the period prior to his suspension within one month from the date of his/her having placed under suspension or one month from the date on which the report was due, whichever is later.

#### **5.26 WRITING OF APARS AFTER RETIREMENT:**

- a) A retired officer may be allowed to write the report of his/her subordinates within one month of retirement or demission of office.
- b) It is advisable to have the reports completed at the time of retirement or immediately thereafter even if the report is not due and not deferred till the end of the financial year.

#### **5.27 APARS OF RETIRED AND DECEASED OFFICERS AND THEIR DISPOSAL:**

- a) The APARs of a Government servant shall be retained for a period of 5 (five) years from the date of superannuation, retirement, resignation etc.
- b) In case of deceased Government servants, the APARs shall be retained for a period of 2 (two) years from the date of death.
- c) After the expiry of the retention period as specified in (a) & (b) above, the APARs shall be destroyed. The last five years reports of such APARs before being weeded out may be retained in electronic form such as in PDF format etc.
- d) After the expiry of the retention period, if a specific written request is received from the concerned retired Government servant, certified copies of the APARs may be provided to him/her.
- e) If any disciplinary proceedings are pending at the time of superannuation or retirement or resignation, the period of 5 (five) years shall count from the date of issue of final orders in the disciplinary proceedings.
- f) Where cases are pending in court at the time of superannuation or retirement or resignation, the

period of 5 (five) years shall count from the date of final decision or 5 (five) years from the lapse of time for filing of appeal or 5 (five) years from the date of final decision on the appeal filed if any.

#### **5.28 GUIDELINES FOR THE CUSTODIAN:**

- a) The Administrative Heads of Department and Heads of Department should scrutinize the Performance Reports relating to officials under their control to see whether they have written in accordance with laid down instructions and whether representation has been received against adverse remarks/grading below benchmark for promotion and if received, whether the representation has been considered in accordance with the laid down instructions in Para 6.21.
- b) The completed APARs should reach the Custodian by 31st July. The Custodian shall prepare a list of APARs not received and follow up with the concerned officers.
- c) The Custodian shall evolve a suitable mechanism to ensure that the remarks of the Reporting/Reviewing/Accepting Authority are recorded without fail within the stipulated dates.
- d) In case the Reporting/Reviewing/Accepting Authority fails to submit the APARs in time, action should be taken as stated in Para 6.22 (f) & (g) above.

#### **5.29 FORWARDING OF APARS TO PRIVATE/AUTONOMOUS BODIES ETC.:**

- a) Copies of APAR's Dossier or the substance of the reports contained in the dossier should not be sent to private bodies in connection with any purpose whatsoever.
- b) However, where a request is received from a public undertaking or an autonomous body controlled by the Government, a gist of the APARs may be supplied. If the Government's own interest requires that the management of the public undertaking or an autonomous body should see the APARs in full, the APARs may be shown with the approval of the Administrative Head of Department/Head of Department.
- c) Whenever it becomes necessary to send the APARs to any outside authority other than the UPSC or NPSC or DPC or Screening Committee for the purpose of selection, promotion, appointment etc, it is advisable to keep the original APARs with the custodian and send out only photocopy of the APARs. Care should also be taken to ensure that the photocopies are destroyed immediately thereafter.

**5.30 SPARROW :** APAR of Senior Audit Officer is recorded online on SPARROW w.e.f. reporting year 2020-21.

**5.31 INTERPRETATION:** In case of any doubt regarding interpretation or clarifications of any of the above referred guidelines regarding APAR, the matter shall be referred to the Department of Personnel & Administrative Reforms, whose decision shall be final.

#### **Schedule I (Tentative)**

##### **Time Schedule for preparation/completion of APAR**

**(Reporting year-Financial year)**

| <b>Sl. No.</b> | <b>Activity</b>                                                                                                                                                                                 | <b>Date by which to be completed</b>                         |
|----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| <b>1.</b>      | Distribution of blank APAR forms to all concerned (i.e., to officer to be reported upon where self-appraisal has to be given and to reporting officers where self-appraisal is not to be given) | 31st March. (This may be completed even a week earlier).     |
| <b>2.</b>      | Submission of self-appraisal to reporting officer by officer to be reported upon (where applicable).                                                                                            | 15th April.                                                  |
| <b>3.</b>      | Submission of report by reporting officer to reviewing officer                                                                                                                                  | 30th June                                                    |
| <b>4.</b>      | Report to be completed by Reviewing Officer and to be sent to Administration or CR Section/Cell or accepting authority, wherever provided                                                       | 31st July                                                    |
| <b>5.</b>      | Appraisal by accepting authority, wherever provided                                                                                                                                             | 31st August                                                  |
| <b>6.</b>      | (a) Disclosure to the officer reported upon where there is no accepting authority                                                                                                               | 01st September                                               |
|                | (b) Disclosure to the officer reported upon where there is accepting authority                                                                                                                  | 15th September                                               |
| <b>7.</b>      | Receipt of representation, if any, on APAR                                                                                                                                                      | 15 days from the date of receipt of communication            |
| <b>8.</b>      | Forwarding of representations to the competent authority<br><br>(a) where there is no accepting authority for APAR                                                                              | 21st September                                               |
|                | (b) where there is accepting authority for APAR                                                                                                                                                 | 06th October                                                 |
| <b>9.</b>      | Disposal of representation by the competent authority                                                                                                                                           | Within one month from the date of receipt of representation. |
| <b>10.</b>     | Communication of the decision of the competent authority on the representation by the APAR Cell                                                                                                 | 15th November                                                |
| <b>11.</b>     | End of entire APAR process, after which the APAR will be finally taken on record                                                                                                                | 30th November                                                |

\*\*\*\*\*

**CHAPTER-VI**  
**CONSTITUTION OF ADMINISTRATION**  
**COORDINATION/ITA/REPORT SECTION/RAJBHASHA**  
**ANUBHAG**

**6 ADMINISTRATION**

Administration (Admn) sections also have a subsection Confidential cell (Admin-I section), Personal Claims (PC) / Bills Sections (Admin-II), Hindi Section and Library Section, , General Department ( Admin-III section), Examination/Training Section ( Admin-IV) Dak Section and Information Technology (IT) Section, Internal Test Audit Section (ITA Section) are parts of Administration. The entire group works under the supervision of the Director/Dy. Director (Admin.)

**6.1 ADMINISTRATION SECTION-I:** This section deals with cadre controlling work, e.g. Recruitment , appointments, verification of certificates , maintenance of rosters for appointments and promotions, correspondence with other offices, sending returns and information to the Office of the Comptroller & Auditor General of India (Hqrs' office) as and when required, Confirmation, promotions, Resignation, MACP, NFU, preparation of Gradation list, Posting and Transfers (inter-offices and inter co-ordination transfers) including Mutual Transfer, Budget controlling, SS/ PIP, Compassionate Appointment, Pension , Issue of Unique identification No, Deputation ( All cadres ) including foreign assignment ( nomination to UN/Embassy audit / Overseas posting), appointment of consultants, HBA/ Computer Advance related work, Staff association/ Office council meetings, DOI Inspection and Internal Audit and monthly DO.

**Authority: This office order No. 75 Dated:14.05.2024**

**6.1.1 CONFIDENTIAL CELL :** This section comes under Administration Section -I and deals in work related to APAR, Macro Profile, review IPR, Examination, Court Cases, Disciplinary, vigilance cases, RTI and Appeal, Review under 56 J, permission for examination, work related to passport and Ex-India Leave, Complaints / CPGRAMS, Holding of ICC meetings, Permission for contesting election including Recreation Club, associations, Special Casual Leave and misc. work- CAG award scheme, etc.

**EXAMINATION CELL:**

- i. Holding of different departmental examinations ( SAS,RAE, CPD-I,II,III etc.).
- ii. Maintenance of data and statistics in respect of the candidates appearing for various departmental examinations.
- iii. Submission of reports & returns to the headquarters office.
- iv. Conducting various examination like Departmental Confirmation Test (DCT) for auditors, Incentive examination for Senior Auditors/Assistant Supervisors, SAS pre-examination and end of training examination of Senior Auditors for promotion as Assistant Supervisor etc.

**(Authority : This office order No. 615 Dated :27.03.2024 and Office order no. 589 dated 11.03.2024 for creation of Confidential Office and office order No. 75 Dated :14.05.2024.)**

### **6.1.2 CALENDAR OF EXAMINATION (Tentative )**

This office conducts the following examinations on regular intervals in terms of MSO or instructions from the Headquarters office in the capacity of cadre controlling authority.

| <b>Name of examination</b>                                    | <b>Schedule</b>             | <b>Remarks</b>                                      |
|---------------------------------------------------------------|-----------------------------|-----------------------------------------------------|
| Preliminary examination for entrance to SAS                   | January/February every year | Examination is conducted centrally by Hqrs. Office  |
| Departmental Examination for Auditors/DCT for Auditors        | February and August         | Examination is conducted centrally by Hqrs. Office  |
| Incentive examination for Sr. Ars                             | April/May                   | Examination is conducted centrally by Hqrs. Office  |
| IT Examination                                                | March/September             | It was decided to hold the exam once in 6 months.   |
| SAS/RAE/CPD Examination                                       | March/October               |                                                     |
| Examination for promotion to SAO from AAO                     | June                        | Examination is conducted centrally by Hqrs. Office. |
| Examination for promotion from Sr Auditor to Asstt Supervisor | July                        | Examination is conducted centrally by Hqrs. Office. |
| Examination for promotion from 12                             | November                    | Examination will be held as scheduled if            |

|                                                                |                        |                                                   |
|----------------------------------------------------------------|------------------------|---------------------------------------------------|
| Pass MTS to Clerk                                              |                        | any candidate is there.                           |
| Skill Test for Stenographer                                    | September              | Examination will be held as and when need arises. |
| Departmental examination for matriculate Group D               | Need based             | Examination will be held as and when need arises. |
| Compulsory type test for clerks on promotion from MTS          | Jan/April/July/October |                                                   |
| Examination for clerks for promotion as Stenographer grade-III | Need based             | Examination will be held as and when need arises. |

**6.1.3 SYLLABUS/ ELIGIBILITY OF DEPARTMENTAL EXAMINATION:** The detailed syllabus, eligibility / criteria, mode of examination, maximum no. of chances of various examination conducts in this office has been given in appendix-V.

**6.2 ADMINISTRATION SECTION-II:** This section deals in preparation of Pay bills of IA&AS officer ,Gazetted officers and Non – Gazetted officers , maintenance of service book and personal file of all officers / officials of the office , works related to CGHS Card ,License fee GPF, Directorate of Estates / GPRA , Compilation of monthly absentee statement received from various sections of the office, Pay anomaly matters, Reimbursement of LTC advance and claims, Reimbursement of Domestic Travel Expenditure / Advance claims, Reimbursement of Medical Expenditure Preparation of Income Tax Return of salary Quarterly and Annually and Issue of Form-16 .

**6.2.1 TRAVELING ALLOWANCE ON TOUR / TRANSFER: -**  
**Checks/Controls to be applied while scrutinising TA Claims**

- (i) The general scrutiny of the TA bills should be done in accordance with the provisions of the existing Supplementary Rules/Orders governing the TA claims as contained in FRSR Part-II particularly SR-195 of FRSR Part-II and note- I below Government of India Order (I)(B) under SR-51 of FRSR Part-II by the Controlling Officer.

- (ii) All the audit field officers /officials who stay in hotels and other establishments should produce hotels/establishment's registration/license number on printed payment receipt (having Printed Serial Number) issued by the Hotels/Establishments for claiming higher rate of daily allowance.
- (iii) The officers/officials conducting field audit in the offices of CPWD who own Guest Houses even in remote localities may be asked to collect from the head of the office audited a certificate confirming that no departmental accommodation was made available to the Audit Field Party during the period of audit.
- (iv) At the time of the scrutiny of TA bills of the Audit Field Party-Staff, it should be specifically checked whether the concerned officers/officials have taken proper transit time so as to calculate actual Daily Allowance.
- (v) Particularly attention should be given on the TA bills (having hotel receipts therein) those official who are conducting audit within a short distance (up to 100 Kms) and well connected with rails to their Headquarters to avoid bogus claims of daily allowance at higher rate.
- (vi) Controlling officer should refer to the tour diaries (approved by Group Officers) while passing the TA bills of the Audit Fields Parties.
- (vii) In order to ensure discipline/punctuality among the Audit Field Party-Staff register with complete details of all the Audit Field Parties should be maintained in the office and punctuality is checked on telephone by the Director / Dy. Director (by PA) on regular/structural basis. Group Officers should be instructed by the DGA/PDA to increase the number of surprise visits to the office being audited.
- (viii) It should be ensured that field parties obtain prior approval of the Group Officers for availing leaves or leaving station, so that defaulters may be taken to tasks under existing rules/curtailing their TA/DA.
- (ix) Separate traveling Allowance Register maintained for TA claims of Group 'A' officers, Group A ( Non-IAAS)and Group B ( GO& NGO).
- (x) The claims on account of traveling allowance are to be regulated as per the rules in force time to time. In the light of recommendation by 7th pay commission, following guidelines may be observed while regulating TA claims: -

**(I) ACCOMMODATION DURING OFFICIAL TOUR: -**

The officials may be advised to stay in a hotel whose antecedents (such as Registration Number /Service Tax, etc.) are verifiable.

**(II) TRAVEL WITHIN THE CITY:-**

- (a) As far as possible, while on tour, the team may undertake journey in one Auto/Taxi for travel between place of stay and the duty point.

(b) Officials may be asked to furnish the details of the journey performed during tour in the prescribed format.

(c) Rates for local conveyance are as per rates given by the local/state government in its Gazette from time to time.

### **(III) FOOD BILLS: -**

As far as possible, staff should take its meals in establishments, which provide receipts. However, in cases where obtaining receipts is impossible, a certificate in respect of expenditure incurred on account of Food Bills during tour may be furnished by the officials in the prescribed format.

**(Authority: - C & AG's Endt. No.220-135-6 PC/GF-II/2008(III) dated 03 February 2010)**

### **(IV) REGULATION OF MILEAGE ALLOWANCE FOR LOCAL JOURNEY: -**

For journey performed by taxi/auto/rickshaw/own car/scooter between the residence and temporary duty point which is within a distance of 8 kilometers from the residence, no mileage allowance shall be payable. Where journeys to a temporary duty point are performed by public conveyance such as buses, local trains, trams, and ferries, etc. the fare paid for such journeys shall be reimbursed.

**(Authority: - C & AG's Endt. No.750-Audit/76-82-II/1/84/(85) dated 20 September 1984)**

## **6.2.2 COMBINATION OF CASUAL LEAVE WITH TOUR**

Where casual leave is combined with tour, either before the commencement of the tour or during the tour or on completion of the tour, while no daily allowance will be admissible for the days of casual leave, there will be no objection to the drawal of mileage allowance, from the Headquarters to the outstation where official duty is performed and vice-versa or from one tour station to another tour station by the shortest route. A government servant should obtain prior permission of his traveling allowance Controlling Officer for the combination of casual leave with tour. The controlling officer should record a Certificate to the effect that the journey undertaken was for official purposes and the casual leave was incidental to it, on the TA bill. In respect of officers who are their own controlling officers, such permission should be obtained from their next higher authority. They should record a similar certificate on their TA bills and also that the combination of Casual leaves with tour has received the prior approval of the higher authority.

**(Authority: - C & AG's Endt. No.106-Audit/182-72 dated 16 February 1972).**

## **6.2.3 TRAVELLING ALLOWANCE TO CENTRAL GOVERNMENT SERVANTS ON RETIREMENT-SETTLEMENT AT STATION OTHER THAN LAST STATION OF DUTY: -**

Traveling allowance to retiring Government servants on the scale and conditions set out in Government orders is admissible in respect of the journey of Government servant and members of his family from the last station of his duty to his home town or to the place where he and his family is to be settle down permanently even if it is other than his declared home town and in

respect of transportation of his personal effects between the same places. The revised entitlement to lump sum transfer grant, packing allowance and carriage of personal effects as prescribed under GOI, MOF, DOE OM. No. 19030/1/2017-E- IV dated 13 July 2017 and GOI, MOF, DOE OM. No. 19030/1/2017-E- IV dated 06<sup>th</sup> January 2022 for employees proceeding on transfer are also applicable to traveling allowance on retirement of Government servants.

(Authority: -C & AG's Endt. No. 32-Audit-I/4-86/IV-86 (7) dated 17 January 1986 and Endt. No. 143 Audit-I/4-86 /IV-86 dated 6 March 1986)

#### **6.2.4 TRAVELLING ALLOWANCE RATES REVISION OF RATES OF ROAD MILEAGE ALLOWANCE FOR JOURNEY BY TAXI/OWN CAR AND MOTORCYCLE/SCOOTER/AUTO RICKSHAW ETC.**

**RATES FOR LOCAL CONVEYANCE ARE AS FOLLOWS: -**

|                                   |                                                                                                                                    |
|-----------------------------------|------------------------------------------------------------------------------------------------------------------------------------|
|                                   | Taxi (ordinary)                                                                                                                    |
| Motor cab/Taxi                    | Minimum ₹40 for 1st Kilometer / part of Kilometer and ₹17.00 (Non-AC Taxi) & ₹ 20 (AC Taxi) for next kilometers/part of Kilometer. |
| Auto rickshaw/MotorCycle/ Scooter | Minimum ₹30.00 for first 1.5 km Kilometer / part of Kilometer and ₹11.00 for next kilometers/part of Kilometer.                    |

(Authority: - Delhi Govt. Gazette Letter No. SG-DL-E-11012023241867 dated 09.01.2023)

**Note 1 :** In TA bill, food bill certificate (as prescribed by Hqrs Office ) must be attached for claiming DA. Further, vehicle number along with DL Number for claiming reimbursement of travelling charges for travel by own vehicle must also be mentioned in the bill.

**Note 2 :** For outstation tour by own vehicle, copy of prior permission of journey performed by own car must be attached and it must be restricted with auto fare as prescribed in TA rules.

**Note 3:** For any type of journey performed by train, in case of waiting list ticket, proof of confirmation of train ticket must be enclosed. Train fare will be reimbursable only after deduction of catering charges in cases where catering charges in the train ticket has been shown separately.

**Note 4:** In case of tour, original tour programme alongwith revised tour programme, if any, clearly mentioning full address of auditee unit must be enclosed. It was also mentioned that Headquarter day should also be indicated in approved tour programme.

**Note 5:** In case of TA claims of sports person. Attendance of sports person at the camp should be verified by convener/ Manager of camp. Participation certificate related to Training / sports activity should also be attached with TA bill.

**Note 6:** Original bills for payment to vendors should be attached with the bills. For personal claims, in case of photocopy of the bill, the same should be attested atleast by DDOs.

#### **DUE DATE OF T.A. CLAIM**

1. Travelling allowance claim of a government servant shall fall due for payment on the date succeeding the date of completion of the journey. He shall submit the travelling allowance claim within sixty days of its becoming due falling which it shall stand forfeited.
2. If advance granted to government servant, He shall submit the bill within 15 days from the completion of tour or the date on which the Government servant resumes duty after completion of tour.

**Authority: Rule No. 290 of GFR 2017 and Compendium of rules on advances to government servants Rule 51**

#### **6.2.5 LEAVE TRAVEL CONCESSION (LTC): -**

##### **(I) ELIGIBILITY: -**

1. The Govt. servant should have completed one-year service on the date of journey performed by him/his family.
2. If the Govt. servant is under suspension, the concession is admissible only to his family members.
3. Not admissible to employees whose spouse is employed in Indian Railways or National Airlines.

Family includes: -

- (i) the Government servant's wife or husband, as the case may be, and two surviving unmarried children or step-children wholly dependent on the Government servant, irrespective of whether they are residing with the Government servant or not;
- (ii) married daughters who have been divorced, abandoned or separated from their husbands and widowed daughters and are residing with the Government servant and are wholly dependent on the Government servant;
- (iii) Parents and/or step mother residing with and wholly dependent on the Government servant;
- (iv) unmarried minor brothers as well as unmarried, divorced, abandoned, separated from their husbands or widowed sisters residing with and wholly dependent on the Government servant, provided their parents are either not alive or are themselves wholly dependent on the Government servant.

#### **EXPLANATIONS:**

1. The restriction of the concession to only two surviving children or step children shall not be applicable in respect of (i) those employees who already have more than two children prior to the coming into force of this restriction i.e. 20.10.1998; (ii) children born within one year of the coming into force of this restriction; (iii) where the number of children exceeds two as a result of second child birth resulting in multiple births.
2. Only one wife is included in the term “Family” for LTC Rules . However, if a government servant has two legally wedded wives and the second marriage is with the specific permission of the government, the second wife shall also be included in the definition of “family”.
3. It is not necessary for the family to reside with the Government servant so as to be eligible for the concession. Full reimbursement as per entitlement shall be allowed for journeys on LTC by family members from any place in India to Headquarters and back. When journey is performed from Hometown, The LTC will be counted against Hometown LTC otherwise against All India LTC. GID (23) Rule 7
4. Children of sisters who are divorced, abandoned, separated from their husbands or widowed are not included in the term “Family”
5. A member of the family whose income from all sources does not exceed the amount of minimum family pension prescribed in Central Government (i.e. Rs. 9,000 p.m.) and Dearness Relief thereon is deemed to be wholly dependent on the Government servant. Rule 4(d) Explanations and GID (2) Rule 4.
6. Conditions of dependency not applicable on the husband and wife- Husband and wife is one unit for the purpose of LTC and Hence the condition of dependency is not applicable.

**GID (3) Rule 4.**

**(II) ENTITLEMENT: -**

**(A) JOURNEY BY AIR / RAIL:**

| Pay level in Pay Matrix | Travel Entitlements                           |
|-------------------------|-----------------------------------------------|
| 14 and above            | Business/Club classes by air or AC-I by train |
| 12 and 13               | Economy class by air or AC-I by train         |
| 9 to 11                 | Economy class by air or AC-II by train        |
| 6 to 8                  | AC-II by train                                |

|             |                              |
|-------------|------------------------------|
| 5 and below | AC-III/AC Chair car by train |
|-------------|------------------------------|

The revised travel entitlements are subject to following: -

**Note:** -(i) In case of places not connected by rail, travel by AC bus for all those entitled to travel by AC-II tier and above by train and by Deluxe/ordinary bus for others is allowed.

(ii) In case of road travel between places connected by rail, travel by any means of public transport is allowed, provided the total fare does not exceed the train fare by the entitled class.

a. Henceforth, all mileage points earned by Government employees on tickets purchased for official travel shall be utilized by the concerned department for other official travel by their officers. Any usage of these mileage points for purposes of private travel by an officer will attract departmental action. This is to ensure that the benefits of official travel, which is funded by the Government, should accrue to the Government.

b. All Government servants are allowed to travel below their entitled class of travel.

**(B) JOURNEY BY SEA OR BY RIVER STEAMER: -**

|             |                                                                                                                               |
|-------------|-------------------------------------------------------------------------------------------------------------------------------|
| 9 and above | Highest class                                                                                                                 |
| 6 to 8      | Lower class if there be two classes only on the steamer                                                                       |
| 4 and 5     | If two classes only , the lower classes if three classes, the middle or second class if there be four classes the third class |
| 3 and below | Lowest class                                                                                                                  |

Accommodation entitlements for travel between the mainland and the A&N Group of Islands and Lakshadweep Group of Island by ships operated by the Shipping Corporation of India Limited will be as follows: -

|             |                         |
|-------------|-------------------------|
| 9 and above | Deluxe class            |
| 6 to 8      | First/ 'A' Cabin class  |
| 4 and 5     | Second/ 'B' Cabin class |

|             |            |
|-------------|------------|
| 3 and below | Bunk class |
|-------------|------------|

Where a public transport system does not exist, the assistance will be regulated as in the case of journeys on transfer.

- (c) The Government servant may travel by air between places not connected by rail, where an alternative means of travel is either not available or is more expensive. The reimbursement of fare where a government servant performs journey on LTC by AIR between places connected by rail, may be restricted to the fare of entitled class by rail other than Rajdhani / Shatabdi Express.

Air travel is permissible between Leh and Srinagar / Jammu / Chandigarh during winter for the government servant, his / her spouse, and two dependent children (18 years for boys and 24 years for girls) in respect of Government servants serving in Ladakh Region.

### **(III) REIMBURSEMENT—**

The government will reimburse Fares for journeys between duty station and hometown, both ways in full. If the employee resides with his family away from the duty stations, fares for journeys between place of residence and home town, both ways, restricted to that from duty station to home town and back will be reimbursed in full. Reservation charges are reimbursable in respect of all classes.

**(IV) AMOUNT OF ADVANCE:** - The amount of advance in each case will be limited to 90% of the estimated amount, which the Government would have to reimburse in respect of cost of the journey.

**ADVANCE CAN BE DRAWN FOR FAMILY SEPARATELY:** - If the family members avail LTC separately, i.e., on different occasions, separate advances, to the extent admissible, may be sanctioned.

### **ADVANCE CAN BE DRAWN FOR BOTH THE OUTWARD AND RETURN JOURNEYS—**

The Government servant for both the outward and return journey can draw advance, provided that the leave taken by him or the anticipated absence of the members of the family does not exceed three months (or) 90 days. **[Rule 52(2) (iii) (a)]**

### **ADVANCE FOR OUTWARD JOURNEY ONLY: -**

In case the period of leave taken or anticipated absence of the family members exceeds 3 months, the advance can be drawn for the outward journey only.

Full advance to be refunded if outward journey is not started within 30/60 days.: - When outward journey is to be performed by rail, advance can be drawn before 30 days. In case the outward journey to be performed by other modes, advance can be drawn before 60 days. In case the outward journey is not started within 65/30 days, the entire advance should be refunded.

The Government servant has to produce Railway ticket within 10 days of drawal of advance. [Rule 52(2)(v)]

Refund of half of advance after 90 days: - When advance is granted for both outward and return journey, one-half of the advance should be refunded to Government forthwith, if the limit of 3 months is exceeded.

Separate adjustment for separate advances: - Separate advances for different batches may be adjusted by separate claims. A consolidated advance should be adjusted in a single bill only.

**(V) ADVANCE CLAIM:** -When advance taken, the claim should be submitted within one month from the date of return journey. If not, outstanding advance will be recovered in one lump- sum and the claim will be treated as one where no advance is sanctioned. Further, interest at 2% (Two percent) over the interest rate on the Provident Fund balance shall be charged on the entire advance from the date of drawal to the date of recovery will be charged. Head of the Department may waive the interest in deserving cases.

2. When claim submitted within stipulated time but unutilized portion of advance not refunded, interest is chargeable on that amount at the above rate from the date of drawal to the date of recovery.

3. When no advance is taken, claim should be submitted within three months from the completion of return journey. Otherwise, the claim will be forfeited.

Sanctioning Authority: - Head of Office. For Heads of Offices who are not their own controlling officers, next higher authority may sanction advance. [Rule 52(1)]

Surety: - Temporary Government servants should produce a surety of a permanent Government servant of equal or higher status. [Rule 52(2)(iv)]

**(Authority: - Leave Travel Concession and General Financial Rules and Compendium of Rules on Advances to Government Servants)**

Advance in connection with transfer of Government Servant: -

The application for grant of transfer advance submitted by the Central Govt. employee shall be scrutinized in the light of the provision of Rules 39 to 43 of the Compendium of Rules on Advances to Government Servants (Came in to force from the 1st July, 2005 vide G.I., M.F.,O.M. No. 8/9/E.II (A)/2003, dated 1st July 2005) and other orders and instructions issued by the Government of India from time to time. The amount of transfer advance granted to the Government servants should be shown in their Last Pay Certificates to be sent to the officer under whom he is proceeding on transfer for recovery/adjustment from transfer TA bills submitted by them.

**(Authority: -General Financial Rules and Compendium of Rules on Advances to Government Servants)**

**6.2.6 REIMBURSEMENT OF MEDICAL EXPENSES:-**Reimbursement of medical expenses of the officers/ officials of this office is done as per circular given below:

**Authority : GOI , MOH & Family Welfare Department of Health & Family Welfare EHS Section Z 15025/117/2017/DIR/CGHS/EHS Dated 15.01.2018 , GOI , MOH & Family Welfare Department of Health & Family Welfare EHS Section Z 15025/117/2017/DIR/CGHS/EHS Dated 10.12.2018 and F.No.5-36/CGHS (HQ)/HEC/2024 Office of the Additional Director Central Government Health Scheme, Headquarter Ministry of Health and Family Welfare, Govt. of India CGHS Bhawan, Sector-13, R. K. Puram, New Delhi 110066 (Hospital Empanelment Cell) R. K. Puram, New Delhi Dated: 5 August, 2024**

**6.3 ADMINISTRATION SECTION-III:** This section deals with Procurement of Dead Stock, materials, stores , stationary , necessary for upkeep of the office Inward Dak and Outward Dispatch letters are monitored ,Repair & maintenance of Dead Stock , Staff welfare, Library , maintenance of staff car, Reimbursement of Newspaper Bills/ Briefcase , issue of ID Cards- office/ MHA, Minor/ Major capital works, Outsourced manpower management, This section is also responsible for Reception , maintenance of office premises and liasoning with Central Public Works Department in this regard, works related to Disaster management.

### **6.3.1 PROCUREMENT OF GOODS AND SERVICES**

**Powers for procurement of goods:** The ministries or Departments have been delegated full powers to make their own arrangements for procurement of goods and services, that are not available on GeM. Common use Goods and Services available on GeM are required to be procured mandatorily through GeM as per GFR Rule 149.

### **6.3.2 GOVERNMENT E-MARKETPLACE (GEM):**

Government of India has established the Government e- Marketplace (GeM) for common use Goods and Services. GeM SPV will ensure adequate publicity including periodic advertisement of the items to be procured through GeM for prospective suppliers. The Procurement of Goods and Services by Ministries or Departments will be mandatory for Goods or Services available on GeM. The credentials of suppliers on GeM shall be certified by GeM SPV. The procuring authorities will certify the reasonability of rates. The GeM portal shall be utilized by the Government buyers for direct on-line purchases as under:

- (i) Up to Rs. 50,000 through any of the available suppliers on the GeM, meeting the requisite quality, specification and delivery period. Note: in case of automobiles, procurement under this sub-rule is permitted without any ceiling limit.
- (ii) Above Rs. 50,000 and up to Rs. 10,00,000 through the GeM Seller having lowest price amongst the available sellers (excluding Automobiles where current limit of 30 lakh will continue), of at least three different manufacturers, on GeM, meeting the requisite quality, specification and delivery period. The tools for online bidding and online reverse auction available on GeM can be used by the Buyers even for procurements less than Rs 10,00,000
- (iii) Above Rs. 10,00,000 through the supplier having lowest price meeting the requisite quality, specification and delivery period after mandatorily obtaining bids, using online bidding or reverse auction tool provided on GeM
- (iv) The invitation for the online e-bidding/reverse auction will be available to all the existing Sellers or other Sellers registered on the portal and who have offered their goods/services under the particular product/service category, as per terms and conditions of GeM.

- (v) The above-mentioned monetary ceiling is applicable only for purchases made through GeM. For purchases, if any, outside GeM, relevant GFR Rules shall apply.
- (vi) The Ministries/Departments shall work out their procurement requirements of Goods and Services on either "OPEX" model or "CAPEX" model as per their requirement/ suitability at the time of preparation of Budget Estimates (BE) and shall project their Annual Procurement Plan of goods and services on GeM portal within 30 days of Budget approval.
- (vii) The Government Buyers may ascertain the reasonableness of prices before placement of order using the Business Analytics (BA) tools available on GeM including the Last Purchase Price on GeM, Department's own Last Purchase Price etc.
- (viii) A demand for goods shall not be divided into small quantities to make piecemeal purchases to avoid procurement through L-1 Buying / bidding / reverse auction on GeM or the necessity of obtaining the sanction of higher authorities required with reference to the estimated value of the total demand.

**(Authority: Amended GFR 2017 Rules No. 149 & Hqrs Circular No. 236 Staff Entt (Rule) / A.R./02-2016 dated 13.08.2024)**

### **6.3.3 REGISTRATION OF SUPPLIERS:**

For goods and services not available on GeM, Head of Ministry / Department may also register suppliers of goods and services which are specifically required by that Department or office, periodically. The registration of the supplier should be done following a fair, transparent and reasonable procedure and after giving due publicity. Such registered suppliers should be boarded on GeM as and when the item or service gets listed on GeM.

- (i) Credentials, manufacturing capability, quality control systems, past performance, after-sales service, financial background etc. of the supplier(s) should be carefully verified before registration.
- (ii) The supplier(s) will be registered for a fixed period (between 1 to 3 years) depending on the nature of the goods. At the end of this period, the registered supplier(s) willing to continue with registration are to apply afresh for renewal of registration. New supplier(s) may also be considered for registration at any time, provided they fulfill all the required conditions.
- (iii) The performance and conduct of every registered supplier is to be watched by the concerned Ministry or Department. The registered supplier(s) are liable to be removed from the list of approved suppliers if they fail to abide by the terms and conditions of the registration or fail to supply the goods on time or supply substandard goods or make any false declaration to any Government agency or for any ground which, in the opinion of the Government, is not in public interest.
- (iv) The list of registered suppliers for the subject matter of procurement be exhibited on websites of the Procuring Entity/ their e Procurement portal.

**(Authority: GFR 2017 Rules No. 150)**

### **6.3.4 PURCHASE OF GOODS BY PURCHASE COMMITTEE (GFR RULE 155):**

In this office, Procurement of goods is being done as per the provisions of GFR 2017. The Purchase / Tender Committee for procurement, whether through GeM or other than GeM shall be constituted as under in terms of GFR Provisions: - In case a certain item is not available on the GeM portal, Purchase/ tender Committee is constituted as under :

| Value of Purchase                        | Purchase / tender committee                                               |
|------------------------------------------|---------------------------------------------------------------------------|
| Upto Rs. 50,000/-                        | Without quotation / off the shelf                                         |
| Rs. 50,000/- to Rs. 5,00,000/-           | Consisting of three members (2 SAO and 1 Group officer)                   |
| Rs. 5,00,000/- to Rs. 50,00,000/-        | Consisting of three members ( 1 SAO and 2 Group officers)                 |
| Rs. 50,00,000/- to Rs. 1,00,00,000 /-    | Consisting of Three Group Officers with SAO (Admin) as member secretary.  |
| Rs. 1,00,00,000/- to Rs. 10,00,00,000 /- | Consisting of Two Group Officers and PAG/AG/DG/PD will be the chairperson |

**Authority: Hqrs. Circular No. 16/2025 No. 115-FMD/DFPR/29-2024 dated 01.05.2025 and Ammended GFR 2017 Rules No. 149)**

The committee may establish the necessity of the proposal including quantity/quality/rates, administrative approval etc. The committee may also record specifically whether

provisions of GFR and DFP in purchase/ tender have been followed by the office. Accordingly in this office the following Purchase / tender committee has been constituted for procurement.

| Value of Purchase                       | Purchase / tender committee<br>( Shri/Smt/Ms)                                                                                                                              |
|-----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Rs. 50,000 to Rs. 5,00,000/-            | Shri K S Narasimha Prasad, Director (Infra-I)<br>Smt. Madhulika Guglani , SAO(Admin)<br>Ms. Leema Byju, SAO (Infra-I)                                                      |
| Rs. 5,00,000/- to Rs. 50,00,000/-       | Shri K S Narasimha Prasad, Director (Infra-I)<br>Shri Abhishek Jain , Dy. Director<br>Smt. Madhulika Guglani , SAO(Admin)                                                  |
| Rs. 50,00,000 to Rs. 1,00,00,000/-      | Shri K S Narasimha Prasad, Director (Infra-I)<br>Shri Abhishek Jain , Dy. Director<br>Shri Vijay Pal Singh, Dy. Director( Aviation)<br>Smt. Madhulika Guglani , SAO(Admin) |
| Rs. 1,00,00,000/- to Rs. 10,00,00,000/- | Shri Pramod Kumar, ADAI<br>Shri K S Narasimha Prasad, Director (Infra-I)<br>Shri Abhishek Jain , Dy. Director                                                              |

**Authority: ADAI Approval with File No. Admin/III/Misc Purchase/1757-58 dated 16.05.2025**

**6.4 ADMINISTRATION SECTION-IV:** This section deals in IT Procurement and maintenance of IT assets, technical support in respect of E-Office/OIOS/e-Hrms and related return, Training, CCTV, Bio-metric attendance, Maintenance & updation of IT

website, Payment of Honorarium and cash Award, Reimbursement of Children Education Allowance.

## **TRAINING SECTION**

- (i) In-house training of staff on various subjects including Computer Training for PC-IV exam of SAS.
- (ii) Selection and deputing staff for training at RTIs, iCISA Noida, iCED Jaipur and Parliamentary Training, New Delhi.
- (iii) Arranging training for candidates for various Departmental Examinations.
- (iv) Arranging practical training for computer paper for SAS/ Incentive Examination/ DEO Grade examination.
- (v) Preparation of Annual Calendar for in house training.
- (vi) Maintaining database for Training Need Analysis.
- (vii) Arrangement of faculties for in-house training from inside as well as outside Government Agencies.

## **6.5 RAJBHASHA ANUBHAG**

Hindi section of this office has been formed since 07.02.2022. There is a total of 01 sanctioned strength of Assistant Director (Official Language) and total 03 sanctioned strength of Junior Translators and all the posts have been filled as per sanctioned strength. The Cadre Control of this Cadre (Junior Translators and Assistant Director (Official Language)) regarding posting and transfer, is with the CAG Headquarter's Office only. Duty list of Rajbhasha Anubhag has been given in Appendix -VI.

**Authority: This office order no. 426 Dated: 07.02.2022 and Hqrs Circular No.07/Staff Appointment-IV Letter No. 43/Staff Appointment-IV/16-2020 dated 06.02.2025**

**6.6 DIRECTOR GENERAL / PRINCIPAL DIRECTOR'S SECRETARIAT** Secretarial and confidential work of the Director General /Principal Director is performed in this Secretariat.

**6.7 DIRECTOR / DY. DIRECTOR'S SECRETARIAT** Secretarial and confidential work of the Director /Dy. Director is performed in this Secretariat.

## **6.8 INTERNAL TEST AUDIT SECTION (ITA SECTION)**

Internal Test Audit (ITA) wing consisting of one SAO, two Assistant Audit Officers and one auditor report to Director General/Principal Director of Audit (Infrastructure), New Delhi. Internal Test Audit (ITA) wing performs periodical check of working of each section/sphere of work as per provisions contained in ITA Manual and results thereof directly submitted to the Director General/Principal Director of Audit (Infrastructure), New Delhi. At the time of Inspection of the Office by Director General/Inspection of the Hqrs. Office, ITA Section acts

as a pool between this Office and Director General/Inspection and his/her team.

**(Authority: Office orders no. 434 dated 29.11.2022. and Office orders no. 178 dated 08.08.2024 and ITA Manual of this office)**

### **ROLES AND RESPONSIBILITIES OF INTERNAL TEST AUDIT SECTION WHICH ARE AS FOLLOWS:**

1. Internal Audit Section will deal with all the correspondence related to ADAI Inspection and deal with all the ADAI Inspection paras, pursue the replies from the section and monitor the compliance of the audit observations.
2. Internal Audit Section will prepare an Annual Audit Program for internal audit of the various wings / sections of this office and should be submitted to DG/PD in the month of April.
3. The internal audit shall be conducted as per the approved Program and any change should be duly approved by PDA/ DGA.
4. Internal Audit Section shall issue the Inspection report to wings within 30 days of completion of audit and pursue the replies and watch the compliance thereof.
5. ITA shall review the Internal Audit Manual and conduct the audit as per the checklist which should be updated regularly.
6. ITA shall invariably check all the pay fixation due to grant of MACP/ACP/financial upgradation / increment / promotions, etc.
7. In case of where the employee is due to retire within next 4 years, audit of previous pay fixation orders shall also be done on priority.

**Authority: Principal Director's approval vide this office order No. 611 dated 17.03.2023**

As this office has been entrusted with the Audit of three Central Ministries and CPSEs, ABs, SCs and EAPs under these Ministries, thus, HOD established a practice of circulation of Press Clippings amongst different wings as per following SOP.

1. ITA Section will browse through the newspapers and will identify press clippings related to each wing.
2. These clippings will be forwarded to the Group Officer on the same day for review.
3. GOs may review the significant clipping from audit point of view and mark them for entering in press clipping register as well as register of Important Points. Some clippings which are of no importance can be closed at Group Officer level after review.
4. The press clipping register will be submitted monthly to Group Officer where details of action taken on the press clippings as well as status of pending press clippings will be indicated.

5. GOs will submit the said register to the Principal Director/Director General on a quarterly basis.

**(Authority: Office orders no. 472 dated 22.12.2022.)**

## **6.9 REPORT- I SECTION (COMMERCIAL)**

Report-I section processes the draft audit material viz. draft paragraphs, Compliance Audit/Focus Area Based Audit and Performance Audits. In addition, the Audit Plan is compiled and forwarded to Headquarters by this section. Designation-wise key function area and result area are given in Appendix VII.

## **6.10 REPORT- II SECTION (CIVIL)**

Report-II section processes the draft audit material viz. draft paragraphs, Compliance Audit/Focus Area Based Audit and Performance Audits. The key function area and result area are given in Appendix VIII.

\*\*\*\*\*

## **Chapter-VII**

### **MATTERS RELATING TO GAZETTED OFFICERS**

#### **7.1 GENERAL**

All work of administration nature in connection with the Group “A” officers attached to this office is done by administration section of this office. Personal files and service records of these officers are also maintained in Administration section.

#### **7.2 RECRUITMENT**

1. Promotion to the cadre of Senior Audit Officers (Commercial) will be only from the cadre of Assistant Audit Officers as per existing Recruitment Rules by Hqrs Office (CA-I Section). The posts of AAO (Commercial) will be filled up by direct recruitment through SSC and also SAS passed candidates from the cadre of Assistant Supervisor/Sr.Ar/Ar/DEO/Clerk cadre under prescribed recruitment rules and existing instructions.
2. Promotion to the cadre of Senior Audit Officers (Civil) will be only from the cadre of Assistant Audit Officers as per existing Recruitment Rules by their cadre controlling Authority i.e. DGA (Industry and corporate Affairs) New Delhi. The posts of AAO (Civil) will be filled up by direct recruitment through SSC and also SAS passed candidates from the cadre of Assistant Supervisor/Sr.Ar/Ar/DEO/Clerk cadre under prescribed recruitment rules and existing instructions.

#### **7.3 APPOINTMENT IN SENIOR AUDIT OFFICER’S CADRE**

Officiating and Substantive appointments to the grade of Senior Audit Officers and Assistant Audit Officers are made by Headquarters’ office in his capacity as Appointing Authority under the Civil Services (Classification, Control & Appeal Rules). The procedure of selection, appointment and confirmation is regulated in accordance with the existing recruitment rules and the orders of the Comptroller & Auditor General of India issued from time to time.

#### **7.4 OFFICIATING PROMOTIONS AGAINST GENERAL LIST VACANCIES**

No person should be appointed as Sr. Audit Officer, against a temporary vacancy caused in the cadre of IA&AS due to proceeding on leave etc. by the general list officer without obtaining the previous sanction of the Comptroller & Auditor General of India to the creation of a temporary post of Senior Audit Officer in lieu of a General List post.

#### **7.5 TRANSFER OF CHARGE BY I.A. & A.S. OFFICERS**

Charge certificates should also be prepared by the Administration Section in respect of I.A.&A.S. Officers on their transfer from and to this office and a report sent to the Comptroller & Auditor General of India on the date each transfer takes place.

In terms of rule I (i) of Section II(a) of Appendix 3 to F. Rs. & Rs. Vol. II and subject to the conditions mentioned therein, the Comptroller & Auditor General has delegated to the “Heads of Department” of the IA&AD, the power to issue orders regarding transfer of charge at headquarters as well as elsewhere than at Headquarters in the case of Sr. Audit Officers.

## **7.6 Procedure of Transfer of Charge**

Officers/officials on transfer of his/her charge due to his/her transfer from one charge to another within office itself should hand over to their successor all keys, valuables and other confidential documents, if any, and report the same to their Group Officer.

Points of importance should be penned down in connection with the working of the charge relating to any important case or specific type of work which are pending and likely to call for his special attention or scrutiny. Serious discrepancies/defects that may occur in the working of any of the sections comprising the charge should be specifically mentioned. A list of all arrears of work should be appended in the charge report.

Even temporarily while taking over charge of duties from another Officers/officials, is expected to ascertain whether the work is absolutely up-to-date and to report to his immediate superior immediately on observing any arrears or irregularities so that prompt action may be taken. If no such report is submitted, then the officer assuming charge is responsible for the status of work under his charge including any arrears or irregularities which may exist.

Officers/officials handing over charge to another must take a receipt for all papers he hands over. In case where no charge is made or taken over owing to the absence on grounds of illness or otherwise, the immediate senior officer should overhaul the absentee's table and make out a list of the papers found. The list should then be sent to the absentee, who will be held responsible for the loss of any paper which was received by him but has not been accounted for.

## **7.7 SUPERANNUATION AND RETIREMENT**

Senior Audit Officers are considered as non-ministerial Government servants for the purpose of Rule 56 of Fundamental Rules and the application for pension of such Officers should be dealt finally by the Director General /Principal Director and above in their capacity as the authorities competent to fill the posts vacated by the retiring officers.

## **7.8 ACCEPTANCE OF GIFTS BY OFFICERS ON THE OCCASION OF THEIR RETIREMENT/TRANSFER**

A farewell entertainment of substantially private and informal character may be held in honour of an Officer on the occasion of his retirement or transfer as permitted under the provisions of Rule 14 of the C.C.S. (Conduct) Rules, 1964 and gifts of nominal value as mentioned in Rule 13 (4) may be presented and accepted on such occasions. Exercise of pressure or influence of any sort on any Government

servant to induce him to subscribe on account of such occasions is, however, forbidden.

## **7.9 BROADCAST TALK**

An officer of the Indian Audit and Account Service asked to deliver broadcast talk should not do so without the previous permission of the Comptroller & Auditor General of India. The Officers must report the subject on which he proposes to talk, whether it is connected with his official work or not, to the Comptroller & Auditor General of India, who will examine the text of the talk, where necessary in accordance with the instructions issued from time to time by the Central Government in this behalf. The sanction to broadcast should be taken to carry with it also the sanction to receive the honorarium.

**(Authority:- Para 3.37 of C.& A.G.'s M.S.O.(Admn)Vol -I. third edition)**

## **7.10 REPORT ON THE DEATH OF GAZETTED OFFICER**

The death of an officer of Indian Audit and Accounts Service should be reported immediately to the Comptroller and Auditor General.

## **7.11 PRIVATE WORK**

1. Honorary work of social or charitable nature or occasional work of a literary, artistic or scientific character may be undertaken by an officer without the special permission of the Comptroller and Auditor General who should, however be consulted before any very important or onerous unpaid duties are assumed. Note: Remunerated private work is governed by the Fundamental Rules.
2. No officer should act as correspondent, honorary or paid, occasional or regular, to newspapers and journals or edit any newspaper or any other periodical publication, without the previous permission of the Comptroller and Auditor General. Before giving permission, the Comptroller and Auditor General will consult the Central Government in the Ministry of Home Affairs so as to ensure uniformity of practice between all Ministries.
3. No officer should become a member of any committee or Board of Management of institutions, which are under the audit control of the Comptroller and Auditor General. Cases where this is proposed should be referred to the Comptroller and Auditor General.

**(Authority:- Para 3.36 of C.& A.G.'s M.S.O.(Admn)Vol- I. third edition)**

## **7.12 DECLARATION REGARDING IMMOVABLE PROPERTY**

The declarations regarding immovable property required to be made under Rule 18(3) of the Central Civil Service (Conduct) Rules, 1964 by the officers of the Indian Audit and Accounts Service should be submitted to the Comptroller & Auditor General of India in the month of January each Year in SPARROW and should show the position as on 1st January of the year for which it is sent.

## **7.13 CLASSIFIED LIST OF GROUP “A” OFFICERS IN AUDIT & ACCOUNTS DEPARTMENT**

A classified list of all Group “A” Officers of the Indian Audit and Accounts Department as on 1st July should be furnished to the office of Comptroller & Auditor General of India by 20th July every year in the Performa given below:-

### **PROFORMA**

**List of IA & AS Officers, Officers on deputation from other Departments, Welfare Officers, Senior Principal Private Secretaries, Principal Private Secretaries (in HQ), as on 01.01.2025**

| Sl. No. | Sl, No, in Classified List (As on 01.01.2024) | Name S/Shri/Ms . (Unbridged Capital Letters) No initials are to be used | Date of Joining in the Office | Date of Appointment to the Grade | Designation and Pay level (Horizontal range in the pay Matrix) | Pay as on 01.01.2025 and the Date of next increment | Educational Qualification | Mobile No. & Home Town | Passport size colour photo of the officer in JPG format (placed in the column, if change desired) | REMARKS |
|---------|-----------------------------------------------|-------------------------------------------------------------------------|-------------------------------|----------------------------------|----------------------------------------------------------------|-----------------------------------------------------|---------------------------|------------------------|---------------------------------------------------------------------------------------------------|---------|
| 1       | 2                                             | 3                                                                       | 4                             | 5                                | 6                                                              | 7                                                   | 8                         | 9                      | 10                                                                                                | 11      |
|         |                                               |                                                                         |                               |                                  |                                                                |                                                     |                           |                        |                                                                                                   |         |

\*If there is any addition to the qualifications, as compared to the previous year, a copy of the qualification(s) and permission granted may be attached.

(Authority:- C.& A.G's letter No. 26-GE I/C.List/3-2025 Dated 03.01.2025).

#### **7.14 COMMUNICATION OR REQUESTS MADE COMPTROLLER AND AUDITOR GENERAL DEMIOFFICIALLY BY OFFICERS BELONGING TO THE IA&AD**

When an officer makes a demi-official request for leave, transfer or anything else, he should communicate the contents of his letter to the head of his office. A copy of any reply to such a letter will be sent by the Comptroller and Auditor General's office to the head of the office concerned.

#### **7.15 EMPLOYMENT OF SONS AND NEAR RELATIONS OF OFFICERS OF THE GOVERNMENT OF INDIA IN PRIVATE FIRMS WHICH ENJOY GOVERNMENT PATRONAGE**

Whenever the sons/daughters or dependents of Group "A" Officers wish to accept employment with private firms with which the officers have official dealings, or with other important firms having official dealings with the Government of India, the fact should be reported to Government by the Officers concerned and Government's permission should be obtained to such employment. Where, however, the acceptance of such employment could not wait Government's prior permission or the matter is otherwise considered urgent, a report should be made to Government and the employment accepted provisionally subjects to Government permission.

Whenever a proposal arises for the award of a contract or exercise of patronage in favour of any firm in which a son/daughter or a dependent of an officer is employed, this fact should be declared by the officer concerned and he should thereafter desist from dealing with the case himself. In such circumstances, a recommendation should be made that the case should be decided by another officer of equivalent or of superior standing.

(Rule 4 of CCS (Conduct) Rules-1964).

#### **7.16 COMMERCIAL EMPLOYMENT AFTER RETIREMENT BY GROUP "A" OFFICERS.**

If a pensioner who, immediately before his retirement was a member of Central Service Group 'A' wishes to accept any commercial employment before the expiry of one year from the date of his retirement, he shall obtain the previous sanction of the Government to such acceptance by submitting an application in Form 1.

Provided that a Government servant who was permitted by the Government to take up a particular form of commercial employment during his leave preparatory to retirement or during refused leave shall not be required to obtain subsequent permission for his continuance in such employment after retirement. Provided further that a Government servant shall not negotiate for commercial employment during service without prior permission of the administrative Ministry or Department and such permission shall not be given unless there are special reasons for doing so.

**(Authority: Rule 9(1) CCS (Pension) Rule 2021)**

\*\*\*\*\*

## **CHAPTER –VIII**

### **APPOINTMENT, RECRUITMENT, PROMOTIONS, TRANSFERS & SENIORITY**

#### **SECTION- A**

##### **8.1 APPOINTING AUTHORITY**

All proposals for appointments to and promotions in the clerical staff of the office are submitted to the Principal Director/ Director General for sanction. Actual appointment letters are however issued under the signature of the competent appointing authority. For group “C” posts appointing authorities are Director/Dy. Director (Admin).

**(Authority- CAG MSO (Administrative) Vol-II third edition Section E and CAG circular No.86/NGE/88 circulated vide No.900-N.2/137-88 dated 6.10.1988).**

##### **8.2 COMPETENT AUTHORITY FOR SIGNING THE APPOINTMENT ORDER**

The following general instructions on the above subject have been issued by the Government of India for strict observance: -

- (i) For every “Gazetted “appointment there should be a gazetted Notification and for every other appointment there should be a formal order of appointment as distinct from an offer of appointment.
- (ii) The notification or the appointment order should expressly state that the appointment is made by the authority empowered to make such appointment and should be signed by the appointing authority or, where this is not practicable, by any other officer signing” for” the appointing authority. In such cases, however, the officer signing should ensure that the appointment has been formally approved by the appointing authority and the fact recorded on the file. In no case should the appointment order be issued by an officer higher than the appointing authority.

**(G.I. Ministry of home Affairs, Office Memorandum No. F7 (43) / 57-East. (A) dated the 24th January, 1958)**

##### **8.3 RECRUITMENT OF AUDITORS/CLERKS/JUNIOR TRANSLATOR /STENOGRAPHERS/DEO/MTS IN IA&AD**

Recruitment to the posts of Auditors, Clerks, Stenographers, DEO, Junior translator and MTS are done through the Staff Selection Commission and compassionate appointments in Group C will be done by the office itself. This office send requisition to Headquarters office when demanded by Hqrs for filling up vacancies in the Group B and C posts by direct recruitment through various examination conducted by the staff selection commission in prescribed Proforma given below

| Annexure-A<br>PROFORMA                |                                   |                            |                     |    |    |    |    |       |    |    |    |    |           |       |    |    |    |                             |    |       |    |    |    |    |    |       |
|---------------------------------------|-----------------------------------|----------------------------|---------------------|----|----|----|----|-------|----|----|----|----|-----------|-------|----|----|----|-----------------------------|----|-------|----|----|----|----|----|-------|
| Name of the Office<br>Position as on: |                                   |                            |                     |    |    |    |    |       |    |    |    |    |           |       |    |    |    |                             |    |       |    |    |    |    |    |       |
| Sl.N O.                               | Name of the office /Branch office | Post                       | Sanctioned Strength |    |    |    |    | PIP   |    |    |    |    | Vacancies |       |    |    |    | Direct Recruitment Required |    |       |    |    |    |    |    |       |
| 1                                     |                                   | Assistant Audit Officer    | SC                  | ST | OB | EW | UR | Total | SC | ST | OB | EW | UR        | Total | SC | ST | OB | EW                          | UR | Total | SC | ST | OB | EW | UR | Total |
| 2                                     |                                   | Assistant Accounts Officer |                     |    |    |    |    |       |    |    |    |    |           |       |    |    |    |                             |    |       |    |    |    |    |    |       |
| 3                                     |                                   | Divisional Accountant      |                     |    |    |    |    |       |    |    |    |    |           |       |    |    |    |                             |    |       |    |    |    |    |    |       |
| 4                                     |                                   | Auditor                    |                     |    |    |    |    |       |    |    |    |    |           |       |    |    |    |                             |    |       |    |    |    |    |    |       |
| 5                                     |                                   | Accountant                 |                     |    |    |    |    |       |    |    |    |    |           |       |    |    |    |                             |    |       |    |    |    |    |    |       |
|                                       |                                   |                            |                     |    |    |    |    |       |    |    |    |    |           |       |    |    |    |                             |    |       |    |    |    |    |    |       |

Note: In case, the vacancies to be filled are in the sub office/ Branch Office(s), the state wise details of the vacancies may also be furnished

#### 8.4 GUIDELINES FOR MUTUAL TRANSFER IN GROUP B AND C CADRES IN IA&AD.

Mutual transfer in Group B and C cadres in IA & AD is done as per guidelines given in Hqrs Office circular mentioned below:

*(Circular no. 16 Staff Wing/2013 vide 885 Staff (App)-II/64-2012 Vol. IV dt. 06.06.2013)*

#### 8.5 PROCEDURE TO BE FOLLOWED IN THE MATTER OF COMPASSIONATE APPOINTMENTS OF SON/ DAUGHTER/ NEAR RELATIVE OF DECEASED GOVERNMENT EMPLOYEES

The power of compassionate appointment may be exercised by the Head of the Department to appoint in relaxation of the procedure of recruitment through the staff selection commission or employment exchange, but subject to the other requirements set out below, the son/daughter/near relative of a Government Servant who dies in harness, leaving his family, in immediate need of assistance in the event of there being no other earning member in the family, to a Group 'C' post after the proposal for appointment has been approved by the Department concerned.

Various instructions for compassionate appointment are listed in following OM's of DOPT, GoI-

##### 1. Guidelines for Appointment on compassionate grounds.

*O.M. no. 14014/6/94-Estt. (D), Dt. 09 Oct, 1998 of DOPT, GoI*

## **2. Time limit for making compassionate appointment**

*OM . No. 14014/16/2011-Estt. (D), dt. 26.07.2012*

## **3. Maintenance of other dependent family members of the deceased Govt. servant.**

*No. 14014/16/99-Estt. (D), dt. 20.12.1999 of DOPT, GoI*

## **4. Compassionate appointment-calculation of vacancies by grouping of posts**

*OM No. 14014/24/99-Estt. (D), dt. 28.12.1999*

## **5. Termination of service of the employee appointed on compassionate ground.**

*OM No. 14014/19/2000-Estt. (D), dt. 24.11.2000 of DOPT, GoI*

## **6. Compassionate appointment-Recommendations by the Committee limited to availability of vacancy.**

*OM no. 14014/18/2000-Estt. (D), dt 22.06.2001 of DOPT, GoI*

## **7. Frequently asked question on compassionate ground appointment OM no. 14014/02/2012-Estt. (D), dt. 30.05.2013 of DOPT, GoI**

## **8. Consolidated instructions on Compassionate appointment**

*OM no. 14014/02/2012-Estt. (D), dt. 16.01.2013 of DOPT, GoI*

## **8.6 RESERVATION VACANCIES FOR THE PHYSICALLY HANDICAPPED PERSONS IN GROUP 'C' UNDER THE CENTRAL GOVERNMENT**

Reservation for the physically handicapped persons in Group 'C' posts under the Central Government have been provided as per DoPT OM no. 36012/1/2020-Estt. (Res.-II) dated 17.05.2022 as provided in Section 34 of the Rights of Persons with Disabilities Act, 2016.

Various OMs of DOPT, GoI are mentioned below in this regard: -

1. Reservation for persons with disabilities-*OM no. 36035/3/2004-Estt. (Res), dt. 29.12.2005 and OM. No. 36035/4/2013-Estt. (Res) dated 06.01.2015*

2. Computation of reservation-implementation of the judgement of Hon'ble Supreme Court of India in the matter of Union of India & Anr. Vs National Federation of Blind & Ors. -*OM no. 36012/24/2009-Estt. (Res), Dt. 03.12.2013*

3. Guidelines for providing certain facilities in respect of persons with disabilities who are already employed in Govt. service for efficient performance of their duties-

*OM no. 36035/3/2013- Estt. (Res), dt. 14.02.2014.*

4. Guidelines for reservation in promotion to Persons with Benchmark Disabilities (PwBDs) **OM no. 36012/1/2020/Estt. (Res.-II) dated 17.05.2022 and dated 28.12.2023.**

## **8.7 JOBS IN GROUP 'B' and 'C' SUITABLE FOR THE PHYSICALLY**

**HANDICAPPED CATEGORY OF HANDICAP OCCUPATIONAL GROUPS  
(AVAILABLE IN OUR DEPT.)**

List of various Grup B and C posts in IA & AD suitable for prescribed benchmark disabilities as per Persons with Disabilities act 2016

| Cadre   | Post                                | Disabilities benchmark                                                | Functional Classification   |
|---------|-------------------------------------|-----------------------------------------------------------------------|-----------------------------|
| Group B | Asstt. Audit/Accounts Officer (AAO) | Hearing Impairment<br>Locomotor Disability                            | HH<br>OH-OA, OL             |
|         | Jr. Translator                      | Blindness or Low vision<br>Hearing Impairment<br>Locomotor Disability | VH-LV<br>HH<br>OH-OA, OL,BL |
| Group C | Auditor                             | Hearing Impairment<br>Locomotor Disability                            | HH<br>OH-OA, OL             |
|         | Stenographer                        | Blindness or Low vision<br>Locomotor Disability                       | VH-B, LV<br>OH-OL, BL       |
|         | Data Entry Operator                 | Blindness or Low vision<br>Hearing Impairment<br>Locomotor Disability | VH-LV<br>HH<br>OH-OA, OL,BL |
|         | Clerk                               | Blindness or Low vision<br>Hearing Impairment<br>Locomotor Disability | VH-LV<br>HH<br>OH-OA, OL,BL |
|         | Multi -Tasking Staff                | Blindness or Low vision<br>Hearing Impairment<br>Locomotor Disability | VH-LV<br>HH<br>OH-OA, OL    |

|  |  |  |  |
|--|--|--|--|
|  |  |  |  |
|--|--|--|--|

OH (Orthopedically Handicapped)- (OA-One Arm Affected, OL-One Leg affected, BL-Both Legs affected, OAL- One Arm Leg affected)

HH (Hearing Handicapped)

VH (Visually Handicapped)

Suitable Posts identified for Persons with Disabilities in various Group B and C cadres in IA & AD for Persons with prescribed disability benchmark under Persons with Disabilities Act, 1995

**Authority; Minutes of meeting for identification of posts suitable for persons with disability in Group B and C cadre posts in IA &AD on 14.05.2018.**

## **8.8 EXTENSION OF TIME LIMIT FOR JOINING DUTY FOR NEW RECRUITS**

The requests of the candidates for an extension of time to join the post may be entertained only in the deserving cases where the circumstances seem to be beyond the control of the concerned candidates. Extension of time for joining in deserving cases may be given by the Head of Department initially for a period not exceeding 03 months from the date following the last date of joining as mentioned in the offer of appointment. Extension beyond this period will require the approval of the Headquarters office.

Only such cases, where the candidates fail to join within 03 months of extension given by HOD and seek further extension beyond three months on genuine grounds, will be referred to Hqrs office, mentioning the names, Roll Number and date of issue of offer of appointment in the respective cases along with HoD recommendation(s). Further, in terms of provisions under DoPT's OM No.9/23171-Estt. (D) dated 06.06.1978 (copy enclosed as Annexure,E') and 35015/2/93-Estt.(D) dated 09.08.1995 the validity of offer of appointment is 06 (six) months from the date of its issuance.

## **8.9 OATH OF ALLEGIANCE**

It is obligatory for every individual to take an oath of allegiance to the Republic of India, before entering Government service. The form in which oath should be taken before a gazetted officer, is appended below:

"I\_\_\_\_\_do swear that I will be faithful and bear true allegiance to India and to the Constitution of India, as by law established, and that I will loyally carry out the duties of my office. So, help me God".

(Conscientious objector to oath-taking may make a solemn affirmation to the same effect)

## **8.10 VERIFICATION OF CHARACTER AND ANTECEDENT OF GOVERNMENT SERVANT APPOINTMENT**

Confidential orders regarding verification of character and antecedents of the applicants should be consulted as per Hqrs office circular No. 1479-staff App.-II/67-2016 (Vol.V) dated 21.10.2016.

## **8.11 CERTIFICATE OF PROOF IN RESPECT OF SCHEDULED CASTE/ SCHEDULED TRIBES/ OBC**

As a result of introduction of reservation for other Backward Classes in Civil posts and services under Govt. of India vide G.O.I. Letter No.36012/22/93Estt. (SCT) dated 29.12.93, 27 percent of vacancies should be reserved for OBC w.e.f. 8.9.93 (No reservation in promotions). This is in addition to 15 percent of vacancies reserved for Scheduled Castes and 7½ percent for Scheduled Tribes being operative (GOI, Min. of Personnel, Public Grievances and Pensions, Department of Personnel & Training, O.M. No. 36012/2/96-Estt.(Res.) dated 2nd July 1997).

The claims of candidates for employment to be treated as scheduled castes or scheduled tribes/OBC will ordinarily be verified by the appointing authorities through the District Magistrate of the place where such persons and/or their families ordinarily reside.

The following authorities are empowered to issue Scheduled Caste/Scheduled Tribe/OBC certificates:

1. District Magistrate/Additional District Magistrate/ Collector/Deputy Commissioner/ Addl. Deputy Commissioner/ Deputy Collector/ 1st Class Stipendiary Magistrate/ City Magistrate/ Sub-Divisional Magistrate/ Taluka Magistrate/ Executive Magistrate/ Extra Assistant Commissioner
2. Chief Presidency Magistrate/Additional Presidency Magistrate/Presidency Magistrate
3. Chief Revenue Officers not below the rank of Tahsildar
4. Sub-divisional Officer of the area where the candidate and/or his family normally reside
5. Administrator/ Secretary to Administrator/ Development Officer (Lakshadweep Islands)

**(Authority: - BC-16014/1/82 SC 2 BCD-I dated 6-8-1984)**

**(Authority: - G.O.I. Letter No.36012/ 22/ 93-Estt (SCT) dated 15.11. 93)**

**Note: (1)** If a candidate belonging to the Scheduled Castes or Scheduled Tribe/OBC is unable to produce a certificate from the District Magistrate testifying that he belongs to these castes, he should be appointed provisionally on the basis of whatever prima facie evidence he is able to produce. Thereafter such a claim should be verified through the District Magistrate of the place where he ordinarily resides in the prescribed manner. If in any particular case the verification reveals that the candidate's claim is false, his services should be terminated.

**(G.I.M.O. Home Affairs O.M. No.42/34/52-NGE. dated the 17th of April, 1953, G.O.I. Letter No.36012/22/93-Estt (SCT) dated 15.11.93)**

## **8.12 PRODUCTION OF MEDICAL CERTIFICATE OF FITNESS AT THE TIME OF FIRST APPOINTMENT**

On the first joining of Government Service a Government servant should produce a certificate from the appropriate medical authority to ensure that only persons, as are physically as well as mentally sound in health, are admitted to Government Service, except in cases where the appointment is made especially for a period not exceeding three months in a non-pensionable establishment, when no medical certificate will be necessary unless it is decided later to extend the appointment beyond three months.

In view of the admissibility of family pension to the families of those Government servants who die before completion of one year of continuous service (provided the deceased Government servant immediately prior to his appointment to the service or post was examined by the appropriate medical

authority and declared fit by that authority for Government service). In no case should a person be allowed to join Government service in a pensionable establishment without having been medically examined and found fit.

(Authority: M.F., O.M. No.45(1)-EV/54 dated 24-3-1954, 5/6/54-7. P.S. dated 28.9.56 and D.F.& A.R., O.M. No.15015/1/79-Estt. (D) dated 26.6.1979)

### **8.13 APPROPRIATE MEDICAL AUTHORITY FOR CONDUCTING MEDICAL EXAMINATION**

The examining medical authority will be

- (i) For appointment of Gazetted Post - A Medical Board consisting of three Group 'A' Medical Officers of the status of specialists, namely, a Physician, Surgeon and Ophthalmologist. When a woman candidate is to be examined by a Medical Board, there should be on the Board a woman Doctor possessing a medical qualification in one of the first, second or Part-II of the Third Schedule, to the Medical Council Act, 1956 (102 of 1956). As far as possible, the member of the board should be comparable in status to each other and not ordinarily by officers immediately subordinate to one another.
- (ii) For appointment to a non-gazetted Post - In case of male candidates, A Civil Surgeon or a District Medical Officer or a Medical Officer of equivalent status. In case of Female candidate appointed to a post in Delhi, the Assistant Surgeon, Grade I (woman), under the CGHS and in any other place, a registered female medical practitioner possessing a medical qualification included in one of the schedules to the Indian Medical Council Act, 1956 (102 of 1956), Indian Medical Central Act, 1970 and Homoeopathy Central Council Act, 1973.

(Authority: M.F., O.M. No.5(1)-EV(B)/ 63 dated 30.3.1963)

### **8.14 POWER TO DISPENSE WITH A MEDICAL CERTIFICATE OF FITNESS**

The power to dispense with a medical certificate of fitness before appointment to Government service in individual cases has been delegated among the following authorities to the extent indicated below:

- Departments of GOI - Full powers
- Comptroller and Auditor - General of India - Full powers.
- All Heads of Department - full powers in the case of non-gazetted staff.

Note- In the case of gazetted post, concurrence of the Ministry of Finance (in consultation where necessary with the Ministries of Home Affairs and Health), is necessary.

Once a candidate is asked by an authority to produce a medical certificate of fitness and has actually been examined and declared unfit, it is not open to such authority to use its discretion to ignore the certificate that has been produced.

(Authority: Sl. No.4 of Appendix 3, F.R.& S.R. Part I, G.I., M.H.A., O.M. No.5/9/58-R.P.S. dated 10.10.1958 and O.M.No.F.20(1)-E.V(A)/64, dated 24.2.1964)

### **8.15 RE-EXAMINATION BY MEDICAL AUTHORITIES**

The candidates for appointment to non-gazetted posts, or Gazetted posts once declared physically unfit for Government service, should have no right of appeal against the finding of a Chief Medical Officer or an authorised Medical attendant, but that if Government are satisfied on the evidence placed before them by the candidates concerned of the possibility of an error of judgment in the decision of the Chief Medical Officer or the authorised medical attendant, it will be open to them to allow re-examination by another Chief Medical Officer or a Specialist or by a Medical Board as may be considered necessary. The fee for such an examination, if any, will be paid by the candidate concerned.

**(Authority: GIMH Memorandum No. F. 7(i)-27/51-M-11 dated 18th January 1952, copy received with Comptroller & Auditor General's endorsement no. 590-NGE. 11/K.W. 218-50 Vol. 11, dated 26th February 1952)**

#### **8.16 COMMUNICATIONS OF GROUNDS OF REJECTION TO PERSONS FOUND UNFIT BY INDIVIDUAL MEDICAL OFFICERS/MEDICAL BOARDS**

In cases where a government servant or a candidate for Government service is declared unfit for retention in Government service or for appointment in the Government service by an individual medical officer/medical board, as the case may be, the grounds for rejection may be communicated to him/her in broad terms without giving minute details regarding the defect pointed out by the Medical officer/Medical Board. Cases, where the grounds of rejection have not been clearly stated by the Medical Board in their report may be referred to Government of India for advice.

**(Authority: M.H.O.M. No. F-7(1)-27/51-M-II dated 18.1.1952; 53-M-II dated 1.5.1923 and F- 5-35/55 M.II dated 13.12.1953, 57-M-II(pt. II) dated 17.12.1957)**

#### **8.17 PROCEDURE FOR SENDING PERSONS FOR MEDICAL EXAMINATION**

Except in cases of urgency all candidates for appointment in the non- Gazetted Government service, government servant should be sent to the appropriate medical authority with a written request for medical examination, before appointment as per instructions of Hqrs. Office which comes along with dossier files of the selected candidates.

#### **8.18 PRECAUTIONS TO PREVENT THE POSSIBILITY OF EMPLOYMENT OF PERSONS PREVIOUSLY DECLARED AS MEDICALLY UNFIT**

In order to prevent the possibility of recurrence of cases wherein a medically unfit person gets himself declared as medically fit by another competent medical authority by suppressing the information regarding his being declared medically unfit earlier, a declaration in the form should be obtained by medical authorities from the candidates, at the time of medical examination conducted for the purpose of initial appointment and re-employment to Government service to enable the medical authorities concerned, to get the requisite declaration, the form should be furnished to the medical authorities along with the requests for medical examination.

#### **8.19 RECORD OF HEALTH CERTIFICATES IN THE SERVICE BOOKS**

The entry regarding production of certificates of fitness should be made in the service book of the employees concerned, before transmitting the certificates to Admin II. Section for attaching them with the first pay-bills of the persons. It should be ensured that the declarations and statements are carefully recorded in the personal files of the employees concerned.

**(Authority: M.H. O.M. No. A. 17011/6/79-MS(I) dated 25-6-1980)**

## **8.20 PROOF OF AGE IN RESPECT OF EMPLOYEES**

Only the Birth Certificate or matriculation Certificate is accepted as valid proof of age. Once the date of birth has been correctly entered in the Service Book on the basis of such proof, it should not be allowed to be attested by producing a different kind of proof e.g. affidavit. No alteration may be made in the date of birth of a member of staff recorded in the service book, except in the case of clerical error, without the sanction of the Head of office.

## **8.21 ALTERATION IN THE DATE OF BIRTH**

At the time of appointment every Government servant shall declare his date of birth which is required to be accepted by the appointing authority on production, as far as possible, of documentary evidence such as High School or Higher /secondary or Secondary School certificate or extract from Birth Register. The date of birth so declared by the Government servant and accepted by the appointing authority shall not be subject to any alteration except under the circumstances specified below.

An attestation of date of birth of a government servant can be made, with the sanction of the Comptroller & Auditor General, if

- (a) A request in this regard is made within five years of his entry in Government service.
- (b) It is clearly established that a genuine bonafide mistake has occurred; and
- (c) The date of birth so altered would not make him ineligible to appear in any school or University or Union Public Service Commission examination in which he had appeared or for entry into Government service on the date on which he first appeared at such examination or on the date which he entered Government Service.

## **8.22 RECORDING OF EDUCATIONAL QUALIFICATIONS IN THE SERVICE BOOK**

The educational qualifications of the Government servant should be recorded on Page 1 of the Service Book (revised form) in the space provided for the purpose. A note of educational qualifications attained by the Government servant, subsequent to his entry in service, may also be made, if so desired.

## **SECTION B**

## **PROMOTION**

### **8.23 GENERAL**

The office of the Director General of Audit (Infrastructure) New Delhi is the cadre controlling office in respect of Staff up to Supervisor Cadre of O/o the Director General of Audit (Energy) New Delhi and O/o the Director General of Audit (Railway Commercial) New Delhi.

The crucial date for determining eligibility of officials for promotion will be 1st January of the panel year as per Headquarters office Circular no. 08/2018 letter No.630-staff (Appt.)/195-2014 dated 3rd April 2018.

### **8.24 PROMOTION TO THE POST OF SUPERVISOR (AUDIT)**

The post of Supervisor is classified as follows: -

- (i) Supervisors shall be classified as Group “B” Non- Gazetted.
- (ii) The Appointing Authority/Disciplinary Authority of the Supervisors etc. shall be Principal Director /Director General.

As per para 5 of Hqrs Circular No. 09-staff Wing /2021 endorsed vide letter No. 84 staff (Appt.)/210-2020 dated 15.02.2021, for being considered to promotion as Supervisor requisite qualifying service will be 02 (two) years in the Assistant Supervisor cadre, as on crucial date of the panel year.

## **8.25 PROMOTION TO THE POST OF ASSISTANT SUPERVISOR (AUDIT)**

The post of Assistant Supervisor is classified as follows: -

- (i) Assistant Supervisors shall be classified as Group “B” Non- Gazetted.
- (ii) The Appointing Authority/Disciplinary Authority of the Assistant Supervisors etc. shall be Principal Director /Director General.

As per Hqrs Circular No. 36 -Staff (App-I)/2023 and No. 1479 staff (App-I)/20-2020 Dated 17.11.2023 for being considered to promotion as Assistant Supervisor requisite qualifying service as Senior Auditor in Level 6 i.e. (Rs. 35400-112400 ) of the pay matrix with 5 years regular service in the grade and having successfully completed training of two to four weeks in the field as prescribed by the Department.

## **8.26 PROMOTION OF AUDITORS TO THE CADRE OF SENIOR AUDITORS**

As per Recruitment Rules, the Auditors who have completed Six years regular service in the grade and have passed the departmental examination for Auditors will suit alone be eligible for promotion as Senior Auditors. The crucial date to determine the eligibility criteria would be 1st January of the year to which the panel pertains.

(Authority: CAG's Circular No. 35-staff (App-I)/2023 No. 1474 staff (App-I)/19-2020 Dated 17.11.2023)

## **8.27 PROMOTION OF AUDITORS AS SENIOR AUDITOR CASES OF MUTUAL TRANSFER**

It is clarified that the reckoning 6 years' service (requisite length of service) for promotion as Senior Auditors the service of unilateral/mutual transferees in the Auditor's grade will be counted from the date from which the transferee's seniority is fixed in the new office vis-a-vis staff already working in the new office in accordance with the terms of unilateral/mutual transfer.

(Authority: point (vii) of CAG's Circular No.16 Staff Wing/2013 No. 885 staff(App-II)/64-2012/ Vol-IV Dated 06.06.2013 and CAG's Circular No. 35-staff (App-I)/2023 No. 1474 staff(App-I)/19-2020 Dated 17.11.2023)

## **8.28 PROMOTION TO THE POST OF AUDITOR**

1. As per the relaxed recruitment rules this cadre is operated through three streams i.e. 50 % by Direct recruitment, 25% by promotion on seniority and 25% by Exam quota. It is stated that Group 'C' officials who will qualify Part I of SAS Examination and Graduate Group 'C' officials with combined regular service of 03 years who have passed Departmental Examination for Auditors would be promoted in Examination Quota in terms of para 10.3.5 of MSO (Administrative) Volume I ( Third Edition ).
2. As per Headquarters' office letter No. 99-staff (Appt III)/139-2022 dated 07.02.2022, the post of Auditor is now vacancy based. Therefore, the unfilled vacancies of the year should be posted with the new vacancies in the next year and the total vacancies so arrived at should be apportioned in accordance with the roster commencing on 1st January of the next year i.e. Roster Point no. 2,6,10,14, &18 for Exam Quota,1,5,9,13, &17 for Seniority quota & 3,4,7,8,11,12,15,16,19 & 20 for Direct Recruitment. Now the crucial date for determining eligibility of officials is 1st January as per Headquarters' office Circular No. 09/2018, Letter No. 631-staff (Appt.)/195-2014 dated 03.04.2018. Therefore, the vacancies are in accordance with the revised Recruitment Rules and 20- Point Roster.
3. Headquarters' office vides Circular No. NGE. 16/2002, No. 440-NGE (App)/56-002 dated 29.04.2002 has clarified that the reverted clerk who may pass the Departmental Examination for Auditors within additional chances permissible to them as reverted clerks, may be considered for re-promotion as Auditor against seniority quota vacancies by the next DPC to be held immediately after the declaration of the results of Departmental Examination for Auditors in which they are declared successful.

## **8.29 PROMOTION TO THE POST OF DATA ENTRY OPERATOR GRADE-D**

As per Recruitment Rules of DEO Grade 'D', 50% of the sanctioned posts are to be filled by promotion failing which by deputation (including short term contract) , 50% by Direct Recruitment.

As per Recruitment Rules of DEO Grade 'B' in level 5 in the pay matrix with six years' regular service in the grade and have successfully completed two weeks of training as prescribed by the department from time to time.

## **8.30 PROMOTION TO THE POST OF DATA ENTRY OPERATOR GRADE-B**

As per Recruitment Rules of DEO Grade 'B' – the DEO Grade-A in Level 4 in the Pay matrix with 5 years regular service in the grade and have successfully completed two weeks of training in relevant area as prescribed by the department from time to time is eligible for promotion as DEO Grade 'B'.

## **8.31 PROMOTION TO THE POST OF DATA ENTRY OPERATOR GRADE-A**

As per Recruitment Rules, the mode of recruitment in this cadre is by Direct Recruitment.

## **8.32 PROMOTION TO THE POST OF CLERK**

As per recruitment rules this cadre is operated through three streams i.e. Direct Recruitment (85%), Promotion on seniority (5%) and examination (10%). As per Headquarters' office letter No. 66-NGE (App)/18-2006/Pt.II dated 28.01.2009 the “ vacancies” that fall due on 1st January of each panel year will be apportioned between various methods of recruitment instead of “posts” as prescribed in column 11 of the Recruitment Rules. The vacancies have been distributed in the three streams as per 20 point

roster given in para 03 of Headquarters letter dated 28.01.2009 i.e. Roster point no.01 for Seniority quota and no. 02 & 12 for Exam Quota. Now the crucial date for determining eligibility of officials is 1st January as per Headquarters' office Circular No. 08/2018, Letter No. 630-Staff (Appt.)/195-2014 dated 03.04.2018.

### **8.33 ASSISTANT DIRECTOR (OFFICIAL LANGUAGE)**

Headquarters office vide letter No. 02-staff (App.-Iv)/01-2017 dated 09<sup>th</sup> October 2017, has approved creation of a centralized Rajbhasha cadre. The centralized cadre control of the officials working on Hindi Posts is with Headquarters. Further vide Hqrs. Circular No. 07/Staff Appointment-IV Letter No. 43/Staff Appointment-IV/16-2020 dated 06.02.2025 the post of Hindi Officer has been re-designated as Assistant Director (Official Language) in Level-10.

### **8.34 PROMOTION TO THE POST OF SENIOR PRIVATE SECRETARY**

As per Hqrs Circular No. 27 -Staff (App-I)/2019 and No. 985 staff (App-I)/16-2012 Dated 22.07.2019 for being considered to promotion as Sr. Private Secretary requisite qualifying service as Private Secretary in Level 7 (Rs. 4490-1424000 in the pay matrix with two years regular service in the grade, who have successfully completed two weeks mandatory training in the area from the institutes to be prescribed by the Department and where the post of Private Secretary does not exist, Stenographer Grade-I with six years regular service in Level 6 i.e. (Rs. 35400-112400) in the pay matrix who have successfully completed two weeks mandatory training in the area from the institute(s) specified by the Department.

### **8.35 PROMOTION TO THE POST OF PRIVATE SECRETARY**

As per Hqrs Circular No. 11 -Staff (App-I)/2017 and No. 228 staff (App-I)/12-2012 Dated 13.02.2017 for being considered to promotion as Private Secretary requisite qualifying service as Stenographer Grade-I in Level 6 i.e. (Rs. 35400-112400) of the pay matrix with 5 years regular service in the grade and have successfully completed two weeks mandatory training in the relevant area from the institute(s) specified by the Department.

### **8.36 JR. TRANSLATOR**

Headquarters office vide letter No. 02-staff (App.-Iv)/01-2017 dated 09<sup>th</sup> October 2017, Hqrs has approved creation of a centralized Rajbhasha cadre. The centralized cadre control of the officials working on Hindi Posts is with Headquarters.

### **8.37 PROMOTION TO THE POST OF STENOGRAPHER GRADE-I (PA)**

As per recruitment Rules Headquarters' letter No. 1220-Staff (App I)/01-2012 dated 05.09.2017, 50% of the sanctioned posts are to be filled by promotion from eligible Stenographer Grade-II cadre with ten years regular service in the Stenographer Grade-II, 50% by Direct Recruitment failing which by deputation (including short term contract).

### **8.38 PROMOTION TO THE POST OF STENOGRAPHER GRADE-II (STENOGRAPHER)**

As per Recruitment Rules received vide Headquarters' Circular No. 07 staff (App I)/2016 endorsed vide letter No. 113-Staff (App I)/37-2011 dated 25.01.2016, the mode of recruitment through Staff Selection Commission.

### **8.39 TIMELINE FOR CONDUCTING DEPARTMENTAL PROMOTION COMMITTEES ( DPC)**

| Sl. No. | Events                                                                                                                                                                                                              | Timeline                                                         |
|---------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| 1.      | Crucial date for determining eligibility                                                                                                                                                                            | 1 <sup>st</sup> January of the Vacancy Year                      |
| 2.      | Compilation of ACRs(APARs)/Vigilance Clearance/Seniority List/Penalty and Vacancy position etc. and forwarding DPC Proposal                                                                                         | January-April of the year preceding the vacancy year             |
| 3.      | Last date for sending complete proposal along with relevant Recruitment/ Service Rules to the DPC. (Efforts should be made to send the proposal to the UPSC as soon as possible without waiting for the last date ) | 30 <sup>th</sup> April of the year preceding the vacancy year    |
| 4.      | DPC to be held                                                                                                                                                                                                      | May – October of the year preceding the vacancy year             |
| 5.      | On receipt of DPC minutes, post-DPC follow-up action (including approval of the Competent authority) by the administrative Ministry/ Department                                                                     | November- December of the year preceding the vacancy year        |
| 6.      | Last date for getting ready the approved select panel by the administrative Ministry/ department                                                                                                                    | 31 <sup>st</sup> December of the year preceding the vacancy year |

### **8.40 RESERVATION FOR SC AND ST IN POSTS FILLED BY PROMOTION**

#### **PROMOTIONS THROUGH LIMITED DEPARTMENTAL COMPETITIVE EXAMINATIONS:**

There will be reservations at 15% and 7.5% of vacancies for SC and ST respectively in promotions made on the basis of competitive examination limited to departmental candidates, within or to Classes II, III and IV posts, in grades or services in which the element Direct recruitment, if any, does not exceed

75%.

### **PROMOTION BY SELECTION METHOD: CLASSES I AND II APPOINTMENTS:**

There will be reservations at 15% and 7.5% of vacancies for SC and ST respectively in promotions made by selection from Class III to Class II within Class II and from Class II to the lowest rung or Category in Class I, in grades or services in which the element of direct recruitment, if any, does not exceed 75%.

There will be reservations at 15% and 7.5% of vacancies for SC and ST respectively in promotions made by selection in or to Classes III and IV posts, in grades or services in which the element of direct recruitment, if any, does not exceed 75%.

### **PROMOTIONS ON THE BASIS OF SENIORITY SUBJECT TO FITNESS.**

There will be reservations at 15% and 7.5% of vacancies for SC and ST respectively made on the basis of seniority subject to fitness, in appointments to all Class I, Class II, Class III and Class IV posts in grades or services in which the element of direct recruitment, if any, does not exceed 75 %.

**Authority: M.H.A., O.M. No. 1/12/67-Estt.(C) dated 11.07.1968 as amended by M.H.A., Resolution No. 27/25/68-Estt.(SCT), dated 25.03.1970, O.M. No. 10/41/73 – Estt.(SCT), dated 20.07.1974, O.M. No. 36021/7/75-Estt., dated 25.02.1976 and O.M. No. 36012/17/88-Estt., (SCT), dated 25.04.1989**

### **8.41 PROCEDURE TO BE FOLLOWED BY DEPARTMENTAL PROMOTION COMMITTEES IN THE CASE OF OFFICERS UNDER SUSPENSION AND OFFICERS AGAINST WHOM ENQUIRIES ARE PENDING**

Suitability of officer(s) who are (a) under suspension or (b) against whom disciplinary proceedings are pending or (c) a decision has been taken by the Competent Disciplinary Authority to initiate disciplinary action against them or (d) against whom prosecution has been launched in a court of Law or sanction for prosecution, has been issued, is to be considered for promotion by the Departmental Promotion Committee at the appropriate time but the findings of the Committee are kept in a sealed cover to be opened after the conclusion of the disciplinary/court proceedings. While the findings are kept in the sealed cover, the vacancy which might have gone to the officer concerned is filled only on an officiating basis.

If, on the conclusion of the departmental/court proceedings the officer concerned is completely exonerated, and in case he/she has under suspension it is held that the suspension was wholly unjustified, the sealed cover is opened, and the recommendations of the Departmental Promotion Committee are acted upon. If the Officer could have been promoted earlier, he is promoted to the post earlier filled on an officiating basis, the arrangements made earlier being terminated.

On his promotion, the officer also gets the benefits of seniority and fixation of pay on a notional basis with reference to the date on which he would have been promoted in the normal course, but no arrears are allowed in respect of the period prior to the date of actual promotion.

**(Authority: G.I. M.J.A. DP & AR, O.M. No. 22011/1/79 Estt(A) dated 30.1.1982)**

**DOPT, GoI OM no. 22034/4/2012-Estt. (D) dt. 02/11/2012 on Comprehensive review of instruction pertaining to vigilance clearance for promotion should also be kept in mind before promotion.**

## **8.42 CONSOLIDATED INSTRUCTION ON SUSPENSION**

Consolidated instruction on suspension has been issued by DOPT, GOI OM no.11012/17/2013- Estt. (A), dt. 02.01.2014

### **8.43 POLICY TO BE FOLLOWED IN CASES WHERE PERSONS REFUSE PROMOTION TO A HIGHER GRADE**

In the event of refusal of promotion by an official, no fresh offer of promotion is to be made for a period of one year from the date of refusal of first promotion.

In this connection Department of Personnel and Administrative Reforms has extended further clarification that:

- (i) No limit has been laid down as to the number of times that a person can refuse promotion. In view of this, after the expiry of one year and subject to availability of vacancies another promotion has to be offered to the individual irrespective of the number of times he has refused such promotion.
- (ii) The one-year period can extend beyond one panel to another, if within the one-year period, a fresh panel is prepared.
- (iii) On the eventual promotion to the higher grade, such Government servant will lose seniority vis-à-vis his erstwhile 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 promotion against short-time vacancies is refused.
- (iv) In cases where the reasons adduced by the officer for his refusal of promotion are not acceptable to the appointing authority, then he should enforce the promotion of the officer and in case the officer still refuse to be promoted, then even disciplinary action can be taken against him for refusing to obey his orders.

**(Authority: C.& A.G's Office circular No.1183-NGEIII/80-76 dated 19.4.1980 and D.P. & A.R. O.M. No.22034/3/81-Estt. (D) dated 1.10.1981)**

## **SECTION- C**

### **8.44 DEPUTATION OF STAFF WITHIN IA & AD**

- (a) The officers can avail of deputation within IA&AD for a maximum period of 12 years during their career, with the duration of each deputation tenure limited to maximum of 05 years. It can be extended to a maximum of 7 years on (5+2 basis) in exceptional cases. There will be mandatory cooling off period of 03 years after a deputation. including deputation outside the department.
- (b) A request for deputation will be entertained by the Cadre Controlling Authority or the CAG Headquarters office only if it is received along with NOC/consent of the borrowing office.
- (c) Deputation beyond 05 years upto 07 years on (+2 years) basis will be considered by DG (Staff) for approval on case to case basis. A request for extension of deputation beyond 05 years will be entertained by the Competent Authority only if it is forwarded along with NOC of the borrowing office, with cogent reasons and at least three months prior to the expiry of the period of deputation.

- (d) Deputation is valid only for the period for which it is approved and any extension is neither automatic nor should be presumed merely on the ground that the Cadre Controlling Authority or the employee have made a request for extension. The employee concerned shall be entitled to draw salary in the borrowing office to which he/she has been deputed only for the approved period of deputation. The employee shall not be entitled to draw salary etc. after expiry of the period of deputation.
  - (e) An employee on such deputation shall relinquish charge and get himself/herself relieved on the last day of his/her deputation, if no orders extending his/her deputation by the concerned Cadre Controlling Authority are received. An employee who does not hand over charge at the end of the approved period of deputation will be immediately liable to disciplinary action and break-in-service for the period beyond the approved date. All orders of deputation will carry endorsement to this effect. Further, an endorsement will also be made to the Pay & Accounts office to stop payment of salary to the employee beyond the approved period of deputation.
  - (f) Ordinarily directly recruited officials shall be eligible to apply for deputation only after successful completion of probation period and after completing 5 (five) years of service.
  - (g) Deputation of officials within IA&AD shall be permitted if the vacancy is up to 25 percent of sanctioned post in the Cadre Controlling Office. The vacancy position for this purpose would be calculated on a half yearly basis, as on 01 January and 01 July of the year.
  - (h) While calculating vacancy for the cadre of Sr. AO, number of Sr. AO (ad-hoc) shall be counted along with PIP of regular Sr. AO against sanctioned strength of Sr. AO. Similarly, while calculating vacancy for the cadre of AAO, number of AAO (ad-hoc), AAO (RT) and SAS passed officials waiting for promotion to the post of AAO shall be counted along with PIP of regular AAO against sanctioned strength of AAO.
  - (i) Any deputation shall require the approval/ consent of both the borrowing and lending (cadre controlling) authorities. Therefore under normal circumstances cases of deputation shall not be sent to Hqrs (Staff Wing) for approval.
2. In order to maintain transparency and ensure fair selection of the eligible officials for deputation, every Head of the Departments of IA&AD may obtain the recommendation of the transfer posting committee of the office/station, before approving the deputation.
  3. The tenure of deputation once approved shall not be taken for granted and the deputationist is liable to be repatriated back if his/her performance and conduct is not up to the mark, to the satisfaction of the borrowing authority, or for other administrative reasons.
  4. The aforesaid revised guidelines shall however, not be applicable in respect of the following deputation cases:
    - i. J&K Migrant officials who are on deputation to different field offices as per the orders of the Hon'ble High Court of J&K.
    - ii. Physically handicapped officials.
    - iii. Deputation to RCB&KIS/NAAA/;CISA/ICED may be allowed for a period of 09 years at a time and for a total period of 15 years during service.

5. Presently, deputation of staff of a Field Office to the Welfare Wing of the same Field Office (Welfare Asstt, Assistant Welfare Officer etc) are sent to Hqrs for approval. Head of Departments may approve these cases at their end and not submit it to Hqrs.
6. Any deviation from the revised deputation policy shall be forwarded for approval of the Headquarters (Staff Wing) with due justification.
7. In case of administrative exigencies, the above guidelines may be relaxed by DAI (HR) as a Competent Authority.

**Authority : Hqrs. Circular No. 60- staff (App)-I/14-2023 Dated 27.01.2025**

#### **8.45 DEPUTATION OF NON- IA&AS OFFICERS OUTSIDE IA&AD**

- (i) Directly recruited officials shall be eligible to apply for deputation, only after completion of 5 (five) years of regular service since appointment. On promotion, officials shall be eligible to apply for deputation after completion of 2 (two) years regular service to the promotional post.
- (ii) Deputation of officials outside IA&AD shall be permitted if the vacancy is upto 15 percent of sanctioned post in the Cadre Controlling Office. The vacancy position for this purpose would be calculated on a half yearly basis, as on 1st January and 1st July of the year.
- (iii) While calculating vacancy for the cadre of Sr. AO, number of Sr. AO (adhoc) shall be counted alongwith PIP of regular Sr. AO against sanctioned strength of Sr. AO. Similarly, while calculating vacancy for the cadre of AAO, number of AAO (adhoc), AAO (RT) and SAS passed officials waiting for promotion to the post of AAO shall be counted alongwith PIP of regular AAO against sanctioned strength of AAO.
- (iv) Officials may apply for deputation 4 times in a calendar year. In case of officials, whose applications have already been forwarded for deputation outside IA&AD, and who subsequently apply for another deputation, while forwarding the application, the borrowing organization would be kept informed that the official has already applied for deputation in other organization also and his/her selection is pending.
- (v) On fulfilling of criterion mentioned in-aforesaid para (i) and (ii), the Cadre Controlling Authority may forward the application working under their control for posts in other Central/State Government Departments, Public Sector Undertakings and Autonomous Organisations own or controlled by Government against open advertisement. However, prior approval of Hqrs. office is required before relieving the Gazetted officers.
- (vi) Deputation/Foreign Service outside IA&AD shall be restricted to a period of 5 years and another 2 years will be considered on case to case basis. There shall be a mandatory cooling off period of 3 years after completion of each period of deputation outside IA&AD as per the extant 'guidelines issued by the Department of Personnel & Training (DoPT).
- (vii) Cadre clearance/vigilance clearance would be granted by the Cadre Controller. No objection certificate for extension in the tenure of deputation upto 4th year would be granted by the Cadre Controller.
- (viii) No objection certificate for extension in the tenure of deputation beyond 4th year would be granted by DAI (HR) in the Headquarters office if the vacancy is upto 15 percent of sanctioned post in the Cadre Controlling Office.
- (ix) Other terms and conditions of deputation will be governed by DoPT instructions, as applicable to

the Indian Audit & Accounts Department.

- (x) In case of administrative exigencies, the above guidelines may be relaxed by the DAI (HR) as the Competent Authority.

**Authority : Hqrs. Circular No. 1050- staff (App)-I/05-2022 Dated 28.06.2022**

## **SECTION D**

### **TRANSFERS**

#### **8.46 CONDITIONS OF TRANSFER ON DEPUTATION TO OTHER DEPARTMENT OR GOVERNMENT**

When any member of this department is deputed for service in another Department or Government, a specific condition on the following lines should be incorporated in the order of deputation.

"When the necessity for this service are over, the deputed should be returned to this office. This office should also be consulted before forwarding any application from him for appointment elsewhere or for releasing him for duty elsewhere or for any other promotion in the same office or alterations in the terms of his Present deputation.

#### **8.47 TECHNICAL RESIGNATION AND LIEN**

DOPT, GoI, has issued consolidated instruction on technical resignation and lien vide DOPT OM no. 1669266628362/Estt. (Estt.C) dated 24.11.2022 which should be followed in case of technical resignation etc.

## **SECTION - E**

#### **8.48 REVERSION OR DISCHARGE ON FAILURE TO PASS THE DEPARTMENTAL EXAMINATION**

A Directly recruited auditor who becomes due for discharge from service as a result of his failure to pass the Departmental Examination within the prescribed no. of chances i.e. Six.

#### **8.49 PROMOTED CLERKS REQUIRED TO PASS THE DEPARTMENTAL EXAMINATION**

Clerk in the audit cadre, who are promoted as auditors in the normal course, on the basis of seniority-cum fitness against 25% quota, will also have to pass the Departmental Examination within six chances in six consecutive examinations held after they became eligible in accordance with the provisions of para 9.4.2 of CAG's MSO (Admn.) Volume-I 3rd edition. Failure to do so will entail reversion to the clerk's cadre. As reverted clerks, they will have 3 more chances to clear this examination which will have to be availed of within two years of their reversion for being eligible for re-promotion.

#### **8.50 CONDONATION OF DEFICIENCY IN SERVICE**

Auditors who do not complete one year's service on the crucial dates on 1<sup>st</sup> February and 1<sup>st</sup> August may also apply, if they desire, through their respective Senior Audit Officers who may recommend in deserving cases/individual cases for special permission be competent authority of the deficiency is for

a period not exceeding two months. Deficiencies of more than two months will not be condoned.

The above rules also apply to auditors promoted from the cadre of clerks/typist. But if an examination is held within 90 days from the date of their promotion, the candidates may or may not take it. They may instead take six consecutive examinations held immediately thereafter and the period of probation shall be allowed to extend to allow this being done.

## **SECTION F**

### **SENIORITY**

#### **8.51 SENIORITY OF AUDITORS/CLERKS ON APPOINTMENT**

Seniority of persons who are directly recruited should be determined on the basis of ranking issued to them by the recruiting agency viz. SSC.

#### **8.52 SENIORITY OF SR. AO (COMMERCIAL) and AAO (COMMERCIAL):**

Since the cadre controlling authority of Sr. AO (Commercial) and AAO (Commercial) is Hqrs. Office, seniority will be as per the gradation list prepared by it.

#### **8.53 SENIORITY OF SR. AO (CIVIL) and AAO (CIVIL):**

Since the cadre controlling authority of Sr. AO (Civil) and AAO (Civil) is DGA (Industry and Corporate Affairs ) New Delhi, seniority will be as per gradation list prepared by it.

\*\*\*\*\*

## **CHAPTER IX**

### **LEAVE**

**9.1 GENERAL:** - In the matter of entitlement for leave, the officers and the staff are governed by the provisions contained in C.C.S. (leave) Rules, 1972 as amended by the C.C.S. (leave) (Fifth Amendment) Rules, 2011. In the first schedule to the Central Civil Services (Leave) Rules, 1972 against Sl. No. (1) in column 2 after the words “Seamen’s Sick Leave”, the words “Paternity Leave, Child Adoption Leave, Paternity Leave for Child Adoption and Child Care Leave” shall be inserted.

**(Authority: - GOI, Min. of Personnel, Public Grievances and Pensions, Deptt. of Personnel and Training Notification dated 27.12.2011 vide CAG’s letter No. 5-Staff / Entitlement (Rules) / 16-2011 dated 11.1.2012)**

The following rules regulate the conditions under which regular leave may be granted to and availed of by the office establishment: -

- (A) While sanctioning leave, the authorities are expected to exercise their discretion with due regard both to the requirements of the office and to the reasonable interest of the officers/ officials.
- (B) Any Government servant who absents himself from duty without the definite approval of the higher authority does so at his own risk. He cannot assume that leave will be sanctioned as a matter of course.
- (C) Absence from duty in anticipation of formal permission or of formal grant of leave may be necessitated by serious illness or accident which renders it impracticable for the employee to attend duty. In such cases, the authority, which has power to sanction the leave, will grant such leave as admissible on production of proper evidence of its necessity.
- (D) Leave cannot be claimed as a matter of right, when the exigencies of public service so require, leave of any kind may be refused or revoked if already sanctioned by the authority competent to grant it, but it shall not be open to that authority to change the nature of leave due and applied for except at the written request of the Government servant.
- (E) No member of the staff should avail himself of leave (other than on medical certificate) before it is sanctioned.
- (F) Except in the case of sudden and serious illness, leave applications should be submitted sufficiently in advance before the date on which the Government Servant intends to proceed on leave.
- (G) Leave is not to be applied for in piece meal. Application for extension of the leave should reach well in advance of the date of expiry of leave originally applied for so that timely action may be taken for obtaining orders of sanction, etc.
- (H) In case of leave on medical grounds, a medical certificate should accompany the leave applications.
- (I) Senior Audit officers while recommending leave should state whether work in the section can be carried on without any substitute.

- (J) Members of the staff who were sanctioned leave by the Branch officer without any substitutes being posted in their places, should report themselves to the concerned sections. Others for whom substitutes are posted should report themselves to the establishment section/controlling sections.
- (K) Establishment section should be consulted before admitting the staff to duty in all cases where the Government servant returning to duty is neither permanent nor quasi permanent and the period of absence exceeds three months irrespective of the fact whether sanction to leave was obtained or not. The joining report of the individual should also contain full particulars of (i) the date of commencement of absence, (ii) Whether leave was sanctioned and (iii) whether any application for extension of leave of absence was made and the date of such application.

## **9.2 CASUAL LEAVE**

- (i) 8 days' Casual leave is admissible to an official / Officer in a calendar year. Casual Leave may be granted as and when occasion arises at the discretion of the casual leave sanctioning authority. Casual leave cannot be claimed as a matter of right and its grant is subject to the exigencies of public service. Casual leave should be very sparingly sanctioned and should not ordinarily exceed 5 days at a time but in special circumstances it may be granted subject to the provisions detailed below under clause (v).
- (ii) All applications for casual leave, except in case where the necessity for leave cannot possibly be foreseen, should be submitted so as to reach the concerned Assistant Audit Officer / Supervisor or the Branch Officer at least two clear days before the leave is required.
- (iii) It is not carried forward to the next following year.
- (iv) In regard to the persons who join Government service in the middle of a calendar year, the authority competent to grant such leave will have the discretion to grant either the full period of 8 days or only a proportion thereof after taking into account all the circumstances of the case.
- (v) The power to sanction casual leave to different categories of staff vests as below:

|   |                                                                                                                         |                                      |                                                                                                   |
|---|-------------------------------------------------------------------------------------------------------------------------|--------------------------------------|---------------------------------------------------------------------------------------------------|
| 1 | <b>Casual Leave (C.L.) to Assistant Supervisors/ Sr. Auditors/ Auditors/ Clerks and other Group 'C' and 'MTS' Staff</b> | Upto 5 days at a time                | By the Senior Audit Office incharge concerned                                                     |
|   |                                                                                                                         | In excess of 5 days at a time        | By the Group Officer concerned or<br>Principal Director/ Director General, If under direct charge |
| 2 | <b>C.L. to Assistant Audit Officers / Supervisors</b>                                                                   | Upto 5 days at a time                | By the Senior Audit Officer concerned                                                             |
|   |                                                                                                                         | In excess of 5 days at a time        | By the Group Officer concerned or<br>Principal Director/ Director General, if under direct charge |
| 3 | <b>Casual Leave to Senior Audit Officers</b>                                                                            | One or more number of days at a time | By the Group Officer concerned or<br>Principal Director/ Director General, if under direct charge |

**[Authority: C&AG's letter No. F-4. O.S.D.(P)/73 dated 06.03.1973 modified vide G.O.I., Ministry of Personnel; P.G. & Pension (Deptt. of Personnel & Trg.) O.M. No. 28016/3/98-Estt(A) dated 15.06.1998 circulated via C&AG's Circular No. NGE/51/1998 dated 01st September 1998]**

**Note:** Public holidays, weekly off days, restricted holidays, falling before or after or within a period of casual leave will not be treated as part of the spell of casual leave.

**[Authority: CAG's letter No. 1927-NGE-I/20-60 dated 20.09.1960; No. 2450-NGE-II/20-60 Pt. IV dated 02.12.1960 and Circular No. NGE/51/1998 date 01<sup>st</sup> September, 19**

### **9.3 GRANT OF HALF A DAY'S CASUAL LEAVE**

Half a day's casual leave may also be granted to members of the office. A person who takes half a day's casual leave for the forenoon session will be required to attend the office at 1.30 p.m. A person who takes half a day's Casual leave for the afternoon session will be allowed to

leave office at 1.00 p.m.

As an exception to the general rule an official may be permitted to combine half a day's casual leave with regular leave and holidays, if any, prefixed thereto if his absence on the next working day was due to sickness or other compelling grounds. Those who have already got their regular leave sanctioned in advance should not be allowed to combine half day's casual leave with the regular leave.

[Authority: MHA OM No. 60/17/64-Estt.(A) dated 04.08.1965 and MHA OM No. 60/45/65-Estt.(A) dated 04.02.1966 ]

#### **9.4 PERMISSION TO LEAVE HEADQUARTERS**

The authorities competent to sanction casual leave may also permit the staff to leave headquarters during casual leave and/or holidays. Address during such absence from headquarters should invariably be left with the office.

(Authority: CAG's letter No. 1950-NGE-1280-59 dated 15.09-1959)

#### **9.5 COMPENSATORY LEAVE**

Compulsory attendance on Sunday, Saturday or other public holidays may be compensated to a government servant by the way of sanctioning of Compensatory leave for the number of days he is compelled to attend, unless the attendance is imposed on him as a penalty. The concession may only be allowed in exceptional circumstance where owing to pressure of work the attendance of an individual of an is required under the specific orders in writing of the Gazetted Officer for attending office on Sunday, Saturday or another public holiday. The grant of compensatory leave is subject to the following conditions

- (i) that attendance is not imposed on him as a penalty
- (ii) That he is not required to attend office to clear arrears for which he is personally responsible
- (iii) That no conveyance charge is paid to him

The accumulation of compensatory leave will not be subject to any limit, but as a rule, such leave should be granted within one month of its becoming due. This condition may be relaxed in exceptional circumstances when the grant of compensatory leave to all the staff within a month would cause serious dislocation of current work provided that not more than two days compensatory leave is allowed at a time.

Compensatory leave as well as granted is noted in the casual leave register. The compensatory leave should not be prefixed or suffixed to earned leave however, its combination with casual leave is permissible Sunday or other closed holidays may be allowed to be combined with discrimination, but normal rule should not be combined it with such leave or holidays.

Cash Compensation in the form of overtime allowance for duty on such days may be granted only in very exceptional circumstances, where the head of the department is satisfied and certifies that it is not possible to grant compensatory leave.

Sanction of Principal Director/ Director General should be obtained for compensatory leave and/or cash compensation. Compensatory leave thus sanctioned can be availed of within one month of its becoming due.

(Authority: G.O.I. Ministry of Finance (O.E)/O.M.No.15011/R/EII/B/76 dated 11.8.1976.)

## **9.6 SPECIAL CASUAL LEAVE**

Special casual leave may be allowed to a government servant for a period not exceeding 30 days in anyone calendar year. The period of absence in excess of 30 days should be treated as regular leave of the kind admissible under the leave rules applicable to the persons concerned. For this purpose Government Servant may, as a special case, be permitted to combine special casual leave with regular leave. Special casual leave should not, however, be granted in combination with ordinary casual leave.

Special casual leave may be allowed to government servants in the following cases: -

### **9.6.1 FOR PARTICIPATION IN SPORTS AND CULTURAL ACTIVITIES OF NATIONAL OR INTERNATIONAL IMPORTANCE**

- i) In respect of international sporting events. by any National Sports Federation/Association recognized by All India Counsel of Sports and approved by the Ministry of Education, or
- ii) In respect of events of national importance, when the sporting event in which participation takes place, is held on an inter zonal or inter-circle basis and the Government servant concerned takes part in the event in a team as a duly nominated representative on behalf of the State, Zone, or Circle as the case may be. This concession is not to be allowed for participating either in a National or International Sporting event in which such participation of the Government servant concerned takes place in his personal capacity and not in a representative capacity.
- iii) Special casual leave under these orders may be granted to Government employees who are selected or sponsored by the organizations mentioned in (i) above for giving running commentaries over the All India Radio and Door-Darshan in National/International meet. The power of granting special casual leave under these orders will be exercised by Heads of Departments.

(Authority: GOI, Ministry of Home Affairs, OM No. 46/7/50-Ests dated 05.04.1954 and No. 28016/2/79-Esttt (A) dated 28.11.1979)

- iv) Special casual leave may be granted to those Government servants who participate in cultural activities, like dance, drama, music, poetic symposium etc. of an All India, or Inter-State character organised by the Central Secretariat Sports Control Board or on "its behalf subject to the overall limit of 30 days. Special casual leave will not be admissible for practice or for participation in cultural activities organised locally.

(G.I., Ministry of Home Affairs. O.M.No.27/3/68-Ests(b) dated 28.6.1969)

### **9.6.2 FOR MOUNTAINEERING / TREKKING EXPEDITIONS**

Government Servant participating in mountaineering expeditions may be granted special casual leave not exceeding 30 days in anyone calendar year, if it has the approval of Indian Mountaineering Foundation.

(Authority: G.I.M.H.A, O.M.No.27/4/68-Ests (B) dated 6.11.1969)

### **9.6.3 FOR FAMILY PLANNING PURPOSES**

**Male** Government employees who undergo vasectomy operation under the Family Welfare Programme for the first time may be granted special casual leave not exceeding six working days. Sundays and closed holidays intervening should be ignored while calculating the period of special casual leave. If any employee undergoes vasectomy operation for the second time on account of the failure of the first operation, special casual leave not exceeding six days may be granted again on production of a certificate from the medical authority concerned to the effect that the second operation was performed due to the failure of the first operation.

**Female** Central Government employees, who undergo tubectomy operations, whether puerperal or non-puerperal, may be granted special casual leave not exceeding 14 days. If the female Government employee undergoes tubectomy operation for the second time on account of the failure of the first operation, special casual leave not exceeding 14 days may be granted again on production of a medical certificate from the prescribed medical authority concerned.

**Female** Central Government employees who have insertions of Intra-Uterine-Contraceptive Devices may be granted special casual leave on the day of the I.U.C.D. insertion.

**Female** Central Government employees who have reinsertion of Intra-Uterine Device (I.U.D) may be granted special casual leave on the date of the I.U.D. reinsertion.

**Female** Central Government employees who undergo salpingectomy operation after Medical Termination of Pregnancy (M.T.P.) may be granted special casual leave not exceeding 14 days. However, if she undergoes operation along with MTP and avail facility of leave for 6 weeks under Rule 43 will not be entitled to additional 14 days of special casual leave.

### **9.6.4 TO MALE EMPLOYEES WHOSE WIVES UNDERGO TUBECTOMY OPERATION**

- (i). Male Central Government employees whose wives undergo either puerperal or non-puerperal tubectomy operation for the first time or for the second time due to failures of the first operation (under family welfare programme) may be granted special casual leave for 7 days subject to the production of a Medical Certificate stating that their wives has undergone tubectomy operation for the second time due to failure of the first operation.
- (ii). Male Central Government employees whose wives undergo tubectomy/salpingectomy operation after Medical Termination of Pregnancy (MRT) may be granted special casual leave upto 7 days subject to the production of medical certificate to this effect.

The grant of special casual leave to a male Government servant whose wife undergoes Tubectomy operation is intended to enable him to look after his family after the operation. In the circumstances, the special casual leave will have to follow the date of operation and there cannot be any gap between the date of operation and the date of commencement of special casual leave.

(Authority: G.I. Dept. of personnel & A.R. No. 3518/82Estt (A) dated 13.10.1982).

### **9.6.5 IN CASES OF POST STERILISATION OPERATION COMPLICATIONS**

A Government employee who requires special casual leave beyond the limits laid down for undergoing sterilization operation owing to the development of post-operation complications may be allowed special casual leave to cover the period of which he or she is hospitalized on account of post operational complications, subject to the production of a certificate from the concerned hospital authorities/an authorised medical attendant. In addition, the benefit of the additional special casual leave may also be extended to the extent of seven days in case of vasectomy operation and 14 days in case of tubectomy operation.

Grant of special casual leave to male and female Central Government employees may also be applied to cases where the sterilization operation is performed by laproscopic method.

#### **9.6.6 IN CASES OF UNDERGOING RECANALISATION OPERATION**

Central Government employees who undergo operation for recanalization may be granted special casual leave up to a period of 21 days or actual period of hospitalization as certified by the authorised medical attendant, whichever is less. In addition, special causal leave can also be granted for the actual period of the to and fro journey performed for undergoing this operation. The grant of special casual leave for recanalisation operation is subject to the following condition:

- (i) The operation should have been performed in hospital/medical college/institute where facilities for recanalisation are available. If the operation is performed in a private hospital, it should be one nominated by the State Government/Union territory Administration for performing recanalisation operations.
- (ii) The request for grant of special casual leave is supported by a medical certificate from the doctor who performed the operation to the effect that hospitalization of the Government Servant for the period stipulated therein was essential for the operation an post-operation recovery.
- (iii) The concession indicated above is admissible to Central government employees who are married, have less than two children or desire recanalisation for substantial reasons, e.g. a person has lost all the male children or all female children after vasectomy/tubectomy operation performed earlier.

#### **9.6.7 FOR EX-SERVICEMEN**

Special casual leave for a maximum period of 15 days in a calendar year, including transit time both ways may be granted on the basis of the medical discharge certificate.

To ex-servicemen boarded out of service and reemployed as civilians for appearing before the Medical Resurvey Board for re-assessment of their disability pension, and

To disabled ex- servicemen who have been provided with artificial limbs as a result of injuries sustained in operation and re-employed in civil capacity when they report to artificial limb centre and stay in hospital in connection with the replacement of their limbs or treatment.

(Authority: G.O.I, Cabn. Sectt. Deptt. of pern. A.R.O.M.No. 28016/12/75-ESTT (b) DATED 4.5.1976)

#### **9.6.8 FOR UNION/ASSOCIATION ACTIVITIES**

The Head of Department/office, under which a member of the Joint Council is serving, may sanction special casual leave of no more than 5 days in a year to enable a member of the staff-side to attend staff-

side consultations. No traveling/daily allowance will be payable for journeys performed for such consultations.

Similarly, one secretary from the staff side designated as such by the leader, may be allowed additional special casual leave of not more than ten days in a year for preparing staff side cases.

**(Authority: G.I., M.H.A. O.M. No./8/1/64-JCA, dated 18.10.1966 and C&AG's circular No. NGE/32/1988 No. 239, N-4/54-87 dated 29.4.1988)**

### **9.6.9 FOR UNION OFFICE BEARERS**

The following facilities may be provided to recognised Unions/Associations of the Central Government Employees to carry on their activities:

- (a) Office-bearers may be allowed special casual leave for participation in the activities of the Association subject to some conditions vide sub paragraph (d) below upto a maximum of 20 days in a calendar year.
- (b) Special Casual leave upto 10 days in a calendar year will be admissible to outstation delegates/members of executive committee of recognised All India Association/Federation to attend its meetings.
- (c) Special casual leave of upto 5 days in a calendar year would be admissible to local delegates and local members of executive committee of all recognised Associations/Unions/Federations.

It is, however, clarified that those who could be availing of casual leave in their capacity as office bearers under (a) above will not be entitled to avail casual leave separately in their capacity as delegates/committee members under (b) and (c) above.

The special casual leave granted for the purposes of work connected with J.C.M. as mentioned in paragraph is in addition to the special casual leave mentioned above for participation in the activities of the Unions/Associations.

**(Authority: G.I. M.H.A. 27/3/69-Estt (B) dated 8.4.1969 and C&AG's No. 239-N-4/54-87 vide circular No. NGE/32/1988 dated 29.4.1988).**

### **9.6.10 IN CASES OF INTERVIEWS ETC. FOR INDIAN NAVAL RESERVE/ INDIAN NAVAL VOLUNTEER RESERVE**

The period of absence from duty of civilian Government servant occasioned by their interview /medical examination etc. in connection with the joining the Indian Naval reserve and the Indian Naval Volunteer Reserve should be treated as special casual leave. This concession would, however, be admissible in those case where it may not be possible for the Government Servants concerned to attend to their civilian duties after the interview/medical examination etc. If a government servant withdraws his candidature at the interview, he/she would not be entitled to any special casual leave.

**(Authority: G.O. I., M.H.A., O.M. 47/28/63-Estt. (A) dated 20.6 .1963)**

#### **9.6.11 FOR TRAINING IN TERRITORIAL ARMY ETC.**

When Civil Government Servants are called for training in the Territorial Army/Defence Reserve/Auxiliary Air Force, the period spent by them in transit from the date of their relief from civil posts to the date on which they report to military authorities and vice-versa should be treated as special casual leave. During such periods, which should be restricted to the minimum required for the purpose, they would be paid pay and allowances at civil rates by their parent department/office.

(Authority: G.I. O.M. No. M.H.A. 36/15/64-Estt(B) dated 15.6.1965)

#### **9.6.12 FOR ATTENDING COMPETITIVE EXAMINATION**

The special casual leave may be granted to Central Government servants who are eligible to appear at departmental promotion examination which are neither obligatory nor entail a condition of preferment in Government Service (e.g. limited competitive examination for Section officer's grade of the Central Secretariat Service, Departmental examination for recruitment to grade IV of the General cadre of I.F.S. (B), etc.) special casual leave will not, however, be admissible to departmental candidates for appearing at the open competitive examination held by the U.P.S.C. e.g. combined services Examination, Stenographers' examination, L.D.C.s examination etc. for direct recruitment. Special casual leave for the departmental promotion examination will however, cover the actual duration of the examination concerned plus the minimum period required for the journey to and from the examination centre nearest to the headquarters station where such examination is held outside the headquarters.

Government servants can combine special casual leave with ordinary casual leave (but not with regular leave) for the purpose.

(Authority: G.I. MEA, O.M. No. 46-26/63 Eatts (A) dated 2.12.1963)

#### **9.6.13 FOR APPEARING IN THE PROFICIENCY TEST CONDUCTED BY SUBORDINATE SERVICE COMMISSION FOR GRANT OF ADVANCE INCREMENTS TO STENOGRAPHERS (ORDY.) GRADE)**

The period of absence of the candidates from duty who appear for the proficiency test conducted by the subordinate service Commission for grant of advance increment to Stenographers (ordinary Grade) in the subordinate offices of the Government of India may be treated as special casual leave under Ministry of Home Affairs O.M. No. 46-26/63-Estts {A} dated 2.12.1963.

Government servants can combine special casual leave with ordinary casual leave (but not with regular leave) for the purpose.

(Authority: G.I. Deptt. of pern O.M. No. A.R & F/28016/5/80-Estt (A) dated 23.12.1980)

#### **9.6.14 FOR WORK CONNECTED WITH COOPERATIVE SOCIETIES**

Members and office-bearers of Cooperative Societies (Formed exclusively with Central Government Employees) who are posted outside the headquarters of the societies may be granted special casual leave upto a maximum period of 10 days in a calendar year plus the minimum period required for the journeys to attend such meetings.

Members of the cooperative societies whose bye laws provide for attending annual general

meetings/special general meetings through delegates will not be eligible for special casual leave and in such cases only the elected delegate will be eligible for this special casual leave. However, if the members are required to participate in any meeting outside the headquarters of the society for the purpose of electing their delegates, they may be granted special casual leave.

Special casual leave under these orders will be allowed to be combined with ordinary casual leave only but not with regular leave. Weekdays off/holidays intervening the period of special casual leave will not be ignored but will form part of special casual leave.

**(Authority: G.I., MHA, O.M.No.46/22/63-Ests(A) dated 14.1.1964)**

The benefit of special leave as admissible above may be extended also to those Government employees who are members, office-bearers etc. of such cooperative societies and who are posted at the same place as the Headquarters of the cooperative societies subject to the conditions stated below:

- (i) Special Casual leave should be granted only to cover the actual period of unavoidable absence and subject to exigencies of work. If the absence will be in the forenoon or in the afternoon as the case may be, then special casual leave may be granted for half-a-day only, to cover the actual period of absence.
- (ii) The Government servants concerned should furnish a Certificate from the Cooperative Society concerned to the effect that he has actually attended the meeting indicating the time and duration of meeting.

**(Authority: G.I. M.H.A., O.M. 28016/1/84-Ests(A) dated 19.6.1984)**

#### **9.6.15 FOR CASTING VOTE IN GENERAL ELECTION**

In order to provide facilities to Central Government employees who reside at a place where the date of polling is different from that at the place where their office is situated, one days special casual leave will be allowed on the day of polling at their place of residence, provided that, that day is not a public holiday or closed holiday.

**(Authority: G.O.I. M.H.A., O.M. No. 21/1/71-JCA dated 1.2.1972)**

#### **9.6.16 SPECIAL CASUAL LEAVE IN CASES OF NATURAL CALAMITIES, BUNDH ETC**

In accordance with the Department of Personnel and ARIs O.M. No. 27/6/71 Est.(B) dated 1.11.1971, all the Heads of Departments have been authorised to grant special casual leave with the concurrence of the Ministry/ concerned administrative Department to Central Government employees who stay at places far from their Headquarters, as a result of which they have to commute a long distance to their office and due to dislocation of traffic arising out of natural calamities, bundh etc. for which they are not able to undertake the journey and report to the Headquarters for duty.

All such cases where special casual leave has been granted should be reported to C.&A.G./Department/ministry, as the case may be.

**(Authority: G.I. Dept. of Pers. O.M. No. A.R. & 28016/1/79-Ests(A) dated 28.5.1979)**

### **9.6.17 FOR PARTICIPATING IN ACTIVITIES OF HINDI PARISHAD**

Government Servants may be granted special casual leave to the extent indicated below for work connected with the various meetings etc. of the Kendriya Sachivalaya Hindi Parishad.

- (a) In connection with the general body meetings and prize distribution functions of the Parishad, an office bearer of the Parishad may be granted special casual leave upto a limit of 5 days in a year including the time taken on journey subject to the condition that the special casual leave will be confined to the days on which the meetings/ceremonies are held and the time actually taken on journeys.
- (b) For participating in the meetings of the Central Committee at Delhi, an office bearer traveling from an outstation may be granted special casual leave upto a limit of 5 days depending on the distance of his place of duty from Delhi.

Office bearers working in the Central Secretariat at Delhi and going to different places for attending to the activities of the Parishad other than those mentioned in (a) & (b) above, may be granted special casual leave upto a limit of 20 days in a year for the outward and return journeys subject to the condition that (i) the special casual leave will be restricted to the time actually spent on journey and (ii) for reckoning the 20 days limit special leave taken in terms of (a) and (b) above will be taken into account.

The total limit of special casual leave that can be granted to an individual during anyone year for any or for all the purposes mentioned in (a), (b) an (c) above taken together, is not to exceed 20 days.

**(Authority: C.S. Deptt. of Personnel & A.R. O.. M. No.. 28016/2/76-Ests(B) dated 29.6.1976)**

### **9.6.18 MISCELLANEOUS PURPOSES**

Special Casual Leave may also be granted for following purposes:-

1. Training and duty as members of officially sponsored auxiliary Police Organization, such as Home Guards, National Volunteer Corps etc.
2. Training as member of St. John Ambulance Brigade (to the extent not covered by ordinary casual leave due)
3. Period spent in camp by Government Servants to join the Urban Units of Territorial Army, not exceeding 14 days which can be combined with regular leave, where necessary.
4. Training with P&T units of Territorial Army.
5. Attending coaching or training camps under the Raj Kumari Amrit Kaur coaching scheme or similar All India coaching or training schemes provided the Government servants are selected or sponsored by a National sports Federation/ Association recognised by All India Council of Sports and approved by the ministry of Education.
6. Attending coaching and training camps at the national Institute of Sports Patiala.
7. Attending coaching Camps in sports organized by National Sports organized by National Sports Federation/Sports Boards recognized by All India Council of Sports.

8. Participating in trekking expeditions.
9. Participants in Republic Day Parades and rehearsals connected therewith as members of the St. John ambulance Brigade.
10. Taking Hindi Examination (Prabodh, Praveen and Pragya) under the scheme to teaching Hindi to Central Government Employees (for days of examination and reasonable time spent on journeys from and to the centre of examination nearest to the Headquarters and can be availed of only twice during the official career of the officer).
11. Donating blood to recognized Blood Banks on working days (for that day only), Central Government Servants who having joined Lok Sahayak Sena have won certificate of merit and are required to participate in function for award of merit (for the period of stay not exceeding 14 days plus minimum period required for journey from headquarters to Delhi and back) .
12. Attending courts of law as jurors or assessors with the permission of Heads of Departments.
13. Government servants who are members of the Indian Institute of Public Administration and who are residing outside Delhi for attending authorised meetings of the Institute for a period not exceeding 6 working days in a calendar year plus journey time.

## **9.7 COMBINING SPECIAL CASUAL LEAVE WITH REGULAR/CASUAL LEAVE**

Special casual leave connected with sterilization, recanalisation under family welfare programme may be suffixed as well as prefixed to regular leave or casual leave. However special casual leave should not be allowed to be prefixed both to regular leave and casual leave. Special casual leave should be prefixed to regular leave and casual leave and not both. Similarly, special casual leave may be suffixed either to regular leave or to casual leave and not both. The intervening holidays and or Saturday or Sundays may be prefixed/suffixed to Regular leave as the case may be.

## **9.8 APPLICATION OF LEAVE RULES (Regular Leave)**

1. The Central Civil Service Leave Rules which came into force on the first day of June 1972 shall be applicable to Govt.servants appointed in this office. Further it is stated that Leave cannot be claimed as a matter of right. When the exigencies of public service require leave of any kind may be refused or revoked by the authority completed to grant it.
2. Leave not be granted in certain circumstances
3. Leave shall not be granted to a Government servant whom a competent punishing authority has decided to dismiss, remove or compulsory retire from Government service. Any claim to leave to the credit of a Govt. servant, who is dismissed or removed or resigned. However, if a Govt. servant who is dismissed, removed from service and is resided on appeal or revision shall be entitled to count for leave his service prior to dismissal or removal as the case may be.

## **GOVERNMENT OF INDIA'S DECISION**

No. leave during suspension- Leave not be granted to a government servant under suspension.

(In the case of leave preparatory to retirement where cash payment in lieu of leave at credit is granted

under rule 39), an undertaking of recovery of the leave salary. If any paid in excess, shall be taken from the Government servant.

## **9.9 PROCEDURE FOR APPLYING FOR LEAVE**

1. All applications for leave shall be submitted in e-hrms to the concerned reporting/ reviewing officer for sanction. The copy of leave application other than CL shall be forwarded to Admn.II Section alongwith monthly absentee statement. other than casual leave should be passed on the Administration/ Establishment sections for necessary action through the sectional transit registers.
2. Application for regular leave or for extension of regular leave should be submitted in the prescribed form. It is duty of every member of the office who applies for leave to see that the information which he is required to furnish in the leave application is duly and completely recorded therein.
3. The recommendations of the section in charge / Branch Officer should invariably be recorded in the form at the proper place before transmitting the papers to the Administration Section through the group officers of the coordinating sections.

## **9.10 PROCEDURE TO BE FOLLOWED IN DEALING WITH LEAVE APPLICATION**

To ensure uniformity of procedure regarding sanction of leave and posting and transfer of staff the following instructions have been issued for compliance:

- (i). Every section will maintain a subsidiary leave account in respect of all categories of officials posted in their coordination. For this the coordinating sections should initially obtain the balance of leave at credit in the leave account of all categories of officials from the Establishment section ( Admin-II Section) and keep a note of the same in their subsidiary leave register with a view to ensuring that all leave applications have been sent by them to Administration -II sections where the same has been noted in the service records of the officials concerned. The coordinating sections while forwarding leave applications to Admin-II Section; after sanction of leave, a certificate to that effect that no previous leave case of officer/officials is pending must also be recorded and balance of leave at their credit will also be made known to Administration/Personal sections.
- (ii) Leave etc. to officials of different cadres will be sanctioned as indicated below:

| <b>S. No.</b> | <b>Designation</b> | <b>Sanctioning authority</b>          | <b>Extent of delegation</b> |
|---------------|--------------------|---------------------------------------|-----------------------------|
| 1.            | Sr. AOs            | Group Officer                         | Upto 30 days                |
|               |                    | Principal Director / Director General | Beyond 30 days              |
|               |                    | Group Officer                         | Upto 90 days                |

|    |                                                                     |                                       |                 |
|----|---------------------------------------------------------------------|---------------------------------------|-----------------|
| 2. | AAOs                                                                | Principal Director / Director General | Beyond 90 days  |
| 3. | Supervisor                                                          | Branch Officer                        | 30 days         |
|    |                                                                     | Group Officer                         | Beyond 30 days  |
| 4. | Assistant Supervisors/Sr. Auditors/Auditors/ PA/ Stenos/ Clerks/DEO | Branch Officer                        | Upto 30 days    |
|    |                                                                     | Group Officer                         | Beyond 30 days  |
| 5. | MTS                                                                 | Branch Officer                        | Upto 180 days   |
|    |                                                                     | Group Officer                         | Beyond 180 days |

1. Leave applications of Senior Audit Officer and Assistant Audit Officer for more than 30 days will be sent for approval of Director General / Principal Director through Director (Administration) after recommendation of the concerned Group Officer.
2. All types of leave to officers/officials working in ITA section , up to 15 days will be granted by the Director (Administration) and all types of leave beyond 15 days will be provided by the Head of the Department.
3. Leave applications of Private Secretary/Stenographer Grade-I and Stenographer Grade-II posted in Director General Secretariat/Principal Director Secretariat shall be sanctioned by the Principal Director / Director General to the extent permitted under the rules and the leave of Private Secretary/ steno posted in the secretariat of the Group Officer shall be sanctioned by the concerned Group Officer to the extent permitted under the leave rules.
4. Leave Payable up to 30 days to Senior Auditor/Auditor/Clerk/Data Entry Operator working in Director General Secretariat/ Principal Director Secretariat/ Principal Director Cell, Report-I and Report-II section shall be sanctioned by Private Secretary / Sr. Private Secretary in the Director General/Principal Director Secretariat and Leave more than 30 days will be sanctioned by the Group officer of administration coordination. In the absence of the Private Secretary, leave of up to 30 days will be sanctioned by the Branch Officer/Administration.
5. Senior Auditor /Auditor/Clerk/Data Entry Operator posted in the Cell of the Group Officer will be granted leave up to 30 days by the Branch Officer of the concerned Coordination Section and leave of more than 30 days by the Group Officer of the concerned Coordination.
6. The leave of the 'Multi-Tasking Staff' posted in the Director General Secretariat/Principal Director Secretariat shall be sanctioned by the Senior Private Secretary / Private Secretary in the Principal Director Secretariat to the extent permitted under the leave rules. In the absence of the Private Secretary, the leave payable will be sanctioned by the Branch Officer/Administration.

7. The Leave of the "Multi-Tasking Employee" posted in the secretariate of the Group Officer shall be sanctioned by the Branch Officer of the concerned Coordination Section to the extent permitted under the leave rules.

**(Authority: Office order No. 552/Admn-I/782/DFPR/2022-23/10686-10698 dated 21.02.2024 & Office order No. 434/Admn-I/782/DFPR/2022-23/10109-10120 dated 03.01.2025)**

### **9.11 MAINTENANCE OF LEAVE ACCOUNTS**

A leave account of all officials whose pay and allowances are drawn and disbursed by the Head of office, as prescribed in rule 15 of Central Civil Services (Leave) Rule, 1972 is maintained in Establishment Section including (Group D Staff in Form 2 of the said Rule ). In writing up leave accounts the instruction attached to the form should be carefully followed. A leave account in the prescribed form No. 2 should be opened and the name of the Government employee, the date of birth, the date of commencement of continues service etc. should be recorded therein.

### **9.12 LEAVE TO PROBATIONER**

A probationer shall be entitled to leave under the CCS (Leave Rules) 1972 if he/she had held his post substantively otherwise than on probation. If for any reason, it is proposed to terminate the services of a probationer, any leave which may be granted to him/her shall not exceed:

- (i) beyond the date on which the probationary period as already sanctioned or extended expires, or
- (ii) beyond any earlier date on which his services are terminated by the orders of an authority competent to appoint him.

A person appointed to a post on probation shall be entitled to leave under these rules as a temporary or a permanent Government Servant according as his appointment is against a temporary or a permanent post.

Provided that such person already holds a lien on a permanent post before such appointment, he shall be entitled to leave as a permanent Government Servant.

### **9.13 EARNED LEAVE**

In accordance with Rule 26 of the Central Civil Service (Leave) Rules 1972, the leave account of every Government servant is credited with earned leave in advance in two installments of 15 days each on the 1st day of January and July each year. The leave at the credit of the Government servant at the close of the half year is carried forward to the next half year subject to the condition that the leave so carried forward plus the credit of the half year do not exceed the maximum limit of 300 days (CCS (Leave) Rule 26 (1)).

When a Government Servant avails of leave towards the end of a half year and such leave extends beyond the close of the half year into the next half year e.g. a Government Servant taking 25 days earned leave from 24th December, of a year, the correct procedure to be followed in such cases is that portion of leave which falls in the half year which is coming to a close is to be deducted from the leave at the credit of the Government servant and the balance leave carried forward to the next half year. The advance credit of 15 days due at the commencement of the next half year will be allowed subject to the provision regarding maximum limit of 300 days. The portion of leave which falls in the next half year

is then to be debited in the leave account.

While limiting the maximum of 300 days, where the balance at credit is 286-300 days, further advance credit of 15 days on 1st January/1st July will be kept separately and set-off against the EL availed of during that half year ending 30th June/31st December. However, if the leave availed is less than 15 days, the remainder will be credited to the leave account subject to the ceiling of 300 days at the close of that half-year (Rule 26, GID (2)(c)). If the earned leave taken during the half year is more than 15 days the amount in excess of 15 days will however, have to be debited the Leave Account.

**NOTE:** The leave accounts of the Government servants credited/debited otherwise than in accordance with the procedure set out above should be recast in accordance with the procedure described above.

#### **9.14 COMMUTATION OF ONE KIND OF LEAVE INTO ANOTHER**

1. At the request of a Government servant, the authority which granted him leave may commute it retrospectively into leave of a different kind which was due and admissible to him at the time the leave was granted, but the Government Servant cannot claim such commutation as a matter of right.
2. The commutation of one kind of leave into another shall be subject to adjustment of leave salary on the basis of leave finally granted to the Government servant, that is to say, any amount paid to him in excess shall be recovered or any arrears due to him shall be paid.
3. Extra ordinary leave granted on medical certificate or otherwise may be commuted retrospectively into leave not due subject to the provisions of Rule 31.

**(Authority: C.C.S. (leave) Rules-Rules-10)**

#### **9.15 ENCASHMENT OF EARNED LEAVE**

1. Where a Government Servant retires on attaining the normal age prescribed for retirement under the terms and conditions governing his service, or dies while in service or after final cessation of duties, the authority competent to grant leave shall 'suo-motto' issue an order granting cash equivalent of leave salary for earned leave, if any, at the credit of the Government servant on the date of his/her retirement, subject to a maximum of 300 days.
2. The cash equivalent of leave salary for earned leave shall be payable in one lump-sum as a one-time settlement. No House Rent Allowance or City Compensatory Allowance shall be payable. The authority competent to grant leave may withheld full amount or part of cash equivalent of earned leave in the case of a Government servant who retires from service on attaining the age of retirement while under-suspension or while disciplinary or criminal proceedings are pending against him, if in the view of such authority there is a possibility of some money becoming recoverable from him on conclusion of the proceedings against him. On conclusion of the proceedings, he/she will become eligible to the amount so withheld after adjustment of Government dues, if any.
3. The authority competent to grant the entire earned leave at the credit of a government servant on the date of retirement, would be competent to issue an order granting cash equivalent of such earned leave as also the authority to whom the powers to grant earned leave have been delegated under the relevant delegation orders.

**(Authority: G.I. Deptt. of Per. & Trg. Notification No. 1428/19/86-Estt(L) 9.12.88, G.I. Deptt. of Personnel**

& A.R. O.M. No. P. 14028/29-E-VI(A)/78(LU), 31.12.1980.

## **9.16 ELIGIBILITY IN CASES OF OFFICIALS ON LEAVE ON THE LAST DAY OF A PARTICULAR HALF YEAR**

A Government servant on leave on the last day of any particular half on a calendar year shall be entitled to earned leave credited on the first of the succeeding half year provided the authority competent to grant leave has reason to believe that the Government Servant will return to duty on its expiry.

(Authority: G.I. N.R. O.M. No. 16(6)-E-IV(A)/ 74 dated 30.4.1976)

## **9.17 HALF PAY LEAVE**

(DOPT Notification No. 11020/01/2017-Estt (L), dated 11.12.2018)

- (1) The half pay leave account of every Government servant (other than a military officer and a Government servant serving in a Vacation Department) shall be credited with half pay leave in advance, in two instalments of ten days each on the first day of January and July of every calendar year].
- (2)(a) The leave shall be credited to the said leave account at the rate of 5/3 days for each completed calendar month of service which he is likely to render in the half-year of the calendar year in which he is appointed.
- (b) The credit for the half-year in which a Government servant is due to retire or resign from the service shall be allowed at the rate of 5/3 days per completed calendar month up to the date of retirement or resignation.
- (c) When a Government servant is removed or dismissed from service, credit of half pay leave shall be allowed at the rate of 5/3 days per completed calendar month up to the end of the calendar month preceding the calendar month in which he is removed or dismissed from service. **(DOPT Notification No. 13026/01/2010-Estt (L), dated 12.05.2011)**
- (d) When a Government servant dies while in service, credit of half pay leave shall be allowed at the rate of 5/3 days per completed month of service up to the date of death of the Government servant. **(DOPT Notification No.13026/1/2010-Estt. (L), dated 12.05.2011)**
- (e) Where a period of absence or suspension of a Government servant has been treated as dies non in a half-year, the credit to be afforded to his half pay leave account at the commencement of next half-year, shall be reduced by one-eighteenth of the period of dies non subject to a maximum of ten days. **(DOPT Notification No. 13014/1/87-Estt.(L) dated 16.06.1987)**
- (3) A Government servant who is eligible for Departmental leave under Rule 49, shall be entitled to half pay leave of twenty days on completion of twelve months of actual duty.
- (4) The leave under this rule may be granted on medical certificate or on private affairs. **(DOPT Notification No. 13014/1/85-Estt. (L) dated 03.12.1985)**
- (5) While affording credit of half pay leave, fraction of a day shall be rounded off to the nearest day: **(DOPT Notification No. 13014/1/87-Estt. (L) dated 16.06.1987)**

## **9.18 COMMUTED LEAVE**

Commutated Leave not exceeding half the amount of Half Pay Leave due can be availed on Medical Certificate. **[Rule 30(1) of C.C.S. (Leave) Rules]**

Commutated Leave can be taken without a Medical Certificate. -

(a) up to a maximum of 90 days in the entire service if utilized for an approved course of study certified to be in public interest. **[Rule 30(1-A) of C.C.S. (Leave) Rules]**

(b) up to a maximum of 60 days by a female Government servant if it is in continuation of Maternity Leave. **[Rule 43(4) of C.C.S. (Leave) Rules]**

(c) up to a maximum of 60 days by a female Government servant with less than two living children if she adopts a child less than one year old. **[Rule 34-B of C.C.S. (Leave) Rules]**

Commutated leave can be granted only when the leave sanctioning authority is satisfied that there is a reasonable prospect of the Government servant returning to duty on its expiry. So it cannot be granted as Leave preparatory to retirement. **[Rule 30(1) (a) of C.C.S. (Leave) Rules]**

If the commuted leave is taken, twice the number of days availed should be debited in the Half Pay Leave account. **-[Rule 30 (1) (d) of C.C.S. (Leave) Rules]**

Where a Government servant is granted Commuted leave and he quits service voluntarily without returning to duty, the commuted leave shall be treated as Half Pay Leave and the excess leave salary will be recovered. If the retirement is by reason of ill-health incapacitating him/her for further service or in the event of death, recovery should not be made. **[Rule 30 (2) of C.C.S. (Leave) Rules]**

Commutated leave can be granted at the request of the Government servant even when earned leave is available. **[Note below Rule 30 of C.C.S. (Leave) Rules]**

## **9.19 GRANT OF LEAVE ON MEDICAL CERTIFICATE**

An application for leave on medical certificate granted to a Gazetted officer shall be accompanied by a Medical certificate in Form 3 given by an Authorised Medical Attendant if the concerned officer is not a CGHS beneficial.

An application for leave on Medical Grounds granted to a non-gazetted Govt. Servant shall be accompanied by a medical certificate in form 4 given by an authorised Medical Attendant or a Registered Medical Practitioner defining clearly the nature and probable duration of illness if the concerned official is not a CGHS beneficial.

**NOTE 1 :-** In the case of non-gazetted Govt. Servant a certificate given by a Regd. Ayurveda Unani or Homeopathic Medical Practitioner or by the Registered Dentist in the case of Dental ailments or by an honorary Medical Officer may also be accepted provided such certificate is accepted for the same purpose in respect of its own employees by the Govt. of a state in which the Central Govt. Servants fall ill or it which he proceeds for treatment.

**NOTE 2: -** The authority competent to grant leave may at its discretion waive the production of a Medical certificate in case of an application for leave from a Gazetted/ Non-Gazetted officer for a period

not exceeding 3 days at a time. Such leave shall not however be treated as leave on Medical Certificate and shall be debited against leave other than on medical grounds.

**NOTE 3:** - A Medical Officer shall not recommend the grant of leave in any case in which there appears to be no reasonable prospect that the Government Servant concerned will ever be fit to resume his duties and, in such case, the opinion that the Govt. servant is permanently unfit for Government service shall be recorded in the medical certificate.

## **9.20 SECOND MEDICAL OPINION**

1. The leave sanctioning authority may secure second medical opinion by requesting a Government Medical Officer not below the rank of Chief Medical Officer or Staff Surgeon to have the applicant medically examined by the earliest possible date, and
2. The Government Medical Officer will thereupon express his opinion both as regards the facts of the illness and as regards the necessity for the amount of leave recommended and for that purpose, he may either require the applicant to appear before himself/herself or before a Medical Officer nominated by himself/herself.

In other words, the leave sanctioning authority, in case of doubt, may write, under intimation to the official concerned, for second medical opinion to Government Medical Officer not below the rank of a Chief Medical Officer or Staff Surgeon to have the applicant medically examined.

The Medical Officer will direct the official concerned either to appear before him/her or before the Medical Officer, nominated by him/her, at a particular date, time and place.

## **9.21 LEAVE NOT DUE**

- (i) Leave Not Due may be granted to a permanent Government servant with no Half Pay Leave at credit.
- (ii) Temporary Government servant with one year service and suffering from TB, Leprosy, Cancer or Mental illness may also be granted Leave Not Due if the post from which the official proceeds on leave is likely to last till his/her return. [Rule 31(1-A) of C.C.S. (Leave) Rules]
- (iii) It is granted on Medical Certificate {except: (a) in continuation of Maternity Leave (Rule 43(4) of C.C.S. (Leave) Rules) and (b) to a female Government servant with less than two living children on adoption of a child less than a year old (Rule 43-B of C.C.S. (Leave) Rules)}, if the leave sanctioning authority is satisfied that there is a reasonable prospect of the Government servant returning to duty on its expiry. (Rule 31(1) of C.C.S. (Leave) Rules)
- (iv) The amount of leave should be limited to the Half Pay Leave that the Government servant is likely to earn subsequently (Rule 31(1) (b) of C.C.S. (Leave) Rules)
- (v) Leave Not Due during the entire service is limited to a maximum of 360 days. (Rule 31(1)

of C.C.S. (Leave) Rules)

- (vi) Leave Not Due will be debited against the Half Pay Leave that the Government servant earns subsequently. (Rule 31(1) (c) of C.C.S. (Leave) Rules)
- (vii) It cannot be granted in the case of 'Leave Preparatory to retirement' (Rule 31(1) of C.C.S. (Leave) Rules).
- (viii) When a government servant granted Leave Not Due resigns from service or is permitted to retire without returning to duty, the Leave Not Due should be cancelled. The resignation or retirement will take effect from the date on which such leave has commenced, and the leave salary should be recovered. (Rule 31(2) (a) of C.C.S. (Leave) Rules)
- (ix) Where a Government servant, who having availed himself/herself of Leave Not Due, returns to duty but resigns or retires from service before he/she has earned such leave, he/she shall be liable to refund the leave salary to the extent the leave has not been earned subsequently. [Rule 31(2) (b) of C.C.S. (Leave) Rules]]
- (x) In cases of (viii) and (ix) above, leave salary will not be recovered if the retirement is due to ill health, incapacitating the Government servant for further service or in the event of death or is retired prematurely under FR 56(j) or FR 56 (l) or Rule 48 (1) (b) of CCS (Pension) Rules. [Proviso to Rule 31(2) of C.C.S. (Leave) Rules]]
- (xi) It can be granted to an officer whose leave account shows a debit balance in consequence of the grant of Leave Not Due on a previous occasion. [CAG's decision under Rule 31 of C.C.S. (Leave) Rules]

## **9.22 EXTRAORDINARY LEAVE**

Extraordinary leave is granted to a government servant-

- (a) When no other leave is admissible.
- (b) When other leave is admissible, but the Government servant applies in writing for extraordinary leave. (Rule 32(1) of C.C.S. (Leave) Rules)

Extraordinary leave can not be availed concurrently during the notice period, when going on voluntary retirement. (Rule 32, GID (2) of C.C.S. (Leave) Rules).

**LIMIT:**

1. No leave of any kind can be granted to a government servant for a continuous period exceeding five years. Subject to this limitation, any amount of Extraordinary Leave may be sanctioned to a permanent Government servant. (Rule 12 of C.C.S. (Leave) Rules).
2. For temporary officials, the limit on any one occasion is-

- a. All officials- Up to 3 months with or without Medical Certificate. (Rule 32(2) (a) of C.C.S. (Leave) Rules).
- b. Officials with a minimum of one-year continuous service- Up to 6 months with Medical Certificate for common ailments. (Rule 32(2) (b) of C.C.S. (Leave) Rules). Up to 18 months with Medical Certificate for cancer, mental illness, pulmonary tuberculosis or pleurisy of tubercular origin, tuberculosis of any part of the body and leprosy. (Rule 32(2) (d) of C.C.S. (Leave) Rules).
- c. Officials with three or more years continuous service-

Up to 24 months, where the leave is required for the purpose of prosecuting studies certified to be in public interest. (Rule 32(2) (e) of C.C.S. (Leave) Rules).

- d. Officials belonging to Scheduled Castes/ Scheduled Tribes-

Heads of Departments may grant leave exceeding three months for attending the pre-examination training course at the centres notified by the Government from time to time. (Rule 32 (4) of C.C.S. (Leave) Rules)

3. Two spells of extraordinary leave intervened by any other kind of leave, should be treated as one continuous spell for the purpose of applying the maximum limit. (Rule 32 (5) of C.C.S. (Leave) Rules)
4. The Authority competent to grant leave may commute periods of absence without leave retrospectively into extraordinary leave. (Rule 32 (6) of C.C.S. (Leave) Rules)

### **9.23 SUFFIX/PREFIX OF HOLIDAYS WITH LEAVE**

If the day, immediately preceding the day on which a Government servants leave begins or immediately following the day on which his leave expires, is a holiday or one of series of holidays, the Government servant shall be deemed to have been permitted (except in cases where for administrative reasons permission for prefixing/suffixing holidays to leave is specifically withheld) to leave his station at close of the day before, or return to it on the day following such holiday or series of holidays.

### **9.24 MATERNITY LEAVE**

1. A female Government servant (including an apprentice) with less than two surviving children may be granted maternity leave by an authority competent to grant leave for a period of (180) days from the date of its commencement.
2. During such a period, she shall be paid leave salary equal to the pay drawn immediately before proceeding on leave.

Note: In the case of a person to whom the Employees State Insurance Act, 1948(34 of 1948) applies, the amount of leave salary payable under this rule shall be reduced by the amount of

benefit payable under the said Act for the corresponding period.

3. Maternity leave not exceeding 45 days may also be granted to a female Government Servant (irrespective of the number of surviving children) during the entire service of that female Government servant in case of miscarriage including abortion on production of medical certificate as laid down in Rule 19 of CCS(Leave) Rules 1972:

Provided that the maternity leave granted and availed of before the commencement of the CCS (Leave) Amendment Rules, 1995, shall not be taken into account for the purpose of this sub-rule.

- 4(a) Maternity leave may be combined with leave of any other kind.

- (b) Notwithstanding the requirement of production of medical certificate contained in sub-rule (1) of Rule 30 or sub-rule (1) of Rule 31, leave of the kind due and admissible (including commuted leave for a period not exceeding 60 days and leave not due) up to a maximum of two years may, if applied for, be granted in continuation of maternity leave granted under sub-rule (1).

5. Maternity leave shall not be debited against the leave account.

Rule 43 of CCS (Leave) rule 1972

[Authority: <sup>1</sup> (GOI, DOPT Notification No. 11012/1/2009-Estt. (L) dated the 1<sup>st</sup> December, 2009 published as GSR 170 in the Gazette of India, Dated the 5<sup>th</sup> December, 2009. Takes effect from 01.09.2008 vide O.M. , dated 11.09.2008.)

<sup>2</sup> (GOI ,DOPT Notification No. 13018/7/94-Estt. (L) dated the 31<sup>st</sup> March, 1995, published as GSR No. 317(E) in the Gazette of India)]

### **GOVERNMENT OF INDIA'S DECISION**

#### **1. UNMARRIED FEMALE GOVERNMENT SERVANTS ALSO ELIGIBLE FOR MATERNITY LEAVE: -**

- (i) Under Rule 43 of CCS (Leave) Rules, 1972, maternity leave may be granted to a female Government Servant by an authority competent to grant leave subject to fulfillment of conditions laid down under the said Rule.
- (ii) The matter has, accordingly, been considered in this Department and it is felt that the word “female” in the CCS (Leave) Rules, 1972, does not specifically refer to the marital status of the female and the word “married” is not prefixed to the word “female”. It is, therefore clarified that, as the rule itself does not make any distinction in this regard, maternity leave as admissible may be granted to an unmarried female Government servant. Further, at the time of leave, while due regard may be had to the conditions laid in Rule 43 of the CCS (Leave) Rules, the welfare of the mother and the child, which is of primary concern., shall also be kept in view.

[G.I., Dept. of Per. & Trg., O.M. No. 13018/1/86-Estt. (L), dated the 28<sup>th</sup> April, 1986]

**2. MATERNITY LEAVE FOR INDUCED ABORTION**-It has been decided that the abortion induced under the Medical Termination of Pregnancy Act, 1971, should also be considered as a case of abortion for the purpose of granting maternity leave under the CCS (Leave) Rules, 1972

[G.I., M.F., O.M. No. 14(6)-E. IV (A)/74, dated the 21<sup>st</sup> April, 1975]

**3. NO SPECIAL CASUAL LEAVE FOR SALPINGECTOMY OPERATION UNDERGONE WITH “INDUCED ABORTION”**.-Female Government servants undergoing Salpingectomy operation along with Medical termination of pregnancy will be entitled to six weeks maternity leave. Such female Government servants who avail the facility of maternity leave will not be entitled to additional 14 days of special casual leave.

[G.I., Dept. of Per. & Trg., O.M. No. 28016/1/91-Estt. (A), dated the 13<sup>th</sup> May, 1992]

**NO MATERNITY LEAVE FOR THREATENED ABORTION.** - It is clarified that “abortion” does not include “threatened abortion” and maternity leave cannot be granted in the case of “threatened abortion.”

[G.I., D.P & A.R., O.M. No. 13018/11/84-Estt. (L), dated the 16<sup>th</sup> of March, 1985]

## **9.25 PATERNITY LEAVE**

1. A male Government servant (including an apprentice) with less than two surviving children, may be granted Paternity Leave by an authority competent to grant leave for a period of 15 days, during the confinement of his wife for childbirth, i.e., up to 15 days before, or up to six months from the date of delivery of the child.
2. It is also granted on valid adoption of a child below the age of one year for a period of 15 days within a period of six months from the date of valid adoption.
3. During such period of 15 days, he shall be paid leave salary equal to the pay drawn immediately before proceeding on leave.
4. The Paternity Leave may be combined with leave of any other kind.
5. The Paternity Leave shall not be debited against the leave account.
6. If Paternity Leave is not availed of within the period specified in sub-rule (1), such leave shall be treated as lapsed.

**NOTE:** - The Paternity Leave shall not normally be refused under any circumstances.

(Authority: GOI Dept. of Per. & Trg., Notification No. 13026/1/99-Estt. (L) dated the 18<sup>th</sup> of April, 2002 published as GSR 149 in the Gazette of India, Dated the 27<sup>th</sup> April, 2002. Takes effect from 07.10.1997 vide O.M. , dated 07.10.1997.)

## **9.26 LEAVE TO FEMALE GOVERNMENT SERVANTS ON ADOPTION OF CHILD**

1. It is granted to a female employee with fewer than two surviving children, on valid adoption of a child below the age of one year, for a period of 180 days immediately after the date of valid adoption from 22.07.2009.
2. Leave salary will be equal to the pay drawn immediately before proceeding on leave.
3. This may be combined with leave of any kind and leave shall not be debited against the leave account.
4. In continuation of the Child Adoption Leave, leave of the kind due and admissible (including leave not due and commuted leave not exceeding 60 days without production of Medical Certificate) for a period up to one year reduced by the age of the adopted child on the date of legal adoption without taking into account the period of Child Adoption Leave.
5. Facility is not available to the female employees already having two surviving children at the time of adoption.

[Rule 43-B of C.C.S. (Leave) Rules]

## **9.27 CHILD CARE LEAVE**

Women employees and single male employees having minor children may be granted Child Care Leave by an authority competent for a maximum period of 730 days during their entire service for taking care of up to two eldest surviving children, whether for rearing or to look after any of their needs like examination, sickness, etc.

Conditions for grant of Child Care Leave (CCL)

- (i) CCL requires prior sanction.
- (ii) Child means a child below the age of eighteen years. In respect of a child with a minimum disability of forty per cent, it is permitted for an offspring of any age subject to submission of certificates.
- (iii) A single male Government servant means an unmarried or widower or divorcee Government servant.
- (iv) CCL shall not be granted for more than three spells in a calendar year; in case of a single female government servant, the grant of leave shall be extended to six spells in a calendar year.
- (v) Not ordinarily to be granted during the probation period except during certain extreme situations where the leave sanctioning authority is satisfied about the need and a minimal leave is sanctioned.

- (vi) CCL may not be granted for a period of less than five days at a time.
- (vii) Intervening holidays will count as CCL as in the case of EL.
- (viii) During the period of CCL, salary shall be paid one hundred per cent for the first 365 days, and eighty per cent for the next 365 days.
- (ix) CCL may be combined with leaves of any other kind. Leave of the kind due and admissible (including Commuted Leave not exceeding sixty days and Leave Not Due) may be allowed for the third year in continuation of CCL without production of MC.
- (x) CCL shall not be debited against the leave account.
- (xi) CCL may be availed during LTC
- (xii) An employee on CCL may be permitted to leave headquarters with prior approval of Competent Authority. Employees may also proceed on foreign travel with clearance from appropriate Competent Authority in advance.
- (xiii) CCL is also admissible to civilian female industrial employees working in Defence establishment subject to conditions.
- (xiv) CCL is also admissible to civilian female industrial employees of the Central Government at par with the civilian female industrial employees of Defence establishment, with effect from 01.09.2008 subject to conditions. GIDs, Rule 43-C.

## **9.28 STAYING AWAY WITHOUT LEAVE**

No employee should stay away from office, on the ground of sickness or any other ground before leave is sanctioned and arrangement for his work is made unless the medical certificate specially states that he is physically incapable of attending to his duties. The address of all the assistants of the office should be recorded in their leave applications. AAOs/ Supervisor of the sections concerned should see that this is done. Co-ordinating section should bring to notice any omission to comply with this order.

## **9.29 PENALTY FOR STAYING AWAY WITHOUT LEAVE**

Staying away from office without leave is a grave act of indiscipline which renders the official liable to action under CCS (CCA) Rules, 1965 except when the cause is sudden illness or unforeseen circumstances of a pressing nature. The reason of absence should be communicated to the office at once through personal messenger or by post or mail and, if it is due to illness, a medical certificate should, if the Gazetted Officer so directs, be produced, no urgency of private affairs can be accepted as an excuse for staying away from office without leave or after the leave granted has expired.

## **9.30 ABSENCE AFTER EXPIRY OF LEAVE**

Unless the authority competent to grant leave extends the leave, a Government servant who remains absent after the end of leave is entitled to no leave salary for the period of such absence and that period shall be debited against his leave account as though it was half pay leave, to the extent such leave is due the period in excess of such leave due being treated as extraordinarily leave.

Willful absence from duty after the expiry of leave renders a Government servant liable to disciplinary action.

(Authority: Rule 25 of CCS (Leave) Rules, 1972)

### **9.31 EXTENSION OF LEAVE**

All applications for extension of leave should be made sufficiently early to reach the office at least one week before the expiry of the leave. Extension will not be granted to those who fail to do so except in case where the necessity for an extension cannot be foreseen.

NOTE- It is often the practice to ask for short leave and then for extension because the employee thinks that there is a better chance of short leave being granted. This is objectionable and no extension will therefore ordinarily be granted, unless the applicant can show that unforeseen circumstances have arisen since made his first application.

### **9.32 RESUMING DUTY BEFORE LEAVE ENDS**

The employees who have been sanctioned regular leave are ordinarily required to resume their duties on the dates they are due to return from leave granted to them. Persons desirous of resuming duties earlier should apply to the Group Officer or DG. /P.D. in case of Senior Audit Officer and Assistant Audit Officer for being permitted to join before the expiry of leave. In the absence of such permission, they will not be allowed to resume duties before the expiry of leave.

NOTE: FOR OTHER KINDS OF LEAVE, VIZ SPECIAL DISABILITY LEAVE, STUDY LEAVE, ETC., PLEASE REFER TO CENTRAL CIVIL SERVICES LEAVE RULES-1972 AMENDED FROM TIME TO TIME.

### **9.33 FITNESS CERTIFICATE**

The employees of the office who proceed on leave on a Medical Certificate or who are granted leave on account of ill health and are required to produce fitness certificate, should bring the certificate of Medical fitness in the prescribed form.

A specimen of the prescribed form is appended below for the guidance of all concerned.

**FORM-3**

**MEDICAL CERTIFICATE GAZETTED OFFICERS RECOMMENDED LEAVE OR**

**EXTENSION OF LEAVE OR COMMUTATION OF LEAVE**

Signature of the Government Servant \_\_\_\_\_

I, Dr. \_\_\_\_\_ after careful personal examination of the case hereby certify that Dr./Sri/Smt./Kum. \_\_\_\_\_ whose signature is given above is suffering from \_\_\_\_\_ and consider that a period of absence from duty in the post of \_\_\_\_\_ with effect from \_\_\_\_\_ to \_\_\_\_\_ is absolutely necessary for the restoration of his/her health.

Place: \_\_\_\_\_ Civil Surgeon/Staff Surgeon/

Date : \_\_\_\_\_ Authorized Medical Attendant/

Registered Medical Practitioner

**FORM : 4**

**MEDICAL CERTIFICATE FOR LEAVE OR EXTENSION OF LEAVE OR**  
**COMMUTATION OF LEAVE**

Signature of the Government servant \_\_\_\_\_

I Dr. \_\_\_\_\_ after careful personal examination of the case hereby certify that Shri/Smt./Kum. \_\_\_\_\_ whose signature is given above as suffering from \_\_\_\_\_ and I consider that period of absence from duty of \_\_\_\_\_ with effect from \_\_\_\_\_ to \_\_\_\_\_ is absolutely necessary for the restoration of his / her health.

Place: \_\_\_\_\_ Civil Surgeon/Staff Surgeon/

Date :

Authorized Medical Attendant/

Registered Medical Practitioner

**Form – 5**

**MEDICAL CERTIFICATE OF FITNESS TO RETURN TO LEAVE**

Signature of the Government Servant \_\_\_\_\_

We, the members of Medical Board,

We/I Dr. \_\_\_\_\_ Civil Surgeon/Staff Surgeon, AMA/RMP hereby certify that We/I have carefully examined Dr. / Sri / Smt. / Kum. \_\_\_\_\_ whose signature is given above and find that he/she recovered from his/her illness and is now fit to resume duties on \_\_\_\_\_ in Government Service. We/I also certify that before arriving at this decision, We/I have examined the original medical certificate(s) and statement(s) of the case (or certified copies thereof on which leave was granted or extended and have taken these into consideration in arriving at my decision/Member of the Medical Board.

Place: \_\_\_\_\_ Civil Surgeon/Staff Surgeon/

Date : \_\_\_\_\_ Authorized Medical Attendant/

Registered Medical Practitioner

NOTE: A Fitness Certificate from the Chief Medical Officer is necessary in the case of infectious diseases like Tuberculosis, Leprosy, etc.

\*\*\*\*\*

**CHAPTER X**

**CASHIER / CASH DEPARTMENT**

**10.1 DUTIES AND RESPONSIBILITIES OF CASHIER**

The Office will have a cashier for receipt, custody and disbursement of cash. It shall be the primary duty of the cashier to ensure the safety and correct and proper accounting of all receipts and disbursements of cash. For this purpose he will maintain a cash book strictly in the form and manner as detailed below:-

#### **i) CASH BOOK**

A Cash Book in Form No. G.A.R.-3 should be maintained by the Cashier for recording all cash transactions including miscellaneous cash receipts. The cash book in form GAR-3 is maintained with utmost care under the supervision of the Head of office. It should be bound in convenient volumes and the pages machine numbered. There should not be overwriting and unattested alteration of amounts in the cash book. Blank Pages left in between should be cancelled under proper attestation

#### **ii) DAILY CLOSING OF CASH BOOK**

The Cash Book must be written up as soon as transactions actually take place and closed daily. The cashier should verify the balance in hand every day. The correctness of the amounts entered as receipts and disbursements should be authenticated daily by the initials of the gazetted officer in-charge against each item. The totaling of the cash book should be checked daily by the Assistant Audit Officer, Personal Claims Section before the balance is worked out. They should also be checked by the branch officer during the first four days and the last day of each month and at random occasionally.

**(Case No. O. E. / 8-19. vol II)**

#### **iii) PRINTED RECEIPT BOOKS**

In order to ensure that all the amounts received in cash (including cheques) in the office have been duly accounted for by the cashier in the Cash Book, it is necessary that for every such amount a receipt should be given out of a printed receipt book with consecutive pages machine numbered as far as possible on the day the money is entered in the cash book. The number of the receipt should be entered against each item on the receipt side of the Cash Book.

#### **iv) ENCASHMENT OF BILLS**

Bills in respect of the pay and allowances of the office staff will be drawn by the Senior Audit Officer (Admn.)/ Personal Claims prepared by Admn-II / III sections and sent to the Cashier latest by 20<sup>th</sup> of the month and the cashier after keeping the duplicate copy of the bill and noting them in the bill register forward them to the Pay & Accounts Section, which will check and verify the bills according to the prescribed procedures and issue the payment for the net payable amount of the bill.

**NOTE:** With effect from the salary month October, 2007, the salary of Officers and Staff members is being transferred to their respective Savings Bank accounts. For this purpose salary savings bank accounts have been got opened.

#### **v) PROMPT REMITTANCE OF ATTACHED PAY**

Recoveries on account of attachment of pay made by disbursing officers under the orders of the court should be treated as money belonging to the court and consequently as Government money. The amount recovered should be remitted every month to the courts concerned as soon as possible.

## **10.2 IMPORTANT INSTRUCTIONS FOR THE GUIDANCE OF BRANCH OFFICER/ SR. AUDIT OFFICER (Cash) DDO**

- (i) He/she should check that in cases of all remittances into bank, there is bank's receipt on the challan, that a consolidated receipt from the Treasury/Bank for all remittances made during the month is obtained from the bank, if such remittances, are appreciable, and compare with postings in the cash book.

### **(Rule 13 of Central Government Account (Receipt & Payment) Rule, 1983)**

- (ii) He/she should examine office copies of the bills and acquittance rolls to see that all payments have been correctly made, are supported by valid quittance which indicate the date of payment and are stamped "paid".
- (iii) He/she should see that every entry of disbursement in the cash book is supported by valid acquittance before he/she attests it.
- (iv) He/she should see that detailed and complete analysis of the cash balance shown in the cash book at the end of each month is prepared. He should scrutinize it carefully and should ensure that the cashier does not retain money unnecessarily or unduly long.
- (v) He/she should in respect of any moneys realized in cash, grant receipts in proper form (Form T.R. 5) and at the time of signing the receipt and the counterfoil satisfy himself that the amount has been properly entered in the cash book.
- (vi) He/she should keep a watch that the amounts drawn on contingent bills are intended only for immediate payments on account of contingencies. These amounts are not diverted for utilization on any other purpose.
- (vii) While attesting the entries in the cash book he should see that the amounts withheld have not been paid without the orders of the competent authority.

**(Authority: CAG's circular No.62-TA-II/1983, letter No.938-TA-II/113-83 dated 25.08.1983)**

## **10.3 PHYSICAL VERIFICATION OF CASH**

- (i) With a view to ensuring an effective system of control over the custody, disbursement and accounting of cash as contemplated in para 48 of the Comptroller and Auditor General's Manual of Standing Orders (Administrative) Volume I (Second Edition), there should be a continuous review of the arrangements for the expeditious disbursement of the money, for the custody thereof and for the prompt and correct disposal of undisbursed balances.

For this, Senior Audit Officer (Admn.) should conduct physical verification of cash at the end of the month and should record a certificate of such verification under his/her dated signature. He/she should also check the cash balance in the hands of the cashier at least once a month without previous notice. There should be adequate reconciliation of cash balances with the accounts. In order to exercise better control over cash, there should be a half yearly test check of the cash accounts by an internal test audit party and monthly surprise check of the cash by officer nominated by Director (Admin.). The HOD should, at irregular intervals satisfy himself/herself that the system of supervision as prescribed in codes and special orders is observed properly and should remedy speedily the defects noticed, if any.

The actual cash to which the cashier can have access without the help of the Senior Audit Officer (Admn) /DDO should as far as possible not exceed the amount of security furnished by him. The money in excess of the security should be kept in the safe under double lock.

**(Authority: Para 48 of C.A.G's MSO (Admn.) Volume I)**

- (ii) A surprise verification of cash by a Group Officer nominated by the PD / DG should also be conducted once a month. The dates chosen should be such that the element of surprise is maintained and once he has chosen to make surprise check, no excuse whatever should be admitted for postponing check to later date.

In order to ensure that it is done regularly an entry should be made in the calendar of return of Personal Claims Section and orders of PD/DG should be obtained each month for nominating a group officer for this purpose.

#### **10.4 SECURITY REQUIRED FROM THE CASHIER**

In terms of DoPT circular dated 18.01.2019, every official who is appointed to work as cashier is required to furnish a security of Rs. 10000/- and execute a bond in order to protect Government from loss. Fidelity bond of recognized Insurance companies may be accepted in lieu of scrutinizes in cash or National Savings Certificates but before accepting such bonds, they should be carefully scrutinized to see that they do not include any unnecessary reservation which might seriously effect their value.

#### **10.5 FORM OF SECURITY BONDS**

- (i) The security will be furnished in the form of a fidelity bond in GFR 17.
- (ii) The security bond should be executed in form GFR 14 of nationalized Insurance companies

**(G.O.I., M.O.F. No.4314-B-49 dated 28-6-1949 & O.M. No. D-433-B/48 dt. 27-03-1948 as amended by O.M. No.D-5880/B/48 dt. 30-4-1948; O.E. Case No. 8-19 & N.O.K.W. 8-19)**

#### **10.6 ACCEPTANCE OF FIDELITY BONDS AS SECURITY DEPOSITS**

Fidelity bonds of the nationalized Insurance Companies may be accepted in lieu of cash or National Savings Certificates from employees, who are required to furnish security deposits subject to the conditions of the Rule 20 and 21 of the code of the currency department (6<sup>th</sup> Edition). In such cases it is essential to see that the employee is insured by the company for the amount of the security deposit and the policy is kept alive from time to time by prompt payment of the premia.

#### **10.7 CASH HANDLING AND TREASURY ALLOWANCE**

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                              |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------|
| <p><b>On the recommendations of the Seventh Central Pay Commission vide Department of Expenditure's Resolution No. 11-1/2016-IC dated 06.07.2017, Cash Handling Allowance and Treasury Allowance have been subsumed in 'Cash Handling and Treasury Allowance' and shall be admissible to Central Government employees at the following rates wef 01.07.2017, subject to conditions mentioned in subsequent paras: -Amount of average monthly Cash handled (in Rs.)</b></p> | <p><b>Revised rates of Cash Handling and Treasury Allowance (in Rs.)</b></p> |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------|

|                     |             |
|---------------------|-------------|
| <b>&lt;= 5 lakh</b> | <b>700</b>  |
| <b>Over 5 lakh</b>  | <b>1000</b> |

The powers to grant Cash Handling and Treasury Allowance has been delegated to the Head of Departments who, at his/her discretion, may appoint officials of the level of Assistant Supervisor/ Sr.Auditor/ Auditors holding substantive post up to level 7 of Pay Matrix, to perform the duties of Cashiers. The grant of Cash Handling and Treasury Allowance shall be subject to the following conditions: -

- i. The amount of Cash Handling and Treasury Allowance to be granted will depend on the average amount of monthly Cash disbursed, excluding payment by cheques/ drafts/ECS/online payments/other modes where cash handling in physical form is not involved.
- ii. The Head of the Department concerned should certify, on the basis of the previous financial year's average, the amount of Cash disbursed and sanction the rate of Cash Handling and Treasury Allowance appropriate to that quantum. The average amount of Cash disbursed should be arrived at by taking the total amount shown as disbursed in the Cash Book reduced by the items disbursed in the form of cheques/R.T. Rs/Drafts/ECS/online payments/other modes where cash handling in physical form is not involved, etc.
- iii. The Cash Handling and Treasury Allowance granted to the official should be reviewed every financial year.
- iv. Every official, who is appointed to work as Cashier, unless he is exempted by the competent authority, should furnish security in accordance with the provisions contained in Rule 306 (1) to 306 (4) in Chapter 12 of the General Financial Rules, 2017 as amended from time to time.
- v. The Cash Handling and Treasury Allowance is to be granted from the date of issue of order of appointment as Cashier or from the date of furnishing security, whichever is later.
- vi. Not more than one official should be allowed the Cash Handling and Treasury Allowance in an office/Department.
- vii. Sanction should invariably be issued in the name of the person who is appointed to do the Cash work and for whom the Cash Handling and Treasury Allowance is sanctioned.

**(Authority: DoPT Circular No. 4/06/2017-Estt. (Pay-II) dated 18.01.2019)**

## **10.8 DUTIES OF CASHIER**

To sum up the duties of cashier can be summarized as below: -

All work connected with bank / Pay and Account Office.

1. Keeping the money in the chest under double lock at the close of each working day. One of the keys of the chest shall remain with the Sr.Audit Officer (Cash) / DDO .
2. Maintenance of cash book in accordance with the standing instructions.
- 3 Keeping track of the monthly pay bills with the Pay and Accounts Office for disbursement of pay and allowance etc. to the staff .
4. Entering each cheque, other than account payee cheque immediately on its receipts from the Pay & Accounts Office in the cash book and getting the entry attested by the DDO.
5. Entering all other cash transactions and payments to staff in the cash book as soon as these occur, close the cash book daily, verify the balances in hand (Cheques, cash, change, petty advances,

stamps etc.) with the balance struck in the cash book and also note details of the closing balances in the Cash Book itself. Reporting the discrepancies, if any, in writing, as soon as, notified to higher authorities.

6. Recovery from staff / officers in cash or through Acquaintance rolls in respect of CTD, NSCs and Benevolent Fund and depositing the same.
7. Maintenance of court attachment register and prompt remittance of the recoveries made to be concerned authority.
8. Maintenance of Demand Draft register, obtaining bank draft from bank and arranging for their quick dispatch.
9. Maintenance of Challan files / registers.
10. Maintenance of paid vouchers, acquaintance rolls etc.
11. Arranging quick dispatch of paid acquaintance rolls from where the bank drafts in respect of any official might have been received from payment to officer / staff working in the office.
12. General supervision of the Cash Branch including; (i) assistance to attached MTS as may be necessary; (ii) disposal of notes and correspondence of cash branch.
13. Preparing an analysis of cash book at the end of each month showing specific individual items which work up to the total amount of the balance in hand in the register of undisbursed items.
14. Any other work assigned by the Sr.Audit Officer (Admn) / DDO.

**Note:** After implementation of PFMS by the Central Govt., the Drawing and Disbursing Officer has been authorized to generate bills in electronic form through the designated payment IT portal/system of the PAO/CDDO [viz. Public Financial Management System (PFMS\*) for making payments to beneficiaries under Direct Benefit Transfer, provided that, where the claimant or departmental officer is required to prepare claim or bill in electronic form as the case may be, the e-claim or e-bill shall also be prepared in the form prescribed under the Receipt and Payment rules, 2022 in which the revision has been undertaken to consolidate all instructions and cater to new initiatives in receipts and payments in the light of end-to-end electronic processes of Government receipts, payments and its accounting in the Central Government. Bill and other forms including Last Pay Certificate (LPC) in the RPR were revised. Some new forms have been introduced. Both "CGA(R&P) Rules, 2022" as well as "Subsidiary \instructions to RPR, 2022" are made available on the website [www.cga.nic.in](http://www.cga.nic.in).

**\*Explanation:** "Public Financial Management System (PFMS)" means an integrated Financial Management System of Controller General of Accounts, of the Government of India, which provides end-to-end solution for finance related activities for processing payments, tracking, monitoring, accounting, reconciliation, reporting, receipt management, Direct Benefit Transfer, fund flow management including other features incorporated by Controller General of Accounts from time to time.

.....

## **CHAPTER-XI**

### **OTHER MATTERS RELATING OFFICERS / STAFF**

#### **11.1 OPENING OF PERSONAL FILE AND SERVICE BOOKS**

## **SERVICE ROLLS**

When a new recruit joins the office, his personal file and Service Book/Service Roll should be opened as soon as possible. The joining report and other declarations etc. furnished by him should be kept in his Personal File. The first page of the Service Book/Service Roll should be completed from the information supplied by the candidate. The entries regarding his appointment should also be made and got attested by the Sr. AO (Admn). Then personal file along with service books should be kept by Administration Section -II.

### **11.2 ENTRY IN SERVICE BOOK OF PRODUCTION OF MEDICAL CERTIFICATE OF FITNESS ON FIRST APPOINTMENT**

The medical Certificate of fitness furnished by a government servant is an important document and it should be kept in safe custody alongwith the other documents connected with his service career. However, an entry in his service book may be made under the signature of the Head of the office that he had furnished the medical certificate of fitness.

### **11.3 PROCEDURES FOR A CHANGE OF NAME BY GOVERNMENT SERVANT**

The ministry of Home Affairs O.M. No. 60/274-48/Estts. Dated 3<sup>rd</sup> November 1948 as amended vide O.M. No. 87/52-Estts. Dated 24<sup>th</sup> March, 1952 lays down the procedure for a change of name by Government employees. The Government recently had the occasion to review these instructions in light of experience in certain cases. It was found that the instructions are incomplete in so far as they do not cover certain situations. It has, therefore, been decided to adopt the following procedure in supersession of all previous orders on the subject:

#### **I. ALL CASES OF ADDITION/ DELETION OR CHANGE IN NAME/SURNAME**

- (i) A Government Servant wishing to adopt a new name or to affect any modification in his / her existing name may do so, formally by a deed changing his / her name. The sample deed form is enclosed.
- (ii) The execution of the deed should be followed by publication of the change in a prominent local newspaper as well as in the Gazette of India at the Government employee's own expense. The publication should in both cases, be undertaken by the Government servant himself at his own expense.

#### **II. ADDITION/ CHANGE IN SURNAME ONLY, ON ACCOUNT OF MARRIAGE/ REMARRIAGE OF A FEMALE GOVERNMENT EMPLOYEE.**

The following requirements may be met for this purpose:

- (i) If the government employee desires a change, she should give a formal intimation to her appointing authority of her marriage and request for a change in her surname.
- (iii) Particulars of the husband may be given for making necessary entries in the service Book.

#### **III. DELETION OF SURNAME OR REVERSION TO MAIDEN NAME ON DIVORCE / SEPARATION OR DEATH OF A FEMALE GOVERNMENT EMPLOYEE**

Change may be permitted if a female Government employee gives:

- (i) An intimation to the appointing authority regarding change in marital status: and

(ii) A formal request for reversion to her maiden name.

(Authority: GOI, Ministry of Personnel, Public Grievances & Pensions DOPT No. 19016/1/87-Estt (A) dated 12.03.1987).

#### 11.4 CHANGE OF RELIGION

Scheduled Caste – concessions are admissible to the members of scheduled Caste who profess Hinduism or Sikhism and consequently any change of religion other than Hinduism or Sikhism will deprive him of the eligibility for the concession admissible to the members of the Scheduled Caste. Consequently, it is necessary for such a person to give the declaration on change of religion. The procedure prescribed in the Ministry of Home Affairs Office Memorandum No. 60/274 /49 – Ests dated 3.11.1948 for reorganizing the change in the name of the Government servants may be followed for recognizing the change in the religion and the deed form prescribed there in may be used with suitable modifications.

#### 11.5 GRADATION LIST

Gradation list of Sr.AO (Comm.) and AAO (Comm.) is maintained by Hqrs. Office (CA-I section) and gradation list of civil officer/official upto Sr.AO is maintained by their cadre controlling authority i.e. Industry and Corporate Affairs New Delhi.

As per 10.13.1 of Comptroller and Auditor General's Manual of Standing Orders (Administrative) Volume I (Third Edition), this office is required to submit by the 15th June each year gradation lists of their offices showing as on 1st March the sanctioned strength in different cadres (upto supervisor level), the scales of pay and seniority of the different classes of employees on the Establishments of different cadres in the prescribed format.

In order to have uniformity, Hqrs office has directed vide circular No. 08/Staff Wing/2019 No. 291-Staff (Appt.)/451-2018 dated 21 Feb, 2019, the soft copy of gradation list is e-mailed to Hqrs office to the e-mail ID gen@cag.gov.in in the prescribed proforma (Annexure-A) in MS Excel format only. Instructions for preparing the soft copy of the gradation list is as per Annexure 'B'.

Details of officials in branch offices is also included in the gradation list of the respective cadre controlling authorities.

Timeline for forwarding the gradation list, as mentioned in para 10.13.1 of CAG's Manual Vol. I may be adhered to from 2019 onwards i.e. by 15th June each year

#### Annexure- "A"

| SL No . | Name | Educational Qualification | Professional Qualification | Category | DOB        | Date of Joining Govt. service | Date of Joining IAAD | Post in which initially joined in IAAD |
|---------|------|---------------------------|----------------------------|----------|------------|-------------------------------|----------------------|----------------------------------------|
| 1       | 2    | 3                         | 4                          | 5        | 6          | 7                             | 8                    | 9                                      |
|         |      | From drop down list       |                            |          | DD/MM/YYYY | DD/MM/YYYY                    | DD/MM/YYYY           | DD/MM/YYYY                             |
| 1       |      |                           |                            |          |            |                               |                      |                                        |
| 2       |      |                           |                            |          |            |                               |                      |                                        |
| 3       |      |                           |                            |          |            |                               |                      |                                        |
| 4       |      |                           |                            |          |            |                               |                      |                                        |
| 5       |      |                           |                            |          |            |                               |                      |                                        |

| Post in which confirmed | Date of confirmation | Date of promotion to current post | Date of passing SOGE/S AS Exam | Service Exam passed | Pay                       |     |                 | Remarks |
|-------------------------|----------------------|-----------------------------------|--------------------------------|---------------------|---------------------------|-----|-----------------|---------|
|                         |                      |                                   |                                |                     | Level                     | Pay | DNI             |         |
| 10                      | 11                   | 12                                | 13                             | 14                  | 15                        | 16  | 17              | 18      |
| DD/MM/YY<br>YY          | DD/MM/YYYY<br>Y      | DD/MM/YY<br>YY                    | DD/MM/YYYY                     | DD/M<br>M/YYYY<br>Y | From<br>drop<br>down list |     | DD/MM/YYYY<br>Y |         |
|                         |                      |                                   |                                |                     |                           |     |                 |         |
|                         |                      |                                   |                                |                     |                           |     |                 |         |
|                         |                      |                                   |                                |                     |                           |     |                 |         |
|                         |                      |                                   |                                |                     |                           |     |                 |         |

**Annexure- "B"**

**INSTRUCTIONS FOR PREPARING SOFT COPY OF THE GRADATION LIST:**

1. The Excel sheet e-mailed to the office alone may be used for preparing the soft copy
2. A separate sheet may be used for each cadre.
3. The Excel sheet has macros enabled. So please click the 'enable content' appearing after "SECURITY WARNING- Macros have been disabled" below the icon bar before starting data entry.
4. Information in columns-6, 7, 8, 11, 12, 13 & 17 are to be filled only in DD/MM/YYYYY format only.
5. Information in columns 3, 4, 5 & 14 are to be filled in only from the dropdown list. Columns 4, 5 & 14 allow multiple items to be selected in a cell.
6. For filling up information in column 3 on educational qualification, choose the highest qualification of the official from the drop-down list.

The values in the drop-down list are as follows:

|        |                                                                                      |
|--------|--------------------------------------------------------------------------------------|
| NG     | Non-graduate (Non-matriculate/Matriculate/Intermediate etc.)                         |
| Grd    | Graduates                                                                            |
| Bcom   | Bachelor of Commerce                                                                 |
| Grd IT | Degree in Computer Science/Computer Application/Information/ Technology              |
| PG     | Postgraduate                                                                         |
| Mcom   | Master of Commence.                                                                  |
| PG IT  | Post Graduate Degree in Computer Science/Computer Application/Information Technology |
| Phd    | Doctorate                                                                            |
| Dip IT |                                                                                      |

|           |                                                                                                      |
|-----------|------------------------------------------------------------------------------------------------------|
|           | Diploma or equivalent in computer Science/ computer Application/Information Technology               |
| PGD<br>IT | Post Graduate Diploma or equivalent in computer Science/ computer Application/Information Technology |

If the official has a qualification from commerce or IT related subjects, the relevant degree may be selected.

7. For filling up information in column 4 on professional qualification, choose from the list of qualifications in the drop-down list.

The values in the drop-down list are as follows:

|        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|--------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| MBA    | Master in Business Administration                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| CA     | Chartered Accountant                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| CS     | Company Secretaries of India                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| CMA    | Cost & Management Account (formerly ICWA)                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| CIA    | Certified Internal Auditor                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| CISA   | Certified Information System Auditor                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| CFE    | Certified Fraud Examiner                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| CISM   | Certified Information Security Management                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| CPA    | Certified Public Accountant                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| CFA    | Certified Financial Analyst.                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Others | Qualification of in respect of flowing courses may be mentioned in<br><br>Remarks column:<br><br>Post Diploma in Computer Science/Computer Application/Information Technology.<br>Diploma or equivalent in Computer Science Computer Application/Information Technology, Certificate in International Public Sector Financial Reporting (CIPSFR), NPTEL online Certificate courses on Information to Data Analytics", NPTEL online Certificate courses on "Information to R. Software" |

The cell will allow multiple selections. Therefore, all qualifications, as per qualification acquired by the official, may be selected.

8. Date of passing SOGE/SAS examination in column 13 may be filled in DD/MM/YYYY Date of

passing SAS Examination of the stream in which the official in bome is the current cadre may only be indicated (i.e. for a Civil Accounts passed candidate 50 AAO (Civil Accounts) joined subsequently in Audit office after passing SAS itind Audit), the date of passing SAS (Civil Audit) may be entered in the column).

9. For filling up information in column 14 on service examinations passed, choose from the list of examination in the drop-down list.

|     |                                                       |
|-----|-------------------------------------------------------|
| IE1 | Incentive Examination for Sr. Auditor/Sr. Accountants |
| IE2 | Incentive Examination for AAO/AO/Sr. AO               |
| SAS | SOGE/SAS Examination                                  |
| DEA | Departmental Examination for Auditor                  |
| DEC | Departmental examination for promotion to Clerks      |
| IT  | IT Audit Examination                                  |

The cell will allow multiple selections. Therefore, all service examinations qualified by the official may be selected.

10. Remarks column may be utilized to include miscellaneous information in respect of the person.

## 11.6 INSTRUCTIONS GOVERNING THE RETENTION OF NON GAZETTED PERSONS AGED 55 AND OVER

Cases of retention in service of Group B non- Gazetted and Group-C Government servants beyond the age of 55 years or completed the completed thirty years' service should be reviewed by a Committee .DG/PD shall decide the composition of Review Committees as well as Internal Screening Committees. As per Govt. of India, Ministry of Personnel, Public Grievances and Pensions, DoPT OM No. 25013/03/2019-Estt.A-IV dated 28.08.2020 time schedule given in the following table shall be followed for undertaking the exercise of review of performance of Government Servants.

| <b>Quarter in which review is to be made</b> | <b>Cases of Government servants, in the quarter indicated below to be reviewed</b> |
|----------------------------------------------|------------------------------------------------------------------------------------|
| January to March                             | July to September of the same year                                                 |
| April to June                                | October to December of the same year                                               |
| July to September                            | January to March of the next year                                                  |
| October to December                          | April to June of the next year                                                     |

Once the decision has been taken to retain a Government Servant beyond the age of 55 years in public interest, the employee concerned will continue in service till the age of compulsory retirement i. e 60 years (Group “B”& “C”). However, the appropriate authority subsequently considers that further retention in service of the Government servants will not be in public interest, that authority may take action to serve three months’ notice in terms of Clause (J) of F.R. 56 and retire the Government Servant; The intention is that while further review of all cases of employees

retained beyond 55 years of age may not be necessary as a matter of routine, action can be taken against individual on adverse cases coming to notice subsequently.

If medical opinion is considered necessary in a case and is obtained and if it is found to be adverse, the retirement will ordinarily become effective not from the date of medical examination but from the date of attainment of 55 years of age.

## **11.7 RULES REGULATING THE AGE OF SUPERANNUATION AND CONDITIONS OF SERVICE**

The rules regulating the age of superannuation of the terms and conditions of service may provide for the compulsory retirement of a government servant on his attaining the specific age or after completion of a specified period of service. In all such cases retirement is automatic and in the absence of specific orders to the contrary by the competent authority a government servant must retire on the due date. It is the responsibility of the administrative authorities concerned to ensure that the Government servants under their control so retire. The date of compulsory retirement of a government servant is known in advance and there should be no question of failure to make arrangements for his relief sufficiently in advance and complete any formalities required in that behalf. For this purpose, the authorities concerned should maintain a proper record of the dates of retirement of the Government Servants working under them and take appropriate action as may be necessary for their retirement on the due dates.

At the same time, a Government servant cannot take advantage of the non-receipt of formal orders regarding his relief etc. to say that he has been granted an extension of service. If not, he should bring the fact that he is attaining the age of superannuation or completing the period of service after which he has to retire, to the notice of the Head of the office in which he is serving or if he is himself the head of the office to that of his immediate superior. Unless he receives specific orders that he should continue in service he should make over charge on the due date to the head of the office (or such officer as may be nominated by the letter), or if he is himself the head of the office to the next senior most officer, in the office who would normally be placed in charge of the office in his absence.

**(Government of India, Ministry of Home Affairs O.M.No.33/6/56-Estt(A), dated the 10th of December 1956)**

## **11.8 OFFICIATING APPOINTMENTS FOR SHORT PERIOD**

- (1) The Director General will exercise powers to fill vacancies for 2 months duration or less in accordance with the procedure laid down below:
  - (a) Short term vacancies the duration of which exceeds one month may be filled in the normal manner by the authority competent to make appointment against the post.
  - (b) Officiating promotion in vacancies of one month's duration or less, should not, as a rule, be made, save in very exceptional circumstances, with the approval of the Head of the Department.
- (2) Such officiating arrangements will also be regulated by the following instructions in the matter of grant of extra remuneration to the promoted officers.

- (a) In cases which are covered, by F.R.49 additional pay as sanctioned may be granted only for a maximum period of three months as otherwise it would lead to the justifiable inference that the need for the second post in respect of which additional pay is drawn does not exist. If in any particular case it is desired that the additional pay should be continued for a longer period, the prior concurrence of this Ministry will be necessary
- (b) In cases where an officer is formally appointed to hold full charge of the duties of a higher post on the same establishment as his own, in addition to his ordinary duties, he can draw the pay that would be admissible to him if he was appointed to officiate in the higher post (unless the competent authority reduces his officiating pay under Fundamental Rule 35) but not additional pay.

Such officiating pay may be drawn for the entire period the dual arrangement lasts.

## **11.9 RESIGNATIONS/ VOLUNTARY RETIREMENT**

1. Persons who desire to resign must give one month's notice of their intention to do so. Those who wish to apply for appointments outside the office must necessarily obtain the permission of the Principal Director/Director General before doing so.
2. At any time after a Government servant has completed twenty years' qualifying service, he may, by giving notice of not less than three months in writing to the appointing authority, retire from service and in the case of such retirement the Government servant shall be entitled to a retiring pension calculated in accordance with rule 44.

## **FORFEITURE OF SERVICE ON RESIGNATION**

1. Resignation from a service or a post, unless it is allowed to be withdrawn in the public interest by the appointing authority, entails forfeiture of past service.
2. A resignation shall not entail forfeiture of past service if it has been submitted to take up, with proper permission, another appointment, whether temporary or permanent, under the Government where service qualifies.
3. The order accepting the resignation to join another appointment with proper permission and a specific entry to this effect shall also be made by the Head of office in the service book of the Government servant.
4. Interruption in service in a case falling under sub-rule(2), due to the two appointments being at different stations, not exceeding the joining time permissible under the rules of transfer, shall be covered by grant of leave of any kind due to the Government servant on the date of relief or by formal condonation to the extent to which the period is not covered by leave due to him.
5. The appointing authority may permit a person to withdraw his resignation in the public interest on the following conditions, namely:-
  - (i) that the resignation was tendered by the government servant for some compelling reasons which did not involve any reflection on his integrity, efficiency or conduct and the request for withdrawal of the resignation has been made as a result of a material change in the circumstances which originally compelled him to tender
  - (ii) that during the period intervening between the date on which the resignation became effective and the date from which the request for withdrawal was made, the conduct of the person

concerned was in no way improper.

- (iii) that the period of absence from duty between the date on which the resignation became effective and the date on which the person applies for permission to withdraw the resignation is not more than ninety days.
  - (iv) that the post, which was vacated by the Government servant on the acceptance of his resignation or any other comparable post, is available.
6. Request for withdrawal of a resignation shall not be accepted by the appointing authority where a Government servant resigns his service or post with a view to taking up an appointment in or under a private commercial company or in or under a corporation or company wholly or substantially owned or controlled by the Government or in or under a body controlled or financed by the Government.
  7. When an order is passed by the appointing authority allowing a person to withdraw his resignation and to resume duty, the order shall be deemed to include the condonation of interruption in service but the period of interruption shall not count as qualifying service.
  8. A resignation submitted for the purpose of rule 35 or rule 36 shall not entail forfeiture of past service under the Government.

**Authority : CCS Pension Rule 2021**

#### **11.10 SETTLEMENT OF OUTSTANDING DUES AGAINST PERSONS WHO SUBMIT RESIGNATION**

Before submitting any case to DG/PD for acceptance of resignation the demands outstanding against the person concerned should be ascertained by a reference to PC, Library and the G. D. Branch and mentioned in the note, which should clearly indicate whether the outstanding demands can be adjusted against the amounts due to the Government servant concerned.

#### **11.11 WITHDRAWAL OF THE IDENTITY CARD AND THE C.G.H.S. CARD ETC. FROM A RETIRING GOVERNMENT SERVANT**

When a government servant is compulsorily retired, removed or dismissed from Service or retires on superannuation it should be ensured that the Gratuity and Pension, if any, admissible to him are sanctioned in time, and all Government dues are recovered from him. Such a government servant must return the identity card, the C.G.H.S. Card and the library books.

Copies of all orders of compulsory retirement, removal or dismissal from service should invariably be endorsed to the section/authorities concerned for prompt action.

Suitable instructions in the matter should also be issued to the section dealing with disciplinary cases and also to the attached and subordinate offices.

(Authority: - O.M. N-o.F.117/10/67-AVD, 'dated the 10th January, 1968, from the Government of India, ministry of Home Affairs, New Delhi and Comptroller and Auditor General, endorsement No.188-NGE.III/108-66-II, dated the 20th January, 1968)

## **CHAPTER XII**

## **BUDGET**

### **12.1 PREPARATION OF BUDGET ESTIMATES**

In preparing the budget estimates, the Rules in paragraphs 67 to 75 of the Compilation of General Financial Rules and in paragraphs 348 to 359 of the Manual of Standing Orders (Administration.) Vol. I should be observed. Further instructions in the matter, in brief, issued by the Comptroller and Auditor General are embodied in the succeeding paragraphs.

### **12.2 DATE OF SUBMISSION OF BUDGET ESTIMATES**

Budget estimates for ensuing year and consolidated Revised Estimates for the current year are required to be prepared in prescribed forms in respect of the "Salaries and Allowances, including Traveling allowances, of Group 'A' officers, Group 'A' officers (Non-IAAS), Group 'B' officers and non-gazetted establishment; Wages, Office Expenses, Rent, Rates and Taxes, Grants-in-aid, Publications, Minor Works and other charges" (to be specified), and after approval by the Principal Director/Director General, sent to the Budget Section of the Headquarters office by 30th September each year / Date given by Hqrs. Each Year.

### **12.3 GENERAL INSTRUCTIONS REGARDING FRAMING OF ESTIMATES**

- (i) Revised Estimates for the current year (combined for permanent and temporary establishment) should be prepared on the basis of actual expenditure up to 31st August of the year and sanctioned strength (both regular and casual) as on 1st September of the year. Similarly, Budget Estimates for the ensuing year should be prepared on the basis of regular sanctioned strength as on 1st September of the year and should exhibit separately the provision (1) for all vacant posts and (2) such vacant posts as can be expected to be filled during the ensuing year.
- (ii) The provision for 'Men-in-position' as on 1st September of the year should be accurately estimated and any undue variations between the provision proposed for the remaining part of the year and the actual expenditure for the first six months of the years should suitably explained.
- (iii) No provision for additional posts is required to be made in the budget Estimates that will be included by the Headquarters office.
- (iv) No provision should be made for additional posts under the subhead 'Travel Expenses' and provision for vacant posts may be made only after taking into account the result of the examination referred to in (i) above.
- (v) The requirement under the head 'Salaries' (pay and allowances) should be computed with reference to salaries for the first six months (March to August), after making due allowance for any changes in the rates of pay and/or allowances announced during September as also provision for vacant posts likely to be filled from September onwards, and the requirement for other heads comprised on the basis of actual for five months. In other words the monetary estimates should be prepared with reference to the actual for the first five months of the current year and estimated provisions for existing and additional items, as above, for the remaining seven months of the current year and whole of the ensuing year.
- (vi) Full provisions for Group 'A' posts (Sr. Audit Officers) sanctioned in lieu of Indian Audit and Accounts Service officers should be made in the revised estimates of the current year and Budget Estimates of the ensuing year. In respect of IA & AS officers posts provision should be proposed for existing posts excluding those which are held in abeyance.
- (vii) Detailed justification duly supported by item-wise details in support of the provision proposed for 'Overtime Allowances' should be furnished. In respect of provision proposed under the head

‘Honoraria’ (a) detailed calculation of the amount proposed for various items of work covered by rates prescribed by the Headquarters’ office from time to time should be furnished and (b) provisions proposed on *ad hoc* basis should be supported by detailed justification.

- (viii) Utmost foresight should be exercised in framing the revised estimates and the provisions for September to March next should be restricted to the absolute minimum necessary, bearing in mind the administrative difficulties and possible delays in filling up the vacant posts, etc. and should not be more than is likely to be spent during the course of the year. It should be noted that once an inflated amount has been provided in the revised estimates later surrenders are not of much use.
- (ix) No monetary provision is to be made for non-duty posts like deputation reserve/shadow/supernumerary posts, posts held in abeyance, etc.
- (x) Variations between (a) the number of sanctioned posts under each category in the preceding and current years and (b) tentatively approved budget estimates, communicated by the Headquarters office, and the proposed Revised Estimates for the current year and (c) Budget Estimate for ensuing year should invariably be explained in a note appended to the estimates.
- (xi) Provision for special construction works and ancillary requirements, etc. as per Headquarters’ circular letter no 3006-BRS/405-85. III dated 16.07.1985 should be made under the sub-head ‘Minor Works’.
- (xii) The explanations for variations between the Budget Estimates and the Revised Estimates for the current year and Budget Estimates for the next year should invariably be furnished with the Budget Estimates.
- (xiii) According to the instructions of Government of India, the recoveries to be shown in reduction of expenditure are to be confined to recoveries from Ministries/Departments of Central Government. All recoveries from the State Government and from non-government entities are to be treated as Revenue Receipts and should not be shown as recoveries.

(Authority: C & A.G.’s letter No. 3100-BRS/422-85. I dated 2-8-1985)

## **12.4 UNFORESEEN EXPENDITURE TO BE MET FROM SAVINGS ONLY**

In case of unavoidable unforeseen expenditure, concrete savings in the sanctioned estimates from which the extra cost can be met have to be indicated. Where there are no savings, proposals for additional allotment of funds should be sent to Headquarters office and expenditure incurred there-against only on receipt of sanction to the above proposals. This should, however, be resorted to sparingly and in cases of proven necessity alone.

## **12.5 ROUNDING OFF FIGURES IN BUDGET ESTIMATES**

All figures should be worked out to the nearest rupees in preparation of the estimates. The figures in form should, however, be given to the nearest hundred rupees and those in the grand totals to the nearest thousand rupees.

## **12.6 CONTROL OVER EXPENDITURE**

In order to ensure that approved provisions under various sub/detail heads are adhered to, it is essential to maintain a close watch over the flow of expenditure right through the year. It has, accordingly, been prescribed that, starting from April, monthly reviews of expenditure indicating provision for the year, progressive actual expenditures at the end of the month, requirement of funds for the rest of the year worked out and total requirement for the year in respect of each sub/detail head should be prepared in

the prescribed forms and submitted to the Principal Director/Director General for his information and orders, if any.

Variations between the approved provisions and total requirements for the year, worked out as above, should be suitably explained in the remark column of the review of expenditure. The figures of actual expenditure shown in the monthly reviews should be worked out with the help of bill registers maintained by the P.C. sections and reconciled with those appearing in the books of the P.A.O. Discrepancies noticed in the process of reconciliation should be quickly analyzed and adjusted and none should remain outstanding after the close of March accounts.

## **12.7 QUARTERLY RETURNS REGARDING ACTUAL EXPENDITURE**

The quarterly return of Review of Expenditure for the quarter ending on 30th June, 30th September, 31<sup>st</sup> December and 31st March should be sent to the Government of India, Ministry of Finance, Department of Expenditure, Pay Research Unit, Room No. 512, 'A' wing, Lok Nayak Bhawan, Khan Market, New Delhi- 110003 by the prescribed date positively endorsing a copy of the return to the Headquarters office.

Following instructions should be kept in view in submission of the quarterly return:

- (i) The return is to be submitted for the quarter ending June, September, December and March of the financial year duly consolidated for Plan and Non-Plan Expenditure and filled item wise as shown in the prescribed proforma.
- (ii) Allowance paid to (a) non-regular employees such as extra departmental agents in the P&T, Postal/Telecom on trainees., daily rates staff or the casual employees, etc. (b) expenditure incurred on awards, stipends, prizes, etc.(c) expenditure incurred from contingencies and (d) other charges are not to be reported.
- (iii) The nature of allowances reported under, "Other Compensatory Allowance" are to be clearly specified.
- (iv) Usage of abbreviations is to be avoided in the return.
- (v) Under column 3, the actual expenditure incurred on the item upto the quarter ending, i.e. the progressive total which will be equal to the total of the current quarter and that of the previous quarter (s) of the financial year under reference is to be reported.
- (vi) The returns in respect of the field/Regional Offices are to be duly consolidated by the Head Office and the consolidated return only is to be sent to the pay Research Unit.
- (vii) The returns for the 1st, 2nd, 3rd and 4th quarter are to reach the pay research unit of the Ministry of Finance by 10<sup>th</sup> July, 10<sup>th</sup> October, 10<sup>th</sup> January and 10<sup>th</sup> April respectively.

**(Authority: Letter No. 119-staff (JCM)/ 20-2020 dated 27/05/2020 circulated vide Circular No. 17-staff (JCM)**

\*\*\*\*\*

## **CHAPTER XIII**

## **CALENDAR OF RETURNS**

### **13.1 CALENDAR OF RETURNS (COR)**

Every wing of office will maintain a Calendar of Returns, showing all statements, returns, accounts, etc. due from sections under the charge of Group Officers as per the scheduled periods and dates for submission and dispatch i.e. fortnightly, monthly, quarterly, half-yearly or annually. In the case of delay in the submission of any return an explanation should be given in the last column.

### **13.2 IMPORTANCE OF CALENDAR OF RETURNS**

The Calendar of returns is an important control mechanism for ensuring accurate and timely disposal of work by staff. Accordingly, it should be submitted by each section head to the Branch Officer and subsequently submitted to Group Officer every month for review. Branch Officer may ensure the following points: -

1. that all the returns (both inward and outward) are included in the Calendar of Returns and the same is certified by the Branch Officers.
2. that the Calendar of Returns is submitted to the Branch Officer regularly at prescribed intervals so that the purpose of return is fulfilled.
3. That the section head ensures the correctness of the entries of dates in the Calendar of Returns.
4. The Branch Officers should test-check the dates at the time of every submission of the Calendar of Returns in such a manner that each item of the Calendar of Returns comes under test check once in a year.
5. Proper justification should be submitted to the Group officer in case of a delay in submission of any return.

### **13.3 INSTRUCTIONS REGARDING COR**

As the Calendar of returns is an important control document it should be submitted by the AAO of each section to the Branch Officer every week on Monday. Branch Officer may ensure: -

- (i) that the calendar of Returns is used as a control mechanism and that its submission is not left to the whims of the staff working under them.
- (ii) that all the returns (both inward and outward) are included in the Calendar of Returns and the same is certified by the Branch Officers.
- (iii) that the Calendar of Returns is submitted to the Branch Officer at prescribed interval and punctually so that its submission does not degenerate into a meaningless ritual.
- (iv) that the AAO remains personally responsible to make entries of dates in the Calendar of Returns.
- (v) that the Calendar of Returns is received once a week by the Branch Officer In-charge for review and the results of the review are recorded in the Calendar of Returns. The Branch Officers should test-check the dates at the time of every submission of the Calendar of Returns in such a manner that each item of the Calendar of Returns comes under test check once a year. The Calendar of Returns should also be submitted monthly for review to Deputy Director/ Director/ Principal Director / Director General and test checked periodically by Internal Test Audit (ITA) Section.

### **13.4 ADDITION/DISCONTINUANCE OF RETURNS FROM CALENDAR OF**

## RETURN

Any addition or deletion in Calendar of Returns forwarded to Ministries/Headquarter/Other offices must be made only on receipt of orders by respective authority. Addition or deletion of report/return from Calendar of Returns will be done after the approval of Head of Department.

### 13.5 DELAY IN SUBMISSION OF RETURNS

AAO/Sup are expected to let the Branch Officer know in good time whenever there is any apprehension that a return is likely to be delayed; and the Branch Officer when he receives such a report is expected to make special arrangements to secure its punctual submission. When the Branch Officer finds it impossible to make such arrangements the matter should be reported to the Group Officer/ Director General / Principal Director in advance.

### 13.6 DISCONTINUANCE OF PRESCRIBED RETURNS ETC.

Returns, etc. which have been prescribed by the Principal Director / Director General must not be discontinued without express orders of the Principal Director / Director General obtained in writing.

### 13.7 UNIFORMITY IN REPORTS / RETURNS OF ADMINISTRATION SECTION

To bring out uniformity in all reports/returns processed in this office and to have efficient internal control by branch officers through calendar of returns, all reports/returns forwarded from section to section by their co-ordination head to consolidation wings have been reviewed by the competent authority.

Competent Authority has approved the following returns in addition to the 27 returns due to Staff Wing in Headquarters' office circulated vide Circular No. 17/Staff (JCM)/2020 issued vide No. 119-Staff (JCM)/20-2020 dated 27.05.2020, after considering the suggestions given by the Branch officers.

**Returns submitted to C & AG (in addition to 27 returns due to Staff Wing in Headquarters' office circulated vide Circular No. 17/Staff (JCM)/2020 issued vide No. 119-Staff (JCM)/20-2020 dated 27.05.2020)**

| SL . | Name of Return | HQ Reference (Authority) | Report No. | Submit to whom | Frequency | Submitted to CAG by | Due Date of Submission |
|------|----------------|--------------------------|------------|----------------|-----------|---------------------|------------------------|
|------|----------------|--------------------------|------------|----------------|-----------|---------------------|------------------------|

|   |                                                                                                                                                                               |                                                                                            |      |                          |        |         |                            |
|---|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|------|--------------------------|--------|---------|----------------------------|
| 1 | Prime Ministers New 15-point programme for the welfare of minority Communities measures to give special consideration to minorities in recruitment. Certification of Accounts | Circular No. 14 staff wing/2013 letter No.851-staff (AppII)/71-2013/Vol.I dated 31.05.2013 | A 21 | Staff (Appt)-II Section  | Yearly | Admin-I | 20 <sup>th</sup> April     |
| 2 | Annual returns regarding information of SC/ST/OBC/P H as on 01.01....                                                                                                         | DoPT O.M. No. 43011/297/2010-Estt. (Res.)dated 15.10.2012                                  | A 31 | Staff (Appt)-III Section | Yearly | Admin-I | 1 <sup>st</sup> January    |
| 3 | Gradation List                                                                                                                                                                | Para 10.13 of CAG's MSO (Admn.)Vol-I                                                       | A 32 | Staff (Appt)-III Section | Yearly | Admin-I | 15 <sup>th</sup> June      |
| 4 | Monetary Estimates of inclusion in REs & BEs                                                                                                                                  | Circular to the field office issue every year                                              | B 01 | Budget Section           | Yearly | Admin-I | 15 <sup>th</sup> September |
| 5 | REs & Bes in respect of MH 7610-Loans and Advances to Govt. Servants                                                                                                          | 4271-BRS/HBA/91-2010 dated 16.08.2010                                                      | B 04 | Budget Section           | Yearly | Admin-I | 28 <sup>th</sup> September |

|    |                                                                                                                   |                                                                                                      |      |                              |        |         |                               |
|----|-------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|------|------------------------------|--------|---------|-------------------------------|
| 6  | Annual Returns on Appeals, Memorials, petitions addressed to C&AG but withheld by PAGs/AGs/PD A                   | Circular No. 16/NGE/1994 - dated 01.03.1994                                                          | D 11 | Staff (Discipline-I) Section | Yearly | Admin-I | 30 <sup>th</sup> april        |
| 7  | Annual Returns on CCS (Conduct) rules for sexual harassment of working women in IA & AD                           | Circular No. 09-Sta (Disc.I)/17-2015 dated 31.03.2015                                                | D 12 | Staff (Discipline-I) Section | Yearly | Admin-I | 2 <sup>nd</sup> week of April |
| 8  | Submission of documents of Annual Account of recognized Associations to the Head Quarters office                  | Head Quarter Circular No. NGE/13/2008 issued vide letter No. 274-NGE(JCM)/27-2006/V dated 18.05.2008 | J 01 | Staff (JCM) Section          | Yearly | Admin-I | 1 <sup>st</sup> July          |
| 9  | Information regarding number of civilian posts, pay bands, grade pay etc.(as on 1 <sup>st</sup> March every year) | CAG UO No 179/93/RC/PAC/2018-19 dated 06.11.2018                                                     | S 01 | SSR Section                  | Yearly | Admin-I | 10 <sup>th</sup> April        |
| 10 | Strengthening of Administration Periodical review under 56 (J) and Rules of CCS (Pension) rules 1972.             | No.115-Staff Entt.-II/10-2016 dated 11.11.2016                                                       | —    | CAG (Staff. Entt.)           | Yearly | Admin-I | 10 <sup>th</sup> April        |

|    |                                                                                                                                     |                                                               |      |                                |             |         |                            |
|----|-------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------|------|--------------------------------|-------------|---------|----------------------------|
| 11 | Annual report on office Council meetings held in office                                                                             | No.31-staff (JCM)/2021 dated 16.08.2021                       | —    | CAG (Staff. Entt.)             | Yearly      | Admin-I | 1 <sup>st</sup> April      |
| 12 | Annual Progress Report on revision/updati on of Local Manuals                                                                       | No. 169-PPG/20-2016 dated 30.06.2017                          | —    | PPG                            | Yearly      | Admin-I | 15 <sup>th</sup> April     |
| 13 | Return on RTI                                                                                                                       | 959-RTI/01-2008,30.07.2014                                    | —    | CAG                            | Yearly      | Admin-I | April                      |
| 14 | Loan & Advance Return regarding Statement No. 3 of Union Govt. Accounts                                                             | PAG/Audit A/c compl.Fin.A/C/2018-19 to 2020-21/14             | —    | PAG                            | Yearly      | Admin-I | May                        |
| 15 | Grant of Special Casual leave to the employees under the delegated powers of Head of the Department                                 | Circular No.14/NGE/9 No. 271-NGE (App)/21-99 dated 09.03.1999 | E 22 | Staff (Entitlement-II) section | Half Yearly | Admin-I | 10th of July/10th of Jan.  |
| 16 | Hiring of Retired Personnel Admn.7(389)/09-10/Vol-II assessment of field audit office (in lieu of Ranking Parameters annual return) | 150 staff (aoo)/22-2012 dated 10.03.2015                      | —    | CAG                            | Half Yearly | Admin-I | 10th of April/10th October |
| 17 | Vigilance cases of Gazetted & non-Gazetted staff DDCA/PA/CV                                                                         | 150-staff (Disk-II)/09-2011 dated 29.06.2017                  | —    | CAG                            | Half Yearly | Admin-I | 10th of July/10th of Jan.  |

|    |                                                                                                                                               |                                                                                               |   |                   |             |         |                            |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|---|-------------------|-------------|---------|----------------------------|
|    | C/NGO/84                                                                                                                                      |                                                                                               |   |                   |             |         |                            |
| 18 | Vigilance cases of Group A & B officers                                                                                                       | 1857/CA-I/2006 dated 20.11.20008 & 205/CA-I/ Half Yearly Return/29-2022/VoII dated 03.07.2023 | — | CAG               | Half Yearly | Admin-I | 15th of July/15th of Jan.  |
| 19 | Intimation of Excess vacancies to Hqrs office regarding Compassionate Appointments                                                            | Circular No.14-52 staff.Entt.(Rules)/AR/02-2021 dated 20.04.2022                              | — | Staff (Entt)Rules | Half Yearly | Admin-I | 10th of April/10th October |
| 20 | Forwarding of Application of candidates considered FIT by DSC and willing to be considered against available vacancies in other field offices | Circular No.14-52 staff.Entt.(Rules)/AR/02-2021 dated 20.04.2022                              | — | Staff (Entt)Rules | Half Yearly | Admin-I | 15th of April/15th October |
| 21 | Return of disciplinary cases of Gazetted & Non- Gazetted employees.                                                                           | Circular No. 12-Staff (Disc.I)2023 dated 11.04.2023                                           | — | CAG               | Half Yearly | Admin-I | 15th of July/15th of Jan.  |

|    |                                                                                                                                                                                                                  |                                                                                                      |      |                                      |           |         |                                                                                        |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|------|--------------------------------------|-----------|---------|----------------------------------------------------------------------------------------|
| 22 | Statement of Actual Expenditure incurred on Pay and various types of allowances of central Govt. Employees File No. Admn./4-9/MMIS/2016                                                                          | M/o Finance, GOI OM No. F. No-11 (1) 88 PRU dated 29.07.1988                                         | B 06 | Budget Section & Ministry of Finance | Quarterly | Admin-I | Within one month of the close of every quarter 10th of the month following Qtr. Ending |
| 23 | Guidelines to ensure effective check inn settlement off abstract Contingent bills, Allowances for TT/LTTC and timely remittance of the receipts in Govt. accounts for prudent management of the allocated funds. | Circular No. 11, letter No. 30-Staff (Entt.I)/122-2015 dated 15.04.2015                              | E 11 | Staff (Entitlement-I) Section        | Quarterly | Admin-I | 10th of the month following the quarter                                                |
|    | Prompt settlement of terminal claims and other complaints of retiring staff                                                                                                                                      | Circular No. 10/NGE/10-91 issued vide letter No.339-NI/100-91 dated 15.02.1991                       | E 23 | Staff (Entitlement-II) Section       | Quarterly | Admin-I | 15th of the month following the quarter                                                |
| 25 | Revision of pension of pre-2016 pensioners/family pensioners                                                                                                                                                     | Circular No. 38-staff Entt.II/2017 issued vide letter No.153-staff Entt. II/21-2017 dated 23.08.2017 | E 25 | Staff (Entitlement-II) Section       | Quarterly | Admin-I | 10 th of the month following the quarter                                               |

|    |                                                                                                                                                   |                                                                                          |      |                |           |         |                                          |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|------|----------------|-----------|---------|------------------------------------------|
| 26 | Quarterly report on civil suits/writ petition/original applications etc.                                                                          | As per Hqrs Letter 1401/Legal cell /208-2020 dated 13.12.2023                            | —    | CAG            | Quarterly | Admin-I | 15 th of the month following the quarter |
| 27 | Review of cases relating to Group- B Officers under FR-56(j) DCA/52-85/Gr,B/08-09/Vol-II                                                          | Hqrs letter No. 313/333-2006 dated 11.04.2008                                            | —    | CAG            | Quarterly | Admin-I | —                                        |
| 28 | Return On Right to Information (RTI)                                                                                                              | Hqrs letter No. 959-RTI/01-2008 dated 30.07.2014                                         | —    | CAG            | Quarterly | Admin-I | April, July, October, January            |
| 29 | Review of expenditure in respect of Group B officers and non-Gazetted staff. File No. Admn./5-2/ROE/15-16                                         | 3288-BRS/15-84II dated 03.08.1984                                                        | B 07 | Budget Section | Monthly   | Admin-I | 10 th of following the month             |
| 30 | Statement of expenditure in respect of loans of Govt. Servants from October to March                                                              | 4271-BRS/HBA/91-2010 dated 16.08.2010                                                    | B 08 | Budget Section | Monthly   | Admin-I | Oct-March                                |
| 31 | Monthly sanctioned strength and Person in position in respect of all cadres and EDP staff and Canteen Staff with details of post held in abeyance | Circular No. 15-BRS/2009 issued vide letter No. 1530/09/BRS /SS/2008-09 dated 16.04.2009 | S 02 | SSR Section    | Monthly   | Admin-I | 10 th of following the month             |

|    |                                                                                                            |                                                                      |   |                  |         |          |                            |
|----|------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|---|------------------|---------|----------|----------------------------|
| 32 | Information regarding cases in Supreme Court where CAG is the first respondents. Admn.(615)/L IMBS/2019-20 | Letter No. 988-LC/208-2020 dated 04.11.2022                          | — | CAG              | Monthly | Admin-I  | 3rd of the following month |
| 33 | Monthly Organisation Chart of Senior Audit Officers 7 Assistant Audit Officers of Commercial Cadre         | I/06/2023/Or g. chart dated 30.01.2023                               | — | CAG CA-I section | Monthly | Admin-I  | 05th of every month        |
| 34 | Monthly Chart of No. of promotion                                                                          | Sr.AO Staff Appt.III email dated 02.08.2023                          | — | CAG ( Appt.III)  | Monthly | Admin-I  | 01 of every month          |
| 35 | Updation and maintenance of Service Books                                                                  | Hq letter No.436/41-11/Insp(Act-14)2020 dated 20.10.2020 I & PR Wing | — | CAG              | Yearly  | Admin-II | 30th April                 |
| 36 | Information regarding membership position of Sr.Aos/AAO( Comm.)                                            | Hqrs letter No.448/CA-I/76-2007 dated 19.05.2008                     | — | CAG              | Yearly  | Admin-II | 5th August                 |
| 37 | Details of GP Fund Advance/With drawal Sanction during the Year                                            | Letter No.PAO(Fund)/Annual return /2007-08/819 dated 22.02.2008      | — | PAO (Fund)       | Yearly  | Admin-II | 1st week of April          |

|    |                                                                                             |                                                                                            |   |                           |             |           |                           |
|----|---------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|---|---------------------------|-------------|-----------|---------------------------|
| 38 | Acknowledgement of permanent advance Sanctioned to the Office                               | Cir. No. 12/staff Entt./2014 issued letter no.56-staff Entt.II/19-2003(I) dated 18.02.2014 | — | Hqrs CAG staff (Entt.-II) | Yearly      | Admin-II  | 10th April                |
| 39 | Disaster Management Plan                                                                    | 37-Estate/38-2007 dated 12.02.2008                                                         | — | CAG                       | Half Yearly | Admin-III | 31st January & 31st July  |
| 40 | Updating information regarding supply of Govt. of India Calendar and Diaries for every year | Circular No. 329/NGE (disc.) 23-2007 dated 16.05.2007                                      | — | CAG                       | Yearly      | Admin-III | 10th July                 |
|    | Monthly Progress Report                                                                     | O.M. dated 27.07.2016 RS 9-3/MPR/2016-17/378                                               | — | Report Section            | Monthly     | Admin-IV  | First Week of Every month |
| 42 | Monthly Absentee                                                                            | O.O. no. 292/Admn./59/1-18 dated 19.11.1973                                                | — | Admin-II                  | Monthly     | Admin-IV  | 20th of every month       |
| 43 | E-office Monthly Progress Report                                                            | Hqrs letter No. I/82082/2022/42-2016/ISW/not e6 Dated 22.02.2022                           | — | Hqrs office               | Monthly     | Admin-IV  | 20th of every month       |
| 44 | OIOS                                                                                        | Hqrs Email dated 29.10.2021 & recent email dated 04.05.2023                                | — | Hqrs office               | Monthly     | Admin-IV  | 5th of every month        |

|    |                                                                                                             |                                                             |   |                                        |             |               |                                           |
|----|-------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|---|----------------------------------------|-------------|---------------|-------------------------------------------|
| 45 | Training to Sr.AO/AAO/A AO(P) Commercial for audit of specified Industries. Trg./1-16/96-97                 | 522/CA-IV/5-2007 dated 28.12.2007                           | — | CAG                                    | Quarterly   | Admin-IV      | By 10th of April, July, October & January |
| 46 | Return On In-house Training Programme Admn-III/-I/2016-17                                                   | 225-35/Trg.Div./2013 dated 28.03.2013                       | — | CAG                                    | Quarterly   | Admin-IV      | By 10th of April, July, October & January |
| 47 | Payment of Honorarium regarding Trainings Trg./1-17/2004-05/Vol.-I                                          | 929-NGE(Estt.) 40-86 dated 18.12.1996                       | — | CAG                                    | Half Yearly | Admin-IV      | By 10th of April & October                |
| 48 | Performance Assessment of Field Audit Officers                                                              | —                                                           | — | Report                                 | Yearly      | Admin-IV      | Ist week of July                          |
| 49 | Training Need Analysis                                                                                      | Hqrs letter dated 22.08.2022                                | — | RTC/RTIs                               | Yearly      | Admin-IV      | 30th November                             |
| 50 | List of Govt.servant due to retire within 12-18 months for preparation of pension cases File No. 36-I/72-78 | PAO No. 114-Staff Entt.(Rule)/A.R./05-2015 dated 29.09.2015 | — | PAO/DA CR                              | Half Yearly | Admin-I       | St January & 1st July                     |
| 51 | Monthly reconciliation of expenditure with PAO                                                              | —                                                           | — | PAO                                    | Monthly     | Admin-I       | As and when received from PAO             |
| 52 | अनुपस्थिति विवरण हिंदी ) / (1)8/अनुभाग 22-2021                                                              | —                                                           | — | वरिष्ठ लेखापरीक्षा अधिकारी ) प्रशासन ( | Monthly     | Hindi Section | प्रत्येक माह की 10तारीख                   |

|    |                                                                             |                                                     |   |                                        |             |               |                                        |
|----|-----------------------------------------------------------------------------|-----------------------------------------------------|---|----------------------------------------|-------------|---------------|----------------------------------------|
| 53 | ई-office से सम्बंधित प्रतिवेदन हिंदी अनुभागई/9)8/-office रिटर्न2023/        | File No./552/eoffice/2017/2689-12702 Dt.-01.03.2023 | - | वरिष्ठ लेखापरीक्षा अधिकारी ) प्रशासन ( | Monthly     | Hindi Section | प्रत्येक माह की 07 तारीख               |
| 54 | तिमाही बैठक एजेंडा एवं मिनट्स प्रशा-18/.015 2/2                             | 1700/रा.भा.अ./37-2010 दिनांक 21.11.2012             | - | मुख्यालय                               | Quarterly   | Hindi Section | 31/30 अप्रैल, जुलाई, अक्टूबर एवं जनवरी |
| 55 | हिंदी के प्रगामी प्रयोग से सम्बंधित तिमाही प्रतिवेदन प्रशा-6/.15 20/7       | 302/रा.भा.अ./51-2015 दिनांक 28.03.2016              | - | मुख्यालय                               | Quarterly   | Hindi Section | 31/30 अप्रैल, जुलाई, अक्टूबर एवं जनवरी |
| 56 | हिंदी शिक्षण योजना से सम्बन्धित अर्धवार्षिक प्रतिवेदन प्रशा-18/.06/13       | -                                                   | - | राजभाषा विभाग                          | Half yearly | Hindi Section | 31/30 अप्रैल एवं अक्टूबर               |
| 57 | नगर राजभाषा कार्यान्वयन समिति की अर्धवार्षिक रिपोर्ट शा.III//735 नराकास2021 | -                                                   | - | नराकास ) दिल्ली मध्य (1                | Half yearly | Hindi Section | 31/30 अप्रैल एवं अक्टूबर               |
| 58 | हिंदी के प्रगामी प्रयोग से सम्बन्धित वार्षिक प्रतिवेदन प्रशा-2015/7-6/      | 302/रा.भा.अ./51- 2015 (दनांक 28.03.2016             | - | मुख्यालय                               | Annually    | Hindi Section | 30अप्रैल                               |
| 59 | वार्षिक मूल्यांकन रिपोर्ट प्रशा1(10)19/-8 2012/05/22                        | 302/रा.भा.अ./51- 2015 (दनांक 28.03.2016             | - | मुख्यालय                               | Annually    | Hindi Section | 30जून                                  |
| 60 | मौलिक पुस्तकों                                                              | 1353/रा.भा.                                         | - | मुख्यालय                               | Annually    | Hindi         | 30अप्रैल                               |

|    |                                                                      |                                      |   |          |          |                  |                                                 |
|----|----------------------------------------------------------------------|--------------------------------------|---|----------|----------|------------------|-------------------------------------------------|
|    | से सम्बन्धित<br>पुरस्कार योजना                                       | अ./55-<br>2000 (दनांक<br>20.10.2000) |   |          | y        | Section          |                                                 |
| 61 | राजभाषा<br>संबंधी इनपुट<br>हिंदी<br>अनुभागराजभा/<br>षा<br>2024/इनपुट | -237<br>रा. भा. अ25/.<br>2020-       | - | मुख्यालय | Annually | Hindi<br>Section | मुख्यालय<br>कार्यालय<br>द्वारा मांगे<br>जाने पर |

**B – Registers to be submitted from section (Admin-I) to the Principal Director/  
Director/Dy. Director / Sr.AO**

| Sl. No. | Particular's                                                         | To whom Due      | When Due                                                   |
|---------|----------------------------------------------------------------------|------------------|------------------------------------------------------------|
| 1.      | Grievances of SC/ST employees                                        | Director(Admn.)  | Quarterly                                                  |
| 2       | Fidelity Guarantee (cashier)                                         | Director (Admn.) | As & when arises                                           |
| 3       | HBA                                                                  | Director(Admn.)  | Monthly                                                    |
| 4       | Computer Advance                                                     | Director (Admn.) | Monthly                                                    |
| 5       | NFU cases arising in following month in r/o AAO                      | Sr.AO (Admn.)    | Monthly                                                    |
| 6       | NFU cases arising in following month in r/o Supervisor               | Sr.AO (Admn.)    | Monthly                                                    |
| 7       | MACP cases arising in following month in r/o Gazetted & NON-Gazetted | Sr.AO (Admn.)    | Monthly                                                    |
| 8       | Details of various types of Complaints received in this office       | Dir. (Admn.)     | Monthly                                                    |
| 9       | Physical verification of report of library books                     | DG/PD            | As and when required<br>Authority Rule 215<br>of GFR, 2017 |

.....

## **CHAPTER 14**

### **MISCELLANEOUS**

#### **14.1 REQUISITION FOR ORIGINAL DOCUMENTS/RECORDS OR SUMMONS TO MEMBERS OF THIS OFFICE**

Letters from courts or other departmental officers containing requisitions for original documents, Audit Inspection Reports of other records will be dealt in by Admn section of this Office. Summons

to members of staff for giving evidence in their official/private capacity are served and dealt with by Administration Section.

#### **14.2 DISPOSAL OF DISCIPLINARY CASES ETC.**

DOPT, Ministry of Personnel, Public Grievances & Pension Om no. 425/04/2012-AVD-IV(A), Dated 29.11.2012 has issued guidelines for expeditious disposal of the disciplinary proceeding cases.

#### **14.3 ESTABLISHMENT OF CENTRAL ADMINISTRATIVE TRIBUNAL**

The Central Administrative Tribunal with its Principal Bench and two Additional Benches at New Delhi and further Additional Benches at Allahabad, Mumbai, Kolkata and Chennai and other places has started functioning from 1st November, 1985. It has been established as a measure to provide speedy and inexpensive relief to the Government servants in the matter of deciding their complaints and grievances on recruitment and conditions of service. On and from the date 1-11-1985 all the jurisdiction, powers and authority exercisable immediately before the date of establishment of the Administrative Tribunal by all Courts (except the Supreme Court) in relation to recruitment and matters relating to all service matters in respect of officers belonging to All India Services or of members of the Civil Service of the Union or holding a civil post under the Union or a Civil post connected with defense shall vest with the Tribunal. As a corollary, on and from 1-11-1985 no Court (except the Supreme Court) shall have or to be entitled to exercise any jurisdiction, power or authority in relation to recruitment or matters concerning such recruitment or such service matters.

Central Government Counsels have been appointed to defend the cases on behalf of Government of India. However, under the provision of Section 23(2) of Administrative Tribunal Act 1985 the Central Government may appoint any person (not necessarily a legal practitioner) to act as a presenting officer with the prior approval by the Department of Personnel and Training.

The orders passed by the Tribunal shall be final and binding on both the parties. The orders of the Tribunal should comply with the time limit prescribed in the order or within six months of the receipt of the order where no such time limit is indicated in the order.

**(Authority: GOI Min. of Personnel & Training (DOPT) No. A-11019/37/85-AT dated 13-8-1985)**

#### **14.4 POINTS OF CONDUCT AND ETIQUETTE FOR THE GUIDANCE OF WITNESSES APPEARING BEFORE PARLIAMENTARY COMMITTEES OR THEIR SUBCOMMITTEES**

The witnesses should note the following points while appearing before a parliamentary Committee:

1. Due respect to the Chairmen and the Committee/Sub-committee should be shown by the witness by bowing while taking his seat.
2. The witness should take the seat earmarked for him opposite to the seat of the Chairman.
3. The witness should take the oath, or make affirmation if so asked by the Chairman. The oath or affirmation will be administered by the secretary. The witness will take the oath or make affirmation standing in his seat and bow to the Chair just before taking the oath or making the

affirmation immediately afterwards.

4. The witness should answer specific question put to him either by the Chairman, or by a member of the Committee or by any other person authorized by the Chairman. The witness may be asked to place before the Committee any other points that have not been covered and which a witness think are essential to be placed before the Committee.
5. All submissions to the Chairman and the Committed should be couched in courteous and polite language.
6. When the evidence is completed and the witness is asked to withdraw, he should, while leaving, bow to the chain.
7. The witness should not smoke or chew when he is seated before the committee.
8. Subject to the provisions of Rule 270 of the Rules of Procedure and Conduct of Business in the Lok Sabha, the witness should note that the following acts shall constitute breaches of privilege and contempt of Committee.
  - (a) Refusal to answer questions.
  - (b) Pre verification or willfully giving false evidence or suppressing the truth or misleading the committee.
  - (c) Trifling with the committee; returning insulting answers.
  - (d) Destroying or damaging martial documents relative to the enquiry.

#### **(C.S.C.(Conduct) Rule 10 (1))**

### **14.5 TENDERING EVIDENCE BEFORE THE ADMINISTRATIVE REFORMS COMMISSION**

The Govt. servant who are interviewed by the Commission are free to give frank expression to their personal views vide rule (3) of the C.C.S. (Conduct) Rules. No permission of the Government or of the Head of the Department is required for the purpose. But evidence tendered by the Commission should not be given publicity as that would amount to public criticism of government or unauthorized communication of information vide Rule 9&11 of the C.C.S(Conduct)Rules 1964.

Government servants are also free to submit memoranda, of their own accord direct to the Commission on any subject included in their terms of reference. In such memoranda, Government servant can give frank expression to their personal views, but the view so expressed should not be given any publicity. Care should also be taken to ensure that such memoranda do not reach any person/authority other than the Commission.

**(Authority: M.H.A., O.M. NO. 25/8/66. Estt (A) dated 26 .7.1966 and 10th August 1966/C.C.S. (Conduct) Rule 10(2))**

### **14.6 APPEALS AGAINST THE DECISIONS OF THE CHIEF MEDICAL**

## **OFFICERS AND INDIVIDUAL MEDICAL OFFICERS**

The government of India has decided that there should be no right of appeal from the findings by Chief Medical Officer or Authorized Medical Attendant about their physical fitness from candidates for appointment in government service. But if Government is satisfied in the evidence placed before them by the candidate concerned of the possibility of an error of judgment in the decision of the Chief Medical Officer or the Authorized Medical Attendant, it will be open to them to allow re-examination by another Chief Medical Officer or a Specialist or by Medical Board as may be considered necessary. The fee for such examination, if any, will be paid by the candidates concerned.

It has also been decided by the Government of India that if any Medical Certificate is produced by a candidate or a Central Government Servant as a piece of evidence about the possibility of an error of judgment in the decision of the Chief Medical Officer or other Medical Officer who had examined him in the first instance, the certificate will not be taken into account unless it contains a note by the medical practitioners concerned to the effect that it has been given in full knowledge of the fact that the candidate has already been rejected as unfit for service by a Chief Medical Officer or other Medical Officer.

Government Servants or candidates for Government service who are declared unfit by Chief Medical Officer/Individual Medical Officer; should, if they desire to appeal against such decisions, do so together with the requisite evidence in support of their case within a month from the date of issue of the communications in which the findings of the Medical Officers are Communicated to the candidates/Government servant concerned.

### **14.7 REPLIES TO PARLIAMENT QUESTIONS**

Replies to Parliament question are required to be routed to the Government of India only through the Comptroller and Auditor General of India even in respect of questions received direct from the Government of India. The proposed replies should, therefore, be sent to the Assistant Comptroller and Auditor General (P) by name along with a copy of the question and a copy thereof endorsed to Admn. Section to enable that section to maintain a record centrally of all the parliamentary questions and replies thereto.

(Authority: C &AG's letter No. 6/RS/33-58 dated the 29th April, 1958)

### **14.8 PROCEDURE FOR THE SETTLEMENT OF CLAIMS ARISING OUT OF ACCIDENTS IN WHICH GOVERNMENT OWNED VEHICLES ARE INVOLVED**

The Government of India, Ministry of Transport have laid down that by virtue of subsection (2) of section 94 of the Motor Vehicles Act 1939 the vehicles owned by the Government and approved total authorities are exempted from the necessity to take out policies of insurance against third party risks.

The order to ensure that all claims against Government in respect of death or bodily injury or of damage to property to third parties arising out of accidents in which Government owned vehicles are involved are settled promptly, the Government of India have outlined the following procedure for dealing with all such cases, expeditiously, so that the underlying object namely, prompt

settlement of such claims, is not defeated.

#### **14.9 INSTRUCTION REGARDING THE INSURANCE OF VEHICLES AND ACTION TO BE TAKEN IN THE EVENT OF AN ACCIDENT.**

No liability at law attaches to the Government of India in respect of death, bodily injury or damage to property caused by the use of their vehicles, but in respect of any of their registered otherwise than under section 39 of the Motor Vehicles Act, 1939 they have accepted

- (a) Extra legal liability to the extent of the legal liability that whether for an official or unofficial purpose.
  - (b) The legal liability attaching to any persons driving the vehicle whether for an official or unofficial purpose.
2. Since insurance companies insure only legal liability and none attaches to the Government of India, Ministries should not insure their vehicles. Moreover, since the Government of India owns an appreciable number of civil vehicles, by carrying their own insurance they will save the profit they would have been made by the insurance companies. As the Government of India have accepted the legal liability attaching to any person driving one of their civil vehicles it is essential that order issued the ministry regarding the use of vehicles should provide that vehicles should not be driven by any official other than the driver engaged for the purpose, except with the express orders, in writing of the Department, and that also there should be safeguards against any unauthorized use of vehicles. Where vehicles are allowed to be used by officers for private purposes on payment, this payment should be based on costs which include a sum equivalent to the premium that would have been paid had the vehicles been insured.
3. There has already been criticism of the provisions of the Motor vehicles Act which exempt Government from the necessity to ensure their vehicles, on the grounds that there is danger of delay and difficulty in the settlement of genuine claims; and it is possible that the public may be afraid that they will not get a fair deal from Govt in the event of any of them being involved in an accident. To meet these objections the following procedure will be followed by the Ministries of the Government of India.
- (A) The Ministry concerned will in the first instance endeavor to reach a settlement with the aggrieved party out of court.
  - (B) If the accident occurs in a locality where it is inconvenient for an officer of the Ministry to conduct an investigation, the District Magistrate of the District in which the accident takes place will assess the compensation to be paid to the aggrieved party on behalf of the Ministry concerned and will offer it to the aggrieved party in the final settlement; if the aggrieved party accepts the amount so offered, the Government of India will pay without further argument; provided that no sum exceeding Rs. 2000/-shall be so offered by any District Magistrate until he has obtained consent of the Ministry concerned.
  - (C) If it is impossible to reach a settlement out of court the aggrieved party will be permitted to take legal action in the civil court against the driver, Government undertaking to honour the court's decree.

(D) It is important the Ministries should issue orders regarding the action to be taken when any of their vehicles is involved in an accident; the instructions set out below have been prepared for guidance in this respect.

(a) If a vehicle is involved in an accident the driver should after making any report to the police requires by section 89 of the Motor Vehicles Act bring the full facts of the case to the notice of the office of the Ministry immediately responsible for the control of the vehicle without avoidable delay.

(b) Neither the driver nor any other officer except the prescribed senior officer mentioned in paragraph (c) below should:

(i) Embark on, or incur any expenditure on litigation

(ii) Make any offer, or promise of payment, on settlement; or

(iii) Make any admission of liability; in respect of any claim made by a third party.

This should, however, not be regarded as debarring them from answering truthfully any reasonable questions especially questions asked by a police officer in uniform. In this connection attention is invited to the duties of owners and drivers described in section 86 of the Motor Vehicles act.

(c) The Office to whom a report is made in accordance with (a) above should be required to report the full facts to a specified officer (referred to hereafter as “the Officer concerned”) who should normally be a senior officer of the Ministry selected for the purpose. This officer should be required to act much in the same way as an insurance company in the case of a private vehicles, that is to say he should keep in touch with progress of cases, deal with claimants and their legal advisers, instruct the counsel where cases are taken to court, and make arrangements for payment when as settlement is reached or when judgment is delivered. Further he may be given power to compromise claims out of court. Where possible he should endeavour to obtain firsthand knowledge of the cases he is required to settle by visiting the spot questioning witnesses etc.

(d) In regard to the settlement of claims, stress must be laid on the need for avoiding unnecessary delay in this connection. Ministries should arrange with their Financial Advisers regarding the extent to which the Officer referred to in case can be empowered to sanction amounts necessary to settle cases quickly out of Court. The Indian workmen’s compensation act should be used as a guide in calculating compensation for death or injury within the provision of that act.

#### **14.10 DEATH OF HIGH DIGNITARIES IN INDIA-CLOSING OF OFFICE**

The detailed instructions to be observed on the death of High Dignitaries in India viz. President, Vice- President, Prime Minister, Union Cabinet Ministers, other members of the Council of Ministers of the Union, Governor or Chief Minister of a State Communicated in Government of India, Ministry of Home Affairs.

**D.P. & A.R. O.M. No. 12/15/82 – JCA, dated 15th May 1982**

#### **14.11 COMMITTEE ON PREVENTION OF SEXUAL HARASSMENT OF**

## WOMEN AT WORKPLACE

In accordance with the Hon'ble Supreme Court Judgement and DoPT directions, an internal Complaints Committee on Prevention of Sexual Harassment of women at workplace has been constituted with the approval of the Competent Authority. The composition of the committee is as under.

|                                     |                                          |                                                           |
|-------------------------------------|------------------------------------------|-----------------------------------------------------------|
| Chairperson                         |                                          |                                                           |
| Ms. R Padma, Dy. Director (Power-I) |                                          | O/o the DGA(Energy), New Delhi                            |
| Members                             |                                          |                                                           |
| 1.                                  | Ms. Madhulika Guglani, Sr. Audit Officer | O/o the Director General of Audit (Infrastructure), Delhi |
| 2.                                  | Ms. Richa Rajdor, Sr. Audit Officer      |                                                           |
| 3.                                  | Dr. Upasana Singh, Treasurer             | AIWC                                                      |

1. The working of the Committee shall be governed by the Sexual Harassment of Women at workplace (Prevention, Prohibition and Redressal) Act, 2013 and rules made under and guidelines/instructions issued by the Government from time to time.
2. The Complaints committee will submit an annual report of the complaints and action taken thereon to the Headquarters office.
3. The committee will have tenure till 04.09.2027.

**(Authority: Director General approval dated: 04.09.2024 Vide Office Order No. 291 File No. /Admn.-I/1-5/2017-18/6165-6180 dated 10.10.2024)**

As regards provisions for protection of women, it was suggested that the complaints committee mechanism provided under Vishakha guidelines relating to sexual harassment should be strictly in accordance with the judgment and steps should be taken to ensure that the committee is effective and functional at all times. It would also be desirable for the Committees to meet once a quarter, even if there is no live case, and review preparedness to fulfill all requirements of the Vishakha judgment in the Department/Ministry/organization concerned. DOPT will issue suitable directions.

**Authority : Ministry of Personnel , Public Grievances and Pensions DPT OM No. 11013/3/2009-Estt.(A) North Block New Delhi Dated 03/08/2009.**

### 14.12 INTRODUCTION OF NEW PENSION SCHEME

Government of India have introduced a new Defined Contribution Pension Scheme replacing the existing systems of Defined Benefit Pension System vide Government of India, Ministry of Finance, Dept. of Economic Affairs Notification dated 22nd December 2003. The new pension Scheme comes into operation with effect from 1.1.2004 and is applicable to all new entrants to Central Govt. service, except to Armed Forces, joining Government service on or after 1.1.2004.

### 14.13 RIGHT TO INFORMATION ACT OF 2005 DISCLOSURE OF INFORMATION- REGARDING

The Right to Information Act 2005 came in force on 12th October 2005. The right to information means and includes: -

- (i) Inspection works, documents.
- (ii) Taking notes, extracts in sanctified copies of the documents the RTI in this office in effective since 15-6- 2005 and Director (Admin) Functions as public information Officers Instruction issued to disclaim of information in terms of Section 7 & 8 of RTI Act 2005

#### **14.13.1 AUDIT MATTER**

According to Article 151(1) of the Constitution of India, the Reports of the Comptroller and Auditor General of India relating to the accounts of the Union shall be submitted to the President, who shall cause them to be laid before each House of Parliament. Under Clause (2) of the said Article, the Reports of the Comptroller and Auditor General of India relating to the account of a State shall be submitted to the Governor of the State, who shall cause them to be laid before the Legislature of the State. Under Section 8(1)(c), there is no obligation to disclose information that would cause breach of privilege of Parliament or the State Legislature.

The Audit Report goes through various processes before its finalization. Having regard to the intent and provisions of the RTI Act, all documents/information contained in inspection Reports and other like documents issued to the auditee may be disclosed. The intent to report any matter to Parliament/State Legislature is established for the first time only when “Draft Audit Para/ Draft Review” is to the Government(auditee entity) for confirmation of facts & figure and for comments.

Accordingly, privilege may be claimed only in respect of Draft Audit Paras/Draft Reviews and Bond copies of Audit Reports sent for signature of CAG. Once the Audit Report is laid on the Table of the Parliament/State Legislature (s) it would come within the public domain. Audit memos, Half Margins and other working papers that relate to Inspection Reports and Audit Reports are internal nature may not be disclosed.

In future all Inspection Reports may be issued with the following disclaimer statement: - “The Inspection Report has been prepared on the basis of information furnished and made available by-- ----(Name of auditee entity). The Office of Director General of Audit ( Infrastructure ) (Name) disclaims any responsibility for any misinformation and/or non-information on the part of auditee.”

In respect of information being sought on past IRs, information may be disclosed to any person with asimilar disclaimer statement.

In case of request for letters and other communications issued by the auditee entity, action may be taken in terms of Section 6(3) of the Act to transfer the request to the concerned public authority under the Act to transfer the request to the concerned public authority under intimation to the petitioner within the time limit prescribed under the Act. This will relate to all letters and communications issued by the auditee entity and mentioned in the Inspection Reports and Audit Reports already placed before Parliament/Legislature.(**Authority : Hqrs letter no 629 LC/111-2005 Dated 07.10.2005**)

#### **14.13.2 ADMINISTRATION MATTERS**

In respect of documents relating to office management, Administrative Reports brought out by each office can be made available for the prescribed cost. Information relating to the budget details, details regarding welfare activity, recreation, details regarding tenders etc. after conclusion of the contract, promotion, appointment, pay fixation, gradation list, roster details can be disclosed.

Information which is purely personal in nature the disclosure of which has no relationship with any public activity or interest need not be disclosed in terms of Section 8(1)(f) of the Act. In this category the personal details of the Government servants, their family, GPF balance, CRs, etc should not be disclosed.

The obligation under the Act is to disclose only the information available and it is not necessary to generate information for disclosure. As a general rule, internal noting should not be disclosed.

**Authority : Hqrs letter no 629 LC/111-2005 Dated 07.10.2005**

**GENERAL NOTING :** Any procedure or guideline not explicitly covered in this manual will be governed by the policies and procedures outlined in the Hqrs. office manual.

All staff are expected to refer to the Hqrs.office manual for further clarification and to ensure compliance with standard practices.

## **Appendix- I**

### **Delegation of Financial power**

(Referred to in Para 1.9)

| <b>Sl. No.</b> | <b>Powers Delegated</b> | <b>Authority vide which powers delegated</b> | <b>Authority to which powers have been</b> |
|----------------|-------------------------|----------------------------------------------|--------------------------------------------|
|----------------|-------------------------|----------------------------------------------|--------------------------------------------|

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                              | <b>delegated</b>                                                                                                                                                                                                                                                                                                                                                                                                          |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | <p>i. Powers to incur expenditure as per Delegation of Financial Powers Rules, 2024.</p> <p>ii. Provisions in C&amp;AG's MSO (Admn.) Vol. II and Headquarters' instructions on the subject.</p> <p>iii. She/he will follow general principle contained in General Financial Rules and will ensure that the exercise of the re-delegation of power is within the budget allotment available for the office of the Director General of Audit (Infrastructure), New Delhi.</p> | MSO (Admn.) Vol. II, Delegation of Financial Powers Rules 2024, General Financial Rules 2017 and Hqrs letter no. 314-FMD/DFPR/29-2024 dated 18/10/2024 on revised Delegation of Financial and Administrative Powers in IA&AD and revised procedure for procurement in IA&AD. | Director (Admn.)                                                                                                                                                                                                                                                                                                                                                                                                          |
| 2. | Signing / Countersigning of TA Bills & Advances in respect of IA&AS, Gazetted & Non-Gazetted Staff working in a Group / Section                                                                                                                                                                                                                                                                                                                                             | As per SR 191 of FRSR Part II & Item No. 30 of Section 'C' of MSO (Admn.) Vol. II and Hqrs letter No. 762-O&M/43-93 dated 01.12.1993.                                                                                                                                        | <p>1. TA Bills of IA&amp;AS officers (equivalent to under secretary to Govt. of India) would be passed by Director (Admn.). TA bills of other IA&amp;AS officers would be processed in concerned Section of Administrative Wing for passing in terms of extant instructions by competent authority.</p> <p>2. TA bills of Gazetted Staff by HOO.</p> <p>3. TA Bills of Non Gazetted staff by Sr. AO (Admn I &amp; II)</p> |

| Sl. No. | Powers Delegated                                                                                                                                                                                                                                                                 | Authority vide which powers delegated                                                    | Authority to which powers have been delegated                                                                                                                                                                    |
|---------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 3.      | All matters related to LTC & its advance                                                                                                                                                                                                                                         | MSO (Admn.) Vol. II and Hqrs letter No. 762-O&M/43-93 dated 01.12.1993.                  | Director (Admn.)                                                                                                                                                                                                 |
| 4.      | All types of Advances viz. HBA, Computer purchases advances                                                                                                                                                                                                                      | MSO (Admn.) Vol. II and Hqrs letter No. 762-O&M/43-93 dated 01.12.1993.                  | Director (Admn.)                                                                                                                                                                                                 |
| 5.      | All matters related to Pay Fixation of staff & its advances                                                                                                                                                                                                                      | MSO (Admn.) Vol. II and Hqrs letter No. 762-O&M/43-93 dated 01.12.1993.                  | 1. Director (Admn.)<br>2. Quarterly report to Head of Department.                                                                                                                                                |
| 6.      | General Provident Fund Advances and withdrawals                                                                                                                                                                                                                                  | MSO (Admn.) Vol. II and Hqrs letter No. 762-O&M/43-93 dated 01.12.1993.                  | Director (Admn.)                                                                                                                                                                                                 |
| 7.      | Permission and sanction for Medical treatment/test from private recognized hospitals/canters as well as treatment from private hospitals in emergency cases and its advances.                                                                                                    | MSO (Admn.) Vol. II and Hqrs letter No. 762-O&M/43-93 dated 01.12.1993.                  | Director (Admn.)                                                                                                                                                                                                 |
| 8.      | Sanction of kinds of Leave mentioned at serial no. 1 column 2 of the first schedule to CCS (Leave) Rules, 1972.                                                                                                                                                                  | Under serial no. 1 (vi)-column (3) of the first schedule to the CCS (Leave) Rules, 1972. | i. Group Officers for Sr. AOs upto 30 days for AAOs upto 90 days and for Group B Non Gazetted officials exceeding 30 days.<br><br>ii. Branch Officers for Group 'B' Non Gazetted and 'C' officials upto 30 days. |
| 9.      | Children Education Allowance, Reimbursement of Tuition Fees and Hostel Subsidy.                                                                                                                                                                                                  | Office Memorandum No. 21013/1/2004-Estt. (Allowances) dated 23/03/2006.                  | Director (Admn.)<br><br>Claims of Head of Office is to be approved by Director (Infra-I).                                                                                                                        |
| 10.     | To permit a Government servant to acquire or dispose of any immovable property by lease, mortgage, purchase, sale gift, or otherwise either in his own name or in the name of any member of his family when the transactions are with a person having official dealing with him. | MSO (Admn.) Vol. II, Section 'F', Powers under Civil Services (Conduct) Rules 1964.      | Head of Office for Group A Officers (Non IA&AS), Group B Officers and Non Gazetted Establishment.                                                                                                                |

|     |                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                     |                                                                                                   |
|-----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|
|     | (Rule 18(2) of CCS (Conduct) Rules 1964 read with Government of India, Ministry of Home Affairs order No. 25/11/68/Ests (A) dated 05-08-68)                                                                                                                                                                                                                                                            |                                                                                     |                                                                                                   |
| 11. | <p>To permit a Government servant to enter into transaction either in his own name or in the name of member of his family in respect of movable property if the value of such property exceeds two months' basic pay of the Government servant</p> <p>(Rule 18 (3) of CCS (Conduct) Rules 1964 read with Government of India, Ministry of Home Affairs order No. 25/11/68-Ests (A) dated 05-08-68)</p> | MSO (Admn.) Vol. II, Section 'F', Powers under Civil Services (Conduct) Rules 1964. | Head of Office for Group A Officers (Non IA&AS), Group B Officers and Non Gazetted Establishment. |
| 12. | <p>Requiring a Government servant by a general or special order to furnish within a specified period of full and complete statement of such movable or immovable property held or acquired by him or on his behalf or by any member of his family, including the details of the means by which such property was acquired.</p> <p>(Rule 18 (4) of CCS (Conduct) Rules 1964)</p>                        | MSO (Admn.) Vol. II, Section 'F', Powers under Civil Services (Conduct) Rules 1964. | Head of Office for Group A Officers (Non IA&AS) and Group B Officers.                             |

- All claims of Head of Office will be approved by Director (Infra-I)
- Director (Admn.) will ensure that the exercise of re-delegated powers is conducted in terms of general principles of General Financial Rules, 2017, Delegation of Financial Powers Rules, 2024 and within the budget allotment for O/o DGA (Infrastructure), Delhi.
- Where there is a doubt on any issue, the matter should be put up to the Director General of Audit (Infrastructure) for consideration and approval.

- The delegation of financial powers will be reviewed at the end of three years or earlier at the discretion of Director General of Audit (Infrastructure), Delhi.
- Adequate and effective system of internal control should be ensured in line with Hqrs instructions.
- All kinds of Special Casual Leave including for sporting events would be sanctioned by Director General of Audit (Infrastructure), Delhi only.

**(Authority: Office orders no. 319 dated 23.10.2024)**

## **Appendix-II**

### **DUTIES OF OFFICIALS/ OFFICERS OF CO-ORDINATION SECTION**

(Referred to in Para 1.14.2)

#### **ASSITANT AUDIT OFFICERS /SUPERVISORS (COMMERCIAL/ CIVIL)**

They are responsible for the proper working of their section and for training posted under them. They should see that the work is properly and entirely distributed and that it is not neglected or allowed to fall in arrears. They are personally responsible for the timely submission of the periodical returns. They are also required to personally dispose of important cases.

#### **ASSISTANT SUPERVISORS/SR. AUDITORS/AUDITORS**

They will work directly under the A.A.O./ supervisor and will be responsible for the timely and proper discharge of the duties and other items of work entrusted to them. They should keep their work current and pay special attention to the timely submission of the periodical returns. All the letter marks urgent should be put up on the same day and due date mention in letter may be invariably adhered to.

#### **DUTIES OF ASSISTANT DIRECTOR (OFFICIAL LANGUAGE)**

1. Translation work from English to Hindi and vice-versa and vetting thereof.
2. To acquaint the officers and staff of the concerned departments with the provisions of the O.L. Act, Government rules and orders relating to official language and Hindi Training (Language, Typing, Translation & Stenography) and to help them in implementing the same.
3. To ensure proper compliance of the provisions of the official languages Act and the orders pertaining to Hindi Teaching Scheme and Official language Policy in their department and subordinate offices, Sections, companies and corporations etc.
4. To work as the Secretary of the Official Language Implementation Committee of their Departments/offices and to convene its meeting from time to time to prepare the agenda minutes of the meetings and to co-ordinate the action taken on the decisions taken in the meeting.
5. To make suggestions from time to time for promoting the progressive use of Hindi and to keep liaison with the Department of Official Language through proper channel.
6. To prepare the reference and help literature to organize Hindi workshops and to assist the officers and staff in learning Hindi and using Hindi in official business.
7. The services of the Hindi Officers/Translators should, as far as possible, be utilized for translation and Official Language Implementation work only for which these posts have been created. In case in any office the required Hindi work is completed in accordance with the targets of the Annual Programme only then the officers/employees working against Hindi posts should, provided they get

time, be entrusted any other work in addition to the work pertaining to translation and implementation of Official language Policy.

8. To organize Hindi Workshops quarterly and to assist the officers and staff in learning Hindi by nominating them in various Hindi teaching Scheme Programs periodically conducted by Central Hindi teaching Institute, Department of official Language, Government of India.
9. Organizing and managing Hindi Pakhwara yearly.
10. Conducting official language inspection of the Sections/Wings of the office(Minimum 25%)
11. Attending Official Language Conference as per the order of Official Language Department, Government of India.
12. Helping Staff of hind section to learn the sectional work including official language rule, regulation and helping them in implementing the same.

### **DUTIES OF JUNIOR TRANSLATOR**

1. Translation of section 3(3) documents ( General Orders, Rules, Contract, Agreement, Notification & translation of report to be laid on the table of the parliament etc. )
2. To assist Assistant Director (official Language) in the implementation of work of official language policy and in various official matters like Official Language , Inspection, organizing Hindi Meeting, Hindi Pakhwara, publication of Hindi magazine “ Samwad”
3. Organizing meetings and workshops on the Hindi language and keeping records of all documents and files in the department.
4. To attend official Language Conference as per the order of Official Language Department, Government of India.

### **DEO/ CLERKS**

- The DEO/Clerks of each section would be responsible for
- Receipt, indexing and distribution of the inward correspondence sent by the Central Receipts Clerk and dispatch of all outward correspondence.
- Typing work of the section.
- Preparation of monthly indents for stationery. Transfer of old records to the concerned section.
- Helping the Auditors/Sr. Auditors/ Assistant Supervisors in comparison of the typed letters.
- Any other miscellaneous work which the A.A.O./Supervisors of the section may entrust.

### **WELFARE ASSISTANT**

Welfare assistant works under charge of Sr.AO (Admin) his duties are given below:

1. Assistance to such staff who have suddenly taken ill or those chronically ill. Helping in securing

admission in places of treatment.

2. Helping, in cases of need, in securing admission of children in schools, colleges and other educational institutions
3. Assisting, in case of need, families of persons on protected tours.
4. Assistance to the family of Government servants who die in harness and ensure prompt action for settlement of dues of such employees by liaising with DDO/ PAO to ensure that payment of dues under Group Insurance Scheme, Provident Fund, Pension, DCRG etc. are released expeditiously by various authorities, preferably, within 30 days of death.
5. Supervising the work related to Cleanliness of Office buildings, premises and toilets including adequacy of water supply.
6. Adequacy of drinking water facilities
7. Timely provisions of hot and cold weather arrangements.
8. Promotion of recreational cultural and community activities
9. Organizing Hindi Pakhwara and Various Oath taking functions

In addition to the general welfare of the members of the staff, he will supervise the work of the caretaker and the general staff of administration section in respect of items concerning welfare activities and housekeeping i.e. hot and cold weather arrangement of drinking water, cleanliness of office building and bath rooms etc. including purchase to be made in respect of these items.

### **SECTIONAL MTS**

Sectional MTS will be responsible for the work mentioned in the foregoing paragraph in respect of the section to which they are attached. They should also dust the racks and records in the section daily. Services of the MTS, chowkidars, sweepers and safaiwala should be taken for casual shifting of light record and furniture. Mazdoors should be engaged only when the wholesale shifting is involved or the articles to be moved are heavy like steel Amirah, safes steel racks, etc.

## **Appendix-III**

### **DUTIES OF MEMBER OF FIELD AUDIT PARTY**

(Referred to in Para 1.14.3)

Allocation of duties of the field parties conducting supplementary audit of annual accounts of Government undertakings.

#### **SR. AUDIT OFFICER**

- (i) Coordination and supervisions of the work of the audit party.
- (2) Review of the items of Minutes and Agenda papers of the Board of Directors, meeting and of other standing/ coordination Committees relating to annual accounts.
- (3) Review of the system of internal control and internal audit and their effectiveness to determines the extent of audit.
- (4) Review of the Balance sheet and Profit and loss account to see that they meet the requirements of the relevant statute and the generally accepted accounting principles.
- (5) Examination of the Auditor's report (to the share-holders) to see whether they indicate any persistent deficiencies in systems and similar examination of various disclosure made in the notes to the accounts to see whether adjustments which ought to have been reflected in accounts in accordance with the accounting standards have been carried out or not.
- (6) Review of the accounting policies.
- (7) Giving guidance to the other members of the party about the points/ areas to be test checked.
- (8) Review of the Journal Vouchers involving large amounts relating to adjusting entries in connection with the annual closing of accounts.
- (9) Review of the large and unusual items in Sundry Creditors, sundry Debtors, payments and adjustments etc. brought to the notice of the Sr.Audit Officers by Assistant Auditor Officers, Supervisors, Assistant Supervisors, Sr. Auditors and Auditor.
- (10) Finalisation of the draft comments and discussion with the Management.

#### **ASSISTANT AUDIT OFFICER /SUPERVISOR**

1. Review of the various items in the Schedules forming part of the Profit and Loss Account and balance sheet to see that these are correct and meet the requirement of the relevant statue and accepted accounting principles.

2. Checking of the correctness of sales/value of work-in-progress etc. and checking of adequacy of the provisions for depreciation, taxation, dividend, bonus etc.
3. Checking relating to accuracy of allocation of expenditure between capital and Revenue.
4. Reviewing of Contingent Liabilities to ensure its classification and its proper disclosure.
5. Examination of the basis of valuation of inventories and adequacy of provisions.
6. General review of the Journal Vouchers including adjusting entries in connection with annual closing of accounts and to ensure that required adjustment entries have been made in the accounts.
7. Any other item of work entrusted by Sr. Audit Officer.

### **ASSISTANT SUPERVISOR**

The Assistant Supervisor should be assigned with responsibilities that require more professional experience than what is required from a Senior Auditor.

#### **(i) FIELD AUDIT:**

- Audit of stores and stock,
- Examination of cash book,
- Audit of vouchers exceeding a threshold level,
- Checking of reconciliation with treasury/bank,
- Pay fixation of staff in the audited entity,
- Examination of contracts upto a threshold level,
- Verification of account balances in the Profit & loss Account in financial attest audits etc.

#### **(ii) CENTRAL AUDIT:**

- Coordinating sections of functional audit wing associated with the process of audit planning which would include collection and updating of data on the audit universe,
- Preparation of the initial versions of annual audit plan in headquarters,
- Checking of selected schedules of finance and appropriation accounts and cross checking of arithmetical accuracy,
- Sampling of vouchers submitted by Accountant General (A&E) to audit office of detailed checking etc.

#### **(iii) ADMINISTRATIVE DUTY:**

Compliance with statutes/rules like:

- Preparation of replies under Right to Information Act,
- Recruitment procedures,
- Budget related matters including operation of Public Finance Management System (PFMS), Budget and Expenditure Monitoring System (BEMS),
- Procurement through Government E-Market Application etc.
- Calculation of income tax of staff,
- Legal work
- Any other work assigned by the Group Officer/Head of the Department.

**Authority : C&AG Circular No. 43 staff (App I)/2020 No. 1201- staff (App I)/13-2009 dated 15.10.2020**

### **SENIOR AUDITOR**

- Checking of physical verification reports of Assets.
- Checking of Bank Reconciliation Statement and review of stale/ dishonoured cheques.
- Checking of valuation of inventories etc.
- Review of vouchers for next 3 months to ascertain if any known, outstanding liabilities were omitted to be provided for in the accounts.
- Detailed checking of items allotted by the sr. Audit Officer/Asstt. Audit Officers/Supervisors.
- Any other item of work entrusted by Sr. Audit Officer/ Asstt. Audit Officers/Supervisors.
- AUDITORS
- Test check of posting in the ledgers, correctness of the Trial balance, verification of figures in the Balance sheet, Profit and Loss Accounts with reference to relevant Schedule forming part of the Accounts.
- Verification of total of Balance Sheet, Profit and Loss and schedule.
- Checking of previous year's figures.
- Detailed checking of items allotted by the Sr.Audit Officer/Assistant Audit Officer / Supervisor.
- Any other item of work entrusted by Sr.Audit Officers/Assistant Audit Officers/Supervisor
- NOTE: in case of RAPs/LAPs having only one Sr.Ar./Auditors, all the items of work will be done by Sr.Ar./Auditor as the case may be. This will be applicable in the case of all the staffs.

## **Appendix- IV**

### **DUTIES OF MEMBER OF FIELD AUDIT PARTY**

(Referred to in Para 1.14.3)

#### **SR. AUDIT OFFICER**

- Coordination and supervision of the work of the Audit team.
- Review of the minutes and Agenda Papers of the meetings of board of Directors and committees thereof regarding resolution concerning annual accounts.
- Review of the system of internal control and internal audit and their effectiveness to determine the extent of audit.
- Review of the Balance sheet and Profit and Loss Account to see that they meet the requirements of the relevant statute and the generally accepted accounting principles.
- Review of the accounting policies.
- Giving guidance to the other members about the points/areas to be test checked.
- Critical analysis of the annual accounts.
- Examination of certain selected aspects of the working of the undertaking inclusion the results of the examination in the Audit report.
- Review of the large and unusual items in Sundry Creditors, Sundry Debtors, and Payments etc. brought to the notice of Sr. Audit officer by Asstt. Audit Officer/Supervisors/ Assistant Supervisors/ Sr.Auditor/Auditor
- Finalisation of the draft Audit report and comments on the accounts.

#### **SENIOR AUDITOR**

- Checking of accuracy of cash and bank balances with reference to physical cash balance report and bank reconciliation statements.
- Checking of book balances in the Physical inventory sheets with references to the stores ledgers.
- Checking of physical verification report of assets.
- Checking of valuation of inventories etc.
- Adequacy of the provisions and Bad and Doubtful Debts and advances.
- Checks of correctness of prior adjustments and its proper exhibition.
- Any other item of work entrusted by Sr. Audit officer/Audit officer/Asstt. Audit Officers/ Supervisors/ Assistant Supervisors/ Sr.Auditor/Auditor.

#### **AUDITOR**

- Reconciliation of the value of inventories as per priced Ledger and General Ledger.
- Checking of Debtors and Creditors ledgers and fixed assets Registers.
- Checking of interest on secured and unsecured loans and interest income.
- Checking of previous year's figures.
- Verification of the figures in the profit and Loss Account and Balance sheet with reference to schedules.
- Checking of posting from cash book/ Journal to Ledgers, from Ledgers to trial Balance and from Trial Balance to profit and Loss Account and Balance Sheet as per prescribed quantum of audit.
- Any other item of work entrusted by Sr. Audit officer/ Asstt. Audit Officer/Supervisors.

**Note:** Whenever quantum of audit has been prescribed, item given in the quantum will be allocated on the lines of the illustrative allocation made above.

## **Appendix- V**

(Referred to in Para 6.1.3)

### **Syllabus of Commercial Audit for 'Departmental Examination for Auditors/ DCT for Auditors**

#### **Paper 1: Book keeping and Company Accounts**

**Duration: 2 Hours**

**Maximum Marks: 100**

##### **Part A: Book Keeping**

**40 Marks**

1. Accounting concepts and conventions
2. Single and Double entry
3. Books of Original Entry: Journal, sub-division of journal, Ledger, Cash Book
4. Trial Balance
5. Rectification of errors
6. Bank reconciliation
7. Bills of Exchange
8. Trading Account and Profit & Loss Account
9. Balance Sheet
10. Depreciation Accounting

##### **Part B: Company Accounts**

**60 Marks**

1. Financial Statements of Companies
2. Cash and funds flow Statements
3. Receipt and Payments
4. Income & Expenditure Accounts
5. Accounting Standard No. 1, 2, 3, 4, 5, 6, 9, 10, 12 and 15 prescribed under Section 133 of the Companies Act, 2013
6. IndAS No 1,2,7,8,10,16,20,19 prescribed under section 133 of the Companies Act 2013

##### **Books and reference material:**

1. Double Entry Book Keeping by T S Grewal
2. Tulsian's Accountancy by PC Tulsian
3. Compendium of IndAS of ICAI

#### **Paper 2: Commercial and Government Auditing**

**Duration: 2 Hours.**

**Maximum Marks: 100 Marks**

##### **Part A: Commercial Auditing**

**50 Marks**

1. Nature and Principles of Auditing
2. Vouching and Routine checking

3. Audit of cash transaction: Receipts and Payments Account
4. Verification of assets and liabilities
5. From Trial Balance to Balance Sheet
6. Audit of Financial Statements
7. Review of Internal Control System
8. Audit Report: Qualification, disclaimers, adverse opinion, disclosures & Certificates
9. Audit of Public Sector Undertaking

**Part B: Government Auditing**

**50 Marks**

1. Constitution of India (Articles 148 to 151)
2. Comptroller and Auditor General's (Duties, Powers and Conditions of Service) Act 1971.
3. Regulations on Audit and Accounts, 2020
4. Comptroller and Auditor General's Auditing Standards
5. Comptroller and Auditor General's Manual of Standing Orders (Audit)

**Section II : General Principles and Practices of Audit**

Chapter: 1 General Principles and Practices

Chapter: 2 Audit of Expenditure

Chapter: 3 Audit of Receipts

Chapter: 4 Audit of Accounts of Stores and Stock

Chapter: 5 Audit of Commercial Accounts

**Section III: Supplementary Audit Instructions**

Chapter: 7 Audit of Contracts

Chapter: 24 Internal Audit

1. Performance Auditing Guidelines (Basic concepts and knowledge)
2. Routine noting & drafting based on given official letters/matters

**Paper 3: Commercial Law and Service Regulations**

**Duration: 2 Hours**

**Maximum Marks: 100**

**Part A: Commercial Law**

**50 Marks**

1. Companies Act 2013 Chapters I to IV and Chapter VII to XII
2. The Indian Contract Act, 1872

**Suggested Books:**

Companies Laws/Commercial Laws by N D Kapur

**Part B: Service Regulations**

**50 Marks**

1. CCS (CCA) Rules 1965
2. Fundamental Rules and Supplementary Rules, Part I made by the President of India
- Chapter- II Definitions
- Chapter-III General Conditions of Service
- Chapter-IV Pay
3. CCS (Joining Time) Rules, 1979
4. Travelling Allowance Rules of the Union Government as contained in the Compilation of Fundamental and the Supplementary Rules, Part II made by the President of India
5. CCS (Leave) Rules, 1972

#### **Paper 4: Information Technology Practical**

**Duration: 2 Hours**

**Maximum Marks: 100**

##### **Word 2013**

**35 Marks**

Creating and managing documents, Formatting a document, Customizing Options and Views for Documents, Configuring Documents to Print or Save, Formatting Text, Paragraphs, and Sections, Creating Tables and Lists, Creating and Modifying a List, Applying References, Inserting and Formatting Objects.

##### **Excel 2013**

**40 Marks**

Creating and Managing Worksheets and Workbooks: Creating Worksheets and Workbooks, Navigating Through Worksheets and Workbooks, Formatting Worksheets and Workbooks, Customizing Options and Views For Worksheets and Workbooks and Configuring Worksheets and Workbooks to Print or Save. Cells and Ranges: Inserting Data in Cells and Ranges, Formatting Cells and Ranges and Ordering and Grouping Cells and Ranges. Tables: Creating and Modifying Table. Formulas and Functions: Applying Cell Ranges and References in Formulas and Functions.

##### **Power Point 2013**

**25 Marks**

Create and Manage Presentations: Creating a Presentation, Formatting a Presentation Using Slide Masters, Customizing Presentation Options and Views, Configuring Presentations to Print or Save and Configuring and Present Slideshows. Inserting and Formatting Shapes and Slides: Inserting and Formatting Slides, Inserting and Formatting Shapes and Ordering and Grouping Shapes and Slides. Creating Slide Content: Inserting and Formatting Text, Inserting and Formatting Tables, Inserting and Formatting Charts, Inserting and Formatting Smart Art, Inserting and Formatting Images and Inserting and Formatting Media.

##### **Books and reference material:**

1. Microsoft Word 2013 Step by Step (Lambert & Cox)
2. Microsoft Word 2013 Fast and Easy (Edward Jones)
3. Word 2013 in Depth (Faith Wempen)
4. Microsoft Excel 2013 Step by Step (Frye)
5. Microsoft Excel 2013 All-In-One for Dummies (Greg Harvey)
6. Excel 2013 in Depth (Bill Jelen)
7. Microsoft Power Point 2013 Step by Step (Lambert & Cox)
8. Microsoft Power Point 2013 All-In-One for Dummies (Greg Harvey)

#### **Syllabus of 'Incentive Examination for Sr. Auditors' for all Audit Branches**

##### **Paper: Finance, Accounts and Audit**

**Duration 2 Hours**

**Maximum Marks: 100**

##### **Section I: Provisions of the Constitution of India**

**20 Marks**

1. Money Bills - Articles 110 and 111 of Part V (Chapter II)
2. Procedure in financial matters - Articles 112 to 119 of Part V (Chapter II)
3. Finance-Articles 264 to 290A of Part XII (Chapter I)
4. Borrowing - Articles 292 to 293 of Part XII (Chapter 11)

##### **Books and reference material:**

- Constitution of India

**Section II: Book Keeping****30 Marks**

1. Receipts & Payments Account and Income and Expenditure Account
2. Uniform Format of Accounts for Central Autonomous Bodies prescribed by the Government of India, Ministry of Finance

**Books and reference material:**

- Commercial Accountancy-Book-keeping in Private Sector published by the National Academy of Audit and Account Shimla
- Manual of Instructions for Audit of Autonomous Bodies issued by CAG of India
- Uniform Format of Accounts for Central Autonomous Bodies prescribed by the Government of India, Ministry of Finance

**Section III: CAG's Auditing Guidelines****50 Marks**

Provisions of the following:

1. Practice Note on Financial Attest Audit of Autonomous Bodies
2. Compliance Auditing Guidelines
3. Performance Auditing Guidelines 2014

**Books and reference material:**

- Practice Note on Financial Attest Audit of Autonomous Bodies issued by CAG of India
- Compliance Auditing Guidelines issued by CAG of India
- Performance Auditing Guidelines 2014 issued by CAG of India

**Syllabus of Departmental Examination for 12th pass Multi Tasking Staff (MTS) for promotion as Clerks****Paper I: ENGLISH****[Essay and Letter writing (Descriptive), Comprehension and Grammar (MCQ)]****Duration: 2 Hours****Maximum Marks: 100****(i) Essay writing:****25 marks**

A short essay of about 200 words to be written on one of several simple subjects.

**(ii) Letter writing:****25 marks**

A letter to be drafted on one of the given topics.

**(iii) Grammar:****marks each (25 marks)**

- (a) Correction of sentences.
- (b) Filling in the blanks with prepositions.
- (c) Simple idioms and phrases.
- (d) Usage of tenses.
- (e) Usage of nouns.

**(iv) Comprehension:****25 marks**

Question based on the given passage will have to be answered.

## **Paper II: ARITHMETIC AND TABULATION (MCQ)**

**Duration: 2 Hours**

**Maximum Marks: 100**

### **(i) Arithmetic:**

**70 Marks**

Problems in Arithmetic of Matriculation standard including mensuration.

### **(ii) Tabulation:**

**30 Marks**

A problem to test the candidates ability to compile, arrange and present a given set of data in a tabular form.

## **Paper III: GENERAL KNOWLEDGE AND OFFICE PROCEDURE (MCQ)**

**Duration: 2 Hours**

**Maximum Marks: 100**

### **(i) Part A: General Knowledge:**

**50 Marks**

Questions on General Knowledge including Current Affairs will be of objective type. The questions will be designed to test the candidate's knowledge of current events and of such matters of day to day observation and experience as any educated person may be expected to know.

### **(ii) Part B: Office Procedure:**

**50 Marks**

Questions for at least 15 marks from this part will be compulsory. The questions will be simple and designed to test whether the candidate knows the procedure for Receipt, Diarising, Issue/Dispatch of Dak, file opening and weeding of records, usage of E-HRMS, OIOS and E-Office etc.

## **Paper IV: Information Technology Practical (on Computer)**

**Duration: 2 Hours**

**Maximum Marks: 100**

### **Word 2013**

**60 Marks**

Creating and managing documents, Formatting a document, Customizing Options and Views for Documents, Configuring Documents to Print or Save, Formatting Text, Paragraphs and Sections, Creating Tables and Lists Creating and Modifying a List, Applying References, Inserting and Formatting Objects.

### **Excel 2013**

**40 Marks**

Creating and Managing Worksheets and Workbooks: Creating Worksheets and Workbooks, Navigating Through Worksheets and Workbooks, Formatting Worksheets and Workbooks, Customizing Options and Views For Worksheets and Workbooks and Configuring Worksheets and Workbooks to Print or Save. Cells and Ranges: Inserting Data in Cells and Ranges, Formatting Cells and Ranges and Ordering and Grouping Cells and Ranges. Tables: Creating and Modifying Table.

**Note:** Candidates will also have to take a typing test which will be held once in a quarter by the Principal Accountants General/Director Generals/Principal Directors of Audit/Accountants General. A typing speed of 35 words per minutes in English or 30 words per minute in Hindi on computer will be required for qualifying the type test. (35 words per minute and 30 words per minutes correspond to 10500 key depression per Hour/9000 key depression per Hour respectively on an average of 5 key depressions for each word). The Multi Tasking Staff may take the typing test at any time either before the written examination or after the written examination. They will become eligible for promotion as Clerks after passing written papers of the examination.

|                                                                                      |
|--------------------------------------------------------------------------------------|
| <b>Paper-wise Exemption Matrix of Departmental Examination for 12th pass MTS for</b> |
|--------------------------------------------------------------------------------------|

| <b>promotion as Clerks</b>                                                      |                                                                                                                  |
|---------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|
| <b>Candidate need not appear in the following paper of the revised syllabus</b> | <b>If she/he has secured exemption in these papers in the earlier Departmental Examination for 12th pass MTS</b> |
| Paper 1: English                                                                | Paper 1: English                                                                                                 |
| Paper 2: Arithmetic and Tabulation                                              | Paper 2: Arithmetic and Tabulation                                                                               |
| Paper 3: General Knowledge and Office Procedure                                 | Paper 3: General Knowledge and Office Procedure                                                                  |
| Paper 4: Information Technology Practical                                       | Newly added                                                                                                      |

## **Appendix- VI**

### **Duty list of Rajbhasha Anubhag**

(Referred to in Para 6.5)

1. Translation of section 3 (3) documents, received from the sections of the office and Translation of Reports lay on the table of parliament.
2. Participation in Town Official Language Implementation Committee (TOLIC) Meeting & Compliance on minutes of the meeting.
3. Implementation of Rajbhasha Trainings related to language/ typing/ stenography/ Translation etc.
4. Conduction of Hindi Workshop on quarterly basis.
5. Issuance of Orders related to(4)
6. Publication of Hindi Magazine 'Samwad' annually in the month of September during Hindi Pakhwada.
7. Conduction of Hindi Quarterly Meeting (Agenda & Minutes)
8. Participation in Rajbhasha Sammelan as per orders of Rajbhasha Vibhaag, Home Ministry, Government of India.
9. Regarding Inspection of Parliamentary official language committee as and when required.
10. Regarding Official Language Inspection from Headquarter's Office as and when required.
11. Conduction of Hindi Pakhwara every year and organizing various competitions regarding hindi in the office.
12. Dealing with other correspondence from Headquarter's office related to official language.
13. Sending of quarterly, half yearly and yearly report to the Department of official language, ministry of Home affairs , C &AG and TOLIC.
14. Inspection of wings/sections (minimum 25%) of the office as per the annual programs, etc.
15. Purchase of Hindi book for the library.
16. Regarding inspection of Regional Official Language Committee as and when required.

## Appendix- VII

### DUTY LIST OF REPORT-I SECTION (COMMERCIAL)

(Referred to in Para 6.9)

#### 1. Key Function Area and Key Result Area: Senior Audit Officer

| Sl.No.                     | Key Function Area                                                                                                                                                                         | Key Result Area                                                                                                                                                                                               |
|----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>AUDIT PLANNING</b>      |                                                                                                                                                                                           |                                                                                                                                                                                                               |
| 1                          | Consolidation of Annual Audit Plan                                                                                                                                                        | ➤ To finalize the Annual Audit Plan by December every year and send the same to Headquarters after approval by DGA.                                                                                           |
| <b>CERTIFICATION AUDIT</b> |                                                                                                                                                                                           |                                                                                                                                                                                                               |
| 1                          | Processing of draft audit certificate with respect to annual accounts of Central Public Sector Undertakings/ Autonomous Bodies/ Statutory Corporations/ Externally Aided Projects/ Others | ➤ To finalize the fact and figures of the comments in the draft audit certificate with the key documents submitted by the group and forwarding the same to Headquarters Office after approval of the DGA.     |
| <b>AUDIT REPORTING</b>     |                                                                                                                                                                                           |                                                                                                                                                                                                               |
| 1                          | Processing of Draft Paragraphs                                                                                                                                                            | ➤ To review the facts and figures included in draft paragraphs submitted by different Groups with Key Documents and submit the same to DGA for onward transmission to Headquarters by the specified timeline. |
| 2                          | Processing of Performance Audit Reports/ Thematic Audit Reports/ Compliance Audit                                                                                                         | ➤ To review the facts and figures included in PA/ TA submitted by different Groups with Key Documents and submit the same to DGA for onward transmission to Headquarters by the specified timeline.           |
| <b>AUDIT FOLLOW-UP</b>     |                                                                                                                                                                                           |                                                                                                                                                                                                               |
| 1                          | Vetting of ATNs                                                                                                                                                                           | ➤ To review the vetting remarks submitted by the respective groups.                                                                                                                                           |
| 2                          | Submission of all periodical returns and feedback to the Headquarters                                                                                                                     | ➤ To ensure timely submission of necessary returns to Headquarters.                                                                                                                                           |
| 3                          | Other matters                                                                                                                                                                             | ➤ To attend matters related to chapters of GPFR and other matters as per directions of the DGA from time to time.                                                                                             |

## 2. Key Function Area and Key Result Area: Assistant Audit Officer

| Sl.No.                     | Key Function Area                                                                                                                                                                         | Key Result Area                                                                                                                                                                                              |
|----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>AUDIT PLANNING</b>      |                                                                                                                                                                                           |                                                                                                                                                                                                              |
| 1                          | Consolidation of Annual Audit Plan                                                                                                                                                        | ➤ To consolidate the Annual Audit Plan by December every year and send the same to Headquarters after approval by DGA.                                                                                       |
| <b>CERTIFICATION AUDIT</b> |                                                                                                                                                                                           |                                                                                                                                                                                                              |
| 1                          | Processing of draft audit certificate with respect to annual accounts of Central Public Sector Undertakings/ Autonomous Bodies/ Statutory Corporations/ Externally Aided Projects/ Others | ➤ To check the fact and figures of the comments in the draft audit certificate with the key documents submitted by the group and forwarding the same to Headquarters Office after approval of the DGA.       |
| <b>AUDIT REPORTING</b>     |                                                                                                                                                                                           |                                                                                                                                                                                                              |
| 1                          | Processing of Draft Paragraphs                                                                                                                                                            | ➤ To check the facts and figures included in draft paragraphs submitted by different Groups with Key Documents and submit the same to DGA for onward transmission to Headquarters by the specified timeline. |
| 2                          | Processing of Performance Audit Reports/ Thematic Audit Reports/ Compliance Audit                                                                                                         | ➤ To check the facts and figures included in PA/ TA submitted by different Groups with Key Documents and submit the same to DGA for onward transmission to Headquarters by the specified timeline.           |
| <b>AUDIT FOLLOW-UP</b>     |                                                                                                                                                                                           |                                                                                                                                                                                                              |
| 1                          | Vetting of ATNs                                                                                                                                                                           | ➤ To check the vetting remarks submitted by the respective groups.                                                                                                                                           |
| 2                          | Submission of all periodical returns and feedback to the Headquarters                                                                                                                     | ➤ To prepare all periodical returns and other information required by Headquarters Office                                                                                                                    |
| 3                          | Other matters                                                                                                                                                                             | ➤ To attend matters related to chapters of GPFR and other matters as per directions of the DGA from time to time.                                                                                            |

## Key Function Area and Key Result Area: Supervisor/ Assistant Supervisor

| Sl.No.                | Key Function Area | Key Result Area |
|-----------------------|-------------------|-----------------|
| <b>AUDIT PLANNING</b> |                   |                 |

|                        |                                                                                   |                                                                                                                                                                                                                |
|------------------------|-----------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1                      | Consolidation of Annual Audit Plan                                                | ➤ To consolidate the Annual Audit Plan by December every year and send the same to Headquarters after approval by DGA.                                                                                         |
| <b>AUDIT REPORTING</b> |                                                                                   |                                                                                                                                                                                                                |
| 1                      | Processing of Draft Paragraphs                                                    | ➤ Verification of key documents of the draft paragraphs submitted by different Groups                                                                                                                          |
| 2                      | Processing of Performance Audit Reports/ Thematic Audit Reports/ Compliance Audit | ➤ Verification of key documents of the draft audit reports submitted by different Groups                                                                                                                       |
| <b>AUDIT FOLLOW-UP</b> |                                                                                   |                                                                                                                                                                                                                |
| 1                      | Submission of all periodical returns and feedback to the Headquarters             | ➤ Preparation of all periodical returns, viz, MPRs, SFRs, return related to Foreign Branches, fraud and corruption, Externally Aided Projects, Rajbhasha and other information required by Headquarters Office |
| 2                      | Other matters                                                                     | ➤ To attend matters related to chapters of GPFR and other matters as per directions of the DGA from time to time.                                                                                              |

**Key Function Area and Key Result Area: Auditor**

| Sl.No.                 | Key Function Area              | Key Result Area                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|------------------------|--------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>SECTIONAL FILES</b> |                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 1                      | Maintenance of Sectional Files | <p>To maintain files with respect to :</p> <ul style="list-style-type: none"> <li>➤ Misc. Correspondence with RAP/ Section</li> <li>➤ Hindi Returns</li> <li>➤ Summarized Financial Results</li> <li>➤ Annual Report of Companies/ Corporations</li> <li>➤ Fraud and Corruption</li> <li>➤ Annual return regarding foreign branch</li> <li>➤ Posting/ Transfers</li> <li>➤ Resume of Comments</li> <li>➤ Audit Board Meetings</li> <li>➤ DP Correspondence</li> <li>➤ Draft Ranking System in Audit Office</li> <li>➤ Follow up on Audit Report returns</li> <li>➤ ATN Register/ DP Register</li> <li>➤ Guard File</li> <li>➤ Important circulars received from Admn.</li> </ul> |
| <b>OTHER MATTER</b>    |                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 1                      | Other matters                  | ➤ To attend any other work as and when assigned by AAO/ SAO.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |

**Key Function Area and Key Result Area: DEO**

| Sl.No.                 | Key Function Area              | Key Result Area                                                                                                                                                                                                                                                                                                                                                                                       |
|------------------------|--------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>SECTIONAL FILES</b> |                                |                                                                                                                                                                                                                                                                                                                                                                                                       |
| 1                      | Maintenance of Sectional Files | <p>To maintain files with respect to :</p> <ul style="list-style-type: none"><li>➤ Monthly status of employees</li><li>➤ Absentee statement</li><li>➤ General/ Hindi diary</li><li>➤ CAG diary</li><li>➤ Guard File</li><li>➤ File of accounts/ ATN (Photocopy)</li><li>➤ File of DP (Photocopy)</li><li>➤ Accounts Correspondence with Headquarters Office</li><li>➤ Printed Annual Report</li></ul> |
| <b>OTHER MATTER</b>    |                                |                                                                                                                                                                                                                                                                                                                                                                                                       |
| 1                      | Other matters                  | <ul style="list-style-type: none"><li>➤ To attend any other work as and when assigned by AAO/ SAO.</li></ul>                                                                                                                                                                                                                                                                                          |

## **Appendix VIII**

### **DUTY LIST OF REPORT-II SECTION (CIVIL )**

(Referred to in Para 6.10)

| <b>AUDIT REPORTING</b>                                                            |                                                                                                                                                                                                               |
|-----------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Processing of Draft Paragraphs                                                    | ➤ To review the facts and figures included in draft paragraphs submitted by different Groups with Key Documents and submit the same to DGA for onward transmission to Headquarters by the specified timeline. |
| Processing of Performance Audit Reports/ Thematic Audit Reports/ Compliance Audit | ➤ To review the facts and figures included in PA/ TA submitted by different Groups with Key Documents and submit the same to DGA for onward transmission to Headquarters by the specified timeline.           |
| <b>AUDIT FOLLOW-UP</b>                                                            |                                                                                                                                                                                                               |
| Vetting of ATNs                                                                   | ➤ To review the vetting remarks submitted by the respective groups.                                                                                                                                           |
| Submission of all periodical returns and feedback to the Headquarters             | ➤ To ensure timely submission of necessary returns to Headquarters.                                                                                                                                           |
| Other matters                                                                     | ➤ To attend matters related to chapters of GPFR and other matters as per directions of the DGA from time to time.                                                                                             |

**Appendix IX**

**(Referred to in Para 5.4)**

**Annexure-I**

**Office of the  
Director General of Audit (Infra)  
New Delhi-110001**

**NO REPORT CERTIFICATE**

(For the period from \_\_\_\_\_ to \_\_\_\_\_)

Certify that Annual Performance Assessment Report (APAR) for the period \_\_\_\_\_ in respect of Shri/Smt. \_\_\_\_\_ (Name & Designation) has not been written since the period is less than 90 (Ninety) days.

The period \_\_\_\_\_ in respect of the APAR of Shri/Smt. \_\_\_\_\_ may be treated as 'No Report Period'.

**Signature  
(on behalf of Administrative Head of  
Department/Head of Office)**

**Annexure-II**

**Office of the  
Director General of Audit (Infra)  
New Delhi-110001**

**NO REPORT CERTIFICATE**

(For the period from \_\_\_\_\_ to \_\_\_\_\_)

Certify that comments/remarks of the Reviewing/Accepting Authority for the period \_\_\_\_\_ in respect of the APAR of Shri/Smt. \_\_\_\_\_ (Name & Designation) could not be recorded as the Reviewing/Accepting Authority has not completed the 90 (ninety) days period required for initiating the APAR.

OR

Certify that comments/remarks of the Reviewing/Accepting Authority for the period \_\_\_\_\_ in respect of the APAR of Shri/Smt. \_\_\_\_\_ (Name & Designation) could not be recorded as Shri/Smt. \_\_\_\_\_ (Name & designation), the then Reviewing/Accepting Authority has demitted office.

**Signature  
(on behalf of Administrative Head of  
Department/Head of Office)**

**Annexure-III**

**Office of the  
Director General of Audit (Infra)  
New Delhi-110001**

**NO REPORT CERTIFICATE**

(For the period from \_\_\_\_\_ to \_\_\_\_\_)

Certify that Annual Performance Assessment Report (APAR) for the period \_\_\_\_\_ in respect of Shri/Smt. \_\_\_\_\_ (Name & Designation) could not be written as the Reporting Authority has not completed the 90(ninety) days period required for initiating the APAR.

The period \_\_\_\_\_ in respect of the APAR of Shri/Smt. \_\_\_\_\_ may be treated as 'No Report Period'.

**Signature  
(on behalf of Administrative Head of  
Department/Head of Office)**



SUPREME AUDIT INSTITUTION OF INDIA  
लोकहितार्थं सत्यनिष्ठा  
Dedicated to Truth in Public Interest

सहायक लेखापरीक्षा अधिकारियों / हिंदी अधिकारियों / पर्यवेक्षकों  
के लिए  
वार्षिक निष्पादन मूल्यांकन रिपोर्ट  
**ANNUAL PERFORMANCE APPRAISAL REPORT FOR  
ASSISTANT AUDIT OFFICERS/HINDI OFFICERS/  
SUPERVISORS**

श्री / श्रीमती / सुश्री / Shri/Smt./Ms. ....

पदनाम / Designation .....

से / From..... तक / to.....

भारत सरकार  
कार्यालय महानिदेशक लेखापरीक्षा (अवसंरचना)  
नई दिल्ली-110002  
Office of the Director General of Audit (Infrastructure), Delhi  
3rd Floor, 'A' Wing, I.P. Bhawan,  
New Delhi-110002

**पर्यवेक्षकों / सहायक लेखापरीक्षा अधिकारियों / हिंदी अधिकारियों  
के लिए वार्षिक निष्पादन मूल्यांकन रिपोर्ट  
ANNUAL PERFORMANCE APPRAISAL REPORT FOR  
SUPERVISORS/ASSISTANT AUDIT OFFICERS/  
HINDI OFFICERS**

.....से.....तक की अवधि के लिए रिपोर्ट  
Report for the period from.....to.....

**भाग—I**

**PART-I**

**व्यक्तिगत विवरण**

**PERSONAL DATA**

(कार्यालय के संबंधित प्रशासन अनुभाग द्वारा भरे जाने के लिए)  
(To be filled by the Administrative Section concerned of the Office)

1. अधिकारी / कर्मचारी का नाम  
(बड़े अक्षरों में)  
Name of the Official  
(in capital letters)
2. कर्मचारी की आई डी  
Employee I.D.
3. पदनाम  
Designation
4. क्या अधिकारी / कर्मचारी अनुसूचित जाति /  
अनुसूचित जनजाति से संबंधित है ?  
Whether the Official belongs to  
Scheduled caste/Scheduled Tribe ?
5. जन्म तिथि  
Date of Birth
6. व्यावसायिक तथा तकनीकी योग्यता को  
सम्मिलित करते हुए शैक्षिक योग्यता  
Educational qualifications including  
Professional and technical qualifications
7. विभागीय परीक्षा उत्तीर्ण  
अर्थात् एसओजीई (सिविल, वाणिज्यिक, रेलवे,  
पी एण्ड टी, राजस्व लेखापरीक्षा आदि)  
Departmental Examination passed  
i.e. SOGE (Civil, Commercial, Railway,  
P&T, Revenue Audit etc).
8. वर्तमान पदक्रम में लगातार नियुक्ति की तिथि  
Date of continuous appointment to the present grade
9. वर्तमान पद तथा उस पर नियुक्ति की तिथि  
Present Post and date of appointment thereto
10. वर्ष में कार्य से अनुपस्थिति की अवधि (छुट्टी, प्रशिक्षण आदि)  
यदि उक्त अधिकारी / कर्मचारी ने प्रशिक्षण लिया है तो उसका विवरण दें  
Period of absence from duty (on leave, training etc.) during the year  
If he has undergone training please specify.

(i)

**व्यक्तिगत मूल्यांकन  
(SELF APPRAISAL)**

(जिस अधिकारी/कर्मचारी की रिपोर्ट लिखी जानी है, उसके द्वारा भरा जाए)  
(To be filled by the Official Reported upon)

**भाग-II  
PART-II**

(कृपया प्रविष्टियाँ भरने से पहले प्रपत्र के अन्त में दिए गए अनुदेशों को ध्यान से पढ़ लें)  
(Please carefully read the instructions given at the end of the form before filling the entries)

1. कार्यो का संक्षिप्त विवरण  
Brief description of the duties

2. "कार्य के जो लक्ष्य/उद्देश्य/ध्येय (परिमाणात्मक या अन्य रूप में) आपने स्वयं के लिए निर्धारित किए हों, या आपके लिए निर्धारित किए गए हों, उन कार्यो की आठ-दस मर्दें प्राथमिकता के आधार पर बनाएं तथा प्रत्येक लक्ष्य में अपनी उपलब्धि बताएं, विशेष रूप से नियोजित खरीद के संबंध में और वास्तव में जैम पोर्टल के माध्यम से उन सरकारी कर्मचारियों के लिए बनाया गया है, जिन्होंने संदर्भित अवधि के दौरान खरीद को संभाला।

"Please specify targets/objectives/goals (in quantitative or other terms) of work you set for yourself or that were set for you, eight to ten items of work in the order of priority and your achievement against each target, particularly having regard to procurement planned and actually made through GeM portal for those Government servants who handled procurement during the period under reference.

लक्ष्य/उद्देश्य/ध्येय  
Target/Objective/Goals

उपलब्धियाँ  
Achievements

(ii)

| <b>जैम पोर्टल के माध्यम से की गई खरीद (जहाँ भी लागू हो)</b><br><b>Procurements made through GeM portal (wherever applicable)</b>                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| (i) खरीद के लिए मंत्रालय / प्रभाग / विभाग / अनुभाग द्वारा आवंटित बजट रु० में (उपरोक्त समीक्षा किए गए अधिकारी के मामले में जैसे भी लागू हो)<br>(i) Total budget allocated for procurement by the Ministry/Department/Division/Section in Rupees (as may be applicable in the case of the Officer Reported Upon). | (i) जैम पोर्टल से रिपोर्ट की अवधि के दौरान उनके द्वारा की गई कुल खरीद (रु० में)<br>(i) Total procurement through GeM portal made by him/her during the period of report (in Rs.)<br><br>(ii) लक्ष्य में इंगित बजट के सापेक्ष जैम पोर्टल के माध्यम से खरीद की प्रतिशतता (%)<br>(ii) % of procurement through GeM portal as against the budget indicated in the Target.<br><br>(iii) जैम पोर्टल के अतिरिक्त की गई खरीद तथा उसका कारण<br>(iii) Procurements made outside GeM portal and the reasons thereof.<br><br>(iv) मंत्रालय / विभाग / प्रभाग तथा अनुभाग में जैम पोर्टल के संवर्धन के लिए उठाए गए कदम।<br>(iv) Steps taken for promotion of GeM in the Ministry/Department/Division/Section. |

- 2B यदि आप एक सहायक लेखापरीक्षा/लेखा अधिकारी हैं तो कृपया व्यवस्थित लक्ष्य तथा रिकॉर्डिंग, इन्डेक्सिंग तथा फाइलों को वीड आउट, गार्ड फाइलों, अनुभागीय नोट बुक तथा अन्य पंजिकाओं के रख-रखाव, ओ एण्ड एम तथा अन्य प्रतिवेदनों के प्रस्तुतीकरण के संबंध में किए गए कार्य की मात्रा/परिमाण बताएं।

If you are a Assistant Audit/Accounts Officer, please state briefly, the target set and the quantum of work done in regard to recording, indexing and weeding out of files, maintenance of Guard Files, Sectional Note Book and other registers, furnishing of O & M and other returns etc.

(iii)

- 3 (अ) कृपया मद 2 में बताए गए लक्ष्यों/उद्देश्यों/ध्येयों की प्राप्ति में रही कमियों का संक्षेप में उल्लेख करें। यदि लक्ष्यों की प्राप्ति में कोई बाधाएँ रही हों तो ये बताएं।

(A) Please state briefly, the shortfalls with reference to the targets/objectives/goals referred to in item 2. Please specify constraints, if any, in achieving the targets.

(ब) कृपया उन मदों का भी उल्लेख करें जिनमें अधिक महत्वपूर्ण उपलब्धियाँ रही हैं और उनमें अपने योगदान का भी उल्लेख करें।

(B) Please also indicate items in which there have been significantly higher achievements and your contribution thereto.

(स) प्रशिक्षण कार्यक्रम में प्रतिभागिता।

(C) Training programme attended.

- 4 कृपया उल्लेख करें कि क्या पूर्ववर्ती कलैण्डर वर्ष की 'अचल संपत्ति वार्षिक विवरणी' निर्धारित तारीख अर्थात् कलैण्डर वर्ष से उत्तरवर्ती वर्ष की 31 जनवरी तक दर्ज करा दी गई थी। यदि नहीं, तो विवरण दर्ज कराने की तारीख दी जाए।

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

दिनांक

Date.....

सूचना देने वाले अधिकारी के हस्ताक्षर

Signature of officer reported upon

(iv)

### भाग-III

### PART-III

(रिपोर्टिंग अधिकारी द्वारा भरे जाने के लिए)

(To be filled in by Reporting Officer)

- 1 कृपया बताएं कि क्या आप भाग-II में उल्लिखित प्रतिवेदित अधिकारी/कर्मचारी के व्यक्तिगत मूल्यांकन से सहमत हैं। यदि नहीं, कृपया तथ्यात्मक विवरण प्रस्तुत करें।  
Please state whether you agree with the self-appraisal of the Official reported upon as mentioned in Part-II. If not, please furnish the factual details.

|  |
|--|
|  |
|--|

संख्यात्मक वर्गीकरण का निर्धारण, रिपोर्टिंग तथा समीक्षा प्राधिकारी द्वारा किया जाना है जो 1-10 के मापन पर होना चाहिए, निम्नतम श्रेणी सबसे कम श्रेणी का तथा 10 उच्चतम श्रेणी का उल्लेख करता है।

संख्यात्मक श्रेणीकरण, जहाँ लागू हो, खरीदारी के लिए जैम पोर्टल के उपयोग के संबंध में तथा कार्यात्मक क्षमता के आकलन के तहत कार्य क्षेत्र में नियम/विनियमों/प्रक्रियाओं की जानकारी तथा उन पर अमल करने की योग्यता एवं कार्य परिणाम के आकलन के तहत आबंटित विषय पर नियोजित कार्य/आबंटित कार्य के पूरा करने की मद हेतु व्यक्तिगत मूल्यांकन में अधिकारी द्वारा अंकित टिप्पणी के संबंध में विशेषतः अंक दिए जा सकते हैं।

Numerical gradings, wherever applicable, may be awarded by reporting and reviewing authority which should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest.

Numerical gradings, wherever applicable, may be awarded having special regard to the remarks recorded by the officer in the Self-appraisal regarding utilization of GeM portal for procurement and specifically for items 'Accomplishment of planned work/work allotted as per subjects allotted' under Assessment of Work Output and 'Knowledge of Rules/Regulations/Procedures on the area of function and ability to apply them correctly' under Assessment of Functional Competency."

(कृपया प्रविष्टियों को भरने से पहले दिशा-निर्देशों को ध्यान से पढ़ लें)

(Please read carefully the guidelines before filling the entries)

(अ) कार्य निष्पादन का मूल्यांकन (इस भाग का भारांश 40% होगा)

(A) Assessment of work output (weightage to this/Section would be 40%)

|                                                                                                                                                     | रिपोर्टिंग प्राधिकारी<br>Reporting Authority | समीक्षा प्राधिकारी<br>(संदर्भ भाग-5 का पैरा 2)<br>Reviewing Authority<br>(Refer Para 2 of part 5) | समीक्षा प्राधिकारी के आद्याक्षर<br>Initial of Reviewing Authority |
|-----------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|
| i) पूर्वनियोजित कार्य की परिपूर्णता/विषय के आधार पर आबंटित किया गया कार्य<br>Accomplishment of planned work/work allotted as per subjects allotted. |                                              |                                                                                                   |                                                                   |
| ii) कार्य-निष्पादन की कोटि<br>Quality of output                                                                                                     |                                              |                                                                                                   |                                                                   |
| iii) विश्लेषणात्मक योग्यता<br>Analytical ability                                                                                                    |                                              |                                                                                                   |                                                                   |
| iv) अपवादात्मक कार्य की परिपूर्णता/किए गए अप्रत्याशित कार्य<br>Accomplishment of exceptional work/unforeseen tasks performed.                       |                                              |                                                                                                   |                                                                   |
| निर्गत कार्य पर कुल श्रेणीकरण<br>Overall Grading on 'Work Output'                                                                                   |                                              |                                                                                                   |                                                                   |

(v)

(ब) व्यक्तिगत विशेषताओं का मूल्यांकन (इस भाग का भारांश 30% होगा)  
(B) Assessment of personal attributes (weightage to this Section would be 30%)

|                                                                                  | रिपोर्टिंग<br>प्राधिकारी<br>Reporting<br>Authority | समीक्षा प्राधिकारी<br>(संदर्भ भाग-5 का पैरा 2)<br>Reviewing Authority<br>(Refer Para 2 of part 5) | समीक्षा<br>प्राधिकारी के<br>आद्याक्षर<br>Initial of<br>Reviewing<br>Authority |
|----------------------------------------------------------------------------------|----------------------------------------------------|---------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|
| i) कार्य की अभिवृत्ति<br>Attitude to work                                        |                                                    |                                                                                                   |                                                                               |
| ii) उत्तरदायित्व बोध<br>Sense of responsibility                                  |                                                    |                                                                                                   |                                                                               |
| iii) अनुशासन का अनुरक्षण<br>Maintenance of Discipline                            |                                                    |                                                                                                   |                                                                               |
| iv) संप्रेषण क्षमताएं<br>Communication Skills                                    |                                                    |                                                                                                   |                                                                               |
| v) नेतृत्व गुण<br>Leadership qualities                                           |                                                    |                                                                                                   |                                                                               |
| vi) दल भावना में कार्य करने की क्षमता<br>Capacity to work in team spirit.        |                                                    |                                                                                                   |                                                                               |
| vii) समय सारणी का अनुसरण करने की क्षमता<br>Capacity to adhere to time-schedule   |                                                    |                                                                                                   |                                                                               |
| viii) अंतर्व्यक्तिक संबंध<br>Inter-personal relations                            |                                                    |                                                                                                   |                                                                               |
| ix) समग्र छवि एवं व्यक्तित्व<br>Overall bearing and personality                  |                                                    |                                                                                                   |                                                                               |
| व्यक्तिगत विशेषताओं पर कुल श्रेणीकरण<br>Overall Grading on 'personal attributes' |                                                    |                                                                                                   |                                                                               |

(vi)

(स) कार्यात्मक क्षमता का मूल्यांकन (इस भाग का भारांश 30% होगा)  
(C) Assessment of functional competency (weightage to this Section would be 30%)

|                                                                                                                                                                                                    | रिपोर्टिंग प्राधिकारी<br>Reporting Authority | समीक्षा प्राधिकारी<br>(संदर्भ भाग-5 का पैरा 2)<br>Reviewing Authority<br>(Refer Para 2 of part 5) | समीक्षा प्राधिकारी के आद्याक्षर<br>Initial of Reviewing Authority |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|
| i) नियम/विनियम/कार्य एवं योग्यता के क्षेत्र में प्रक्रियाएं एवं उनके सही प्रयोग की क्षमता<br>Knowledge of Rules/Regulation/Procedures in the area of function and ability to apply them correctly. |                                              |                                                                                                   |                                                                   |
| ii) नीतिबद्ध योजना बनाने की क्षमता<br>Strategic planning ability                                                                                                                                   |                                              |                                                                                                   |                                                                   |
| iii) निर्णय लेने की क्षमता<br>Decision making ability                                                                                                                                              |                                              |                                                                                                   |                                                                   |
| iv) समन्वय क्षमता<br>Coordination ability                                                                                                                                                          |                                              |                                                                                                   |                                                                   |
| v) अधीनस्थ को प्रेरित एवं विकसित करने की क्षमता<br>Ability to motivate and develop subordinates                                                                                                    |                                              |                                                                                                   |                                                                   |
| vi) पहल शक्ति<br>Initiative                                                                                                                                                                        |                                              |                                                                                                   |                                                                   |
| कार्यात्मक क्षमता पर कुल श्रेणीकरण<br>Overall Grading on 'Functional Competency'                                                                                                                   |                                              |                                                                                                   |                                                                   |

**भाग-IV**  
**PART-IV**  
सामान्य  
General

- (अ) अनुसूचित जाति/जनजाति/समाज के कमजोर वर्ग के प्रति अभिवृत्ति  
(कृपया अनुसूचित जाति/जनजाति/कमजोर वर्गों की समस्याओं के प्रति उनकी समझ तथा उनके साथ कार्य करने की इच्छा के संदर्भ में टिप्पणी दें।)
- (A) Attitude towards Scheduled Caste/Scheduled Tribes/Weaker Section of Society  
(Please comment on his/her understanding of the problems of Scheduled Caste/Scheduled Tribes/Weaker Sections and willingness to deal with them)

(vii)

1.
  - \*\* (ब) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के विकास तथा सुरक्षा में प्रभावशीलता।
  - \*\* (B) Effectiveness in the development and protection of Scheduled Castes and / or Scheduled Tribes.
  - (क) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के प्रति अभिवृत्ति।
  - (a) Attitude towards Scheduled Castes and/or Scheduled Tribes.
  - (ख) सामाजिक न्याय के प्रति संवेदनशीलता।
  - (b) Sensitivity to social justice.
  - (ग) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के प्रति अत्याचार को रोकने तथा न्याय सुनिश्चित करने हेतु तुरंत एवं प्रभावी कदम उठाने हेतु योग्यता।
  - (c) Ability to take quick and effective action to prevent and quell atrocities and ensure justice to Scheduled Castes and/or Scheduled Tribes.
  - (घ) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के विकास में प्रभावशीलता।
  - (d) Effectiveness in bringing about the development of Scheduled Castes and/or Scheduled Tribes.
  - \*\* (केवल एससी तथा/अथवा एसटी के विकास तथा सुरक्षा हेतु कार्य करने वाले अधिकारी के मामले में भरा जाए। जहाँ किसी अधिकारी के मामले में कॉलम लागू नहीं है वहाँ इसे कॉलम के समक्ष अंकित किया जाए।)
  - \*\* (To be filled in only in the case of officers dealing with development and protection of SCs and/or STs. Where the column is not applicable in the case of any officer, it may be so stated against the column.)
2. अभिवृत्ति तथा क्षमता  
 Attitude & Potential :  
 (कृपया अधिकारी की सम्भावित विशिष्टता तथा कैरियर के विकास के लिए निम्न में से किन्हीं तीन कार्यक्षेत्रों को इंगित करें, कृपया किन्हीं तीन उचित खानों में 1, 2, 3 अंकित करें।)  
 (Please indicate three fields of work from amongst the following for possible specialization and career development of the officer, please mark 1, 2, 3 in three appropriate boxes)

- |                                                    |                          |
|----------------------------------------------------|--------------------------|
| (i) प्राप्त लेखापरीक्षा                            | <input type="checkbox"/> |
| (i) Receipt Audit                                  |                          |
| (ii) वाणिज्यिक लेखापरीक्षा                         | <input type="checkbox"/> |
| (ii) Commercial Audit                              |                          |
| (iii) स्वायत्त निकाय लेखापरीक्षा                   | <input type="checkbox"/> |
| (iii) Autonomous Bodies Audit                      |                          |
| (iv) कार्य लेखापरीक्षा                             | <input type="checkbox"/> |
| (iv) Works Audit                                   |                          |
| (v) अन्य लेखापरीक्षा                               | <input type="checkbox"/> |
| (v) Other Audit                                    |                          |
| (vi) निजी प्रशासन तथा कार्यालय प्रबंधन             | <input type="checkbox"/> |
| (vi) Personal Administration and Office Management |                          |
| (vii) लेखा क्रिया विधि                             | <input type="checkbox"/> |
| (vii) Account Function                             |                          |
| (viii) एंटाइटलमेंट क्रिया विधि                     | <input type="checkbox"/> |
| (viii) Entitlement Function                        |                          |
| (ix) प्रशिक्षण                                     | <input type="checkbox"/> |
| (ix) Training                                      |                          |
| (x) प्रणाली, ओ एण्ड एम. कंप्यूटरीकरण               | <input type="checkbox"/> |
| (x) System, OS M Computerisation                   |                          |
| (xi) कोई अन्य क्षेत्र (कृपया स्पष्ट करें)          | <input type="checkbox"/> |
| (xi) Any Other Fields (Please specify)             |                          |

(viii)

3. प्रशिक्षण  
Training  
(कृपया अधिकारी की प्रभावकारिता एवं कार्य क्षमताओं में और अधिक सुधार और वृद्धि करने की दृष्टि से उसके प्रशिक्षण के लिए सिफारिशें करें।)  
(Please give recommendations for training with a view to further improving the effectiveness and capabilities of the Officer).

|  |
|--|
|  |
|--|

4. लेखापरीक्षा/लेखा अधिकारियों, वरिष्ठ लेखापरीक्षा/लेखा अधिकारियों के लिए अतिरिक्त विशेषताएँ।  
Additional Attributes for Audit/Accounts Officers, Senior Audit/Accounts Officers.  
(अ) संगठन के साथ उनका संबंध तथा उसके सहयोग की क्षमता पर टिप्पणी दें।  
(a) Please comment on his/her relations with the organizations and ability to elicit co-operation from them.  
(ब) कृपया निजी दावों के संबंध में शिकायतों के निवारण के प्रति उनके व्यवहार पर टिप्पणी दें।  
(b) Please comment on his/her attitude towards redressal of grievances relating to personal claims.

5. स्वास्थ्य की स्थिति  
State of health

|  |
|--|
|  |
|--|

6. सत्यनिष्ठा  
Integrity  
(कृपया अधिकारी की सत्यनिष्ठा पर टिप्पणी दें)  
(Please comment on the integrity of the Officer)

|  |
|--|
|  |
|--|

7. प्रतिवेदन अधिकारी द्वारा अधिकारी की समस्त विशेषताओं का लिखित विवरण (लगभग 100 शब्दों में), जिसमें सामर्थ्य क्षेत्र एवं कम सामर्थ्य क्षेत्र, असाधारण उपलब्धियाँ, महत्वपूर्ण विफलताओं (संदर्भ : भाग-2 का 3(अ) एवं 3(ब) एवं कमजोर वर्गों के प्रति अभिवृत्ति शामिल हो।

जहाँ लागू हों, रिपोर्ट के तहत अवधि के दौरान जैम पर खरीद, जैम पर खरीद की प्रतिशतता के संवर्धन हेतु, अधिकारी द्वारा उठाए गए कदमों पर टिप्पणी तथा कार्यालय में जैम के पूर्ण कार्यान्वयन की ओर उसका व्यवहार भी रिकार्ड किया जाए।

Pen Picture by Reporting Officer (in about 100 words) on the overall qualities of the officer including area of strengths and lesser strength, extraordinary achievements, significant failures (ref. 3(A) & 3(B) of Part-2) and attitude towards weaker sections.

"Wherever applicable, comments on steps taken by the officer for promotion of procurement on GeM during the period under report, percentage of procurement on GeM and his/her attitude towards full implementation of GeM in the office may also be recorded."

|  |
|--|
|  |
|--|

8. प्रतिवेदन के भाग-3 के खण्ड अ, ब तथा स में दिए गए भारांश के आधार पर कुल मिलाकर संख्यात्मक वर्गीकरण।  
Overall numerical grading on the basis of weightage given in Section A, B and C in Part-3 of the Report.

|  |
|--|
|  |
|--|

रिपोर्टिंग अधिकारी के हस्ताक्षर  
Signature of the Reporting Officer

|                       |                                                                                        |
|-----------------------|----------------------------------------------------------------------------------------|
| स्थान :<br>Place..... | नाम बड़े अक्षरों में<br>Name in Block Letters: .....<br>पदनाम :<br>Designation : ..... |
| दिनांक :<br>Date..... | रिपोर्ट की अवधि के दौरान<br>During the period of Report.....                           |

(x)

**भाग-IV समीक्षा अधिकारी की टिप्पणियाँ**  
**PART-IV REMARKS OF THE REVIEWING OFFICER**

1. समीक्षा अधिकारी के अधीन सेवा की अवधि  
Length of service under the reviewing officer.
2. क्या आप खण्ड-3 में निर्गत कार्य तथा विभिन्न गुणों के संबंध में प्रतिवेदन अधिकारी द्वारा दिए गए गुणों के किसी संख्यात्मक मूल्यांकन से सहमत नहीं हैं तो कृपया अपना मूल्यांकन भाग-III में उपलब्ध करवाए गए कॉलम में दें तथा प्रविष्टि पर आद्याक्षर करें।  
Do you agree with the assessment made by Reporting Officer with the respect to work output and the various attributes in Part-III ? In case you do not agree with any of the numerical assessments of attributes please record your assessment in the column provided for you in Part-III and initial your entries.

|                                   |                                                                                                                                          |
|-----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
| हाँ, मैं सहमत हूँ<br>Yes, I agree | नहीं, मैं सहमत नहीं हूँ, मैंने अपना मूल्यांकन भाग-III में दर्ज किया है।<br>No, I do not agree, I have recorded my assessment in Part III |
|-----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|

(कृपया जो लागू न हो, काट दें)  
(Please strike out whichever is not applicable)

3. विचारों में मतभेद होने के मामले में, कृपया इसके लिए विवरण तथा कारण दें।  
In case of difference of opinion, please give details and reasons for the same.
4. यदि उपर्युक्त प्रतिवेदन करने वाला अधिकारी अनुसूचित जाति/जनजाति का सदस्य है, कृपया विशेष रूप से इंगित करें कि क्या अनुसूचित जाति/जनजाति के अधिकारी के मूल्यांकन में रिपोर्टिंग अधिकारी का दृष्टिकोण स्पष्ट तथा यथोचित है।  
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.
5. रिपोर्टिंग अधिकारी द्वारा लिखी गई पेन पिक्चर पर यदि कोई टिप्पणी हो तो।  
Comments, if any, on the Pen Picture written by the Reporting Officer
6. रिपोर्ट के भाग-3 के पैरा 2, 3 तथा 4 में दिए गए भारांश के आधार पर समग्र संख्यात्मक ग्रेडिंग।  
Overall numerical grading on the basis of weightage given in Para, 2, 3 and 4 in Part-III of the Report.

स्थान  
Place.....  
दिनांक  
Date.....

समीक्षा अधिकारी के हस्ताक्षर  
Signature of the Reviewing Officer  
नाम बड़े अक्षरों में.....  
Name in Block Letters.....  
रिपोर्ट की अवधि के दौरान.....  
During the period of Report.....

## INSTRUCTIONS

1. The Annual Performance Appraisal report (APAR) is an important document. It provides the basic vital inputs for assessing the performance of an official and for his/her further advancement in his/her career. The Official reported upon, the Reporting Authority, the Reviewing Authority and the Accepting Authority should, therefore, undertake the duty of filling out the form with a high sense of responsibility.
2. The Performance Appraisal should be used as a tool for human resources development. Reporting Officers should realize that the objectives is to develop an official so that he/she realize true potential. It is not meant to be a fault-finding process but a development one. The Reporting Officer and the Reviewing Officer should not shy away from reporting shortcomings in performance, attitudes or overall personality of the official reported upon.
3. The items should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a Casual or superficial manner will be easily discernible to higher authorities.
4. Answers shall be given in a narrative form. The space provided indicates the desired length of the answer. Words and phrases should be chosen care fully and should accurately reflect the intention of the authority recording the answer. Please use unambiguous and simple language. Please do not use omnibus expression like 'Outstanding', 'Very Good', 'Good', 'Average', 'Below Average', while giving your comments.
5. The Reporting Officer shall, in the beginning of the year set quantitative / physical targets in consultations with each of the Officials with respect to whom he is required to reported upon. Performance appraisal should be a joint exercise between the official reported upon and the reporting officer. The targets/goals shall be set at the commencement of the reporting year. In the case of an official taking up a new assignment in the course of the reporting year, such targets/goals shall be set at the time of assumption of the new assignment.
6. The target should be clearly known and understood by both the officers concerned. While fixing the targets, priority should be assigned item-wise, taking into consideration the nature and the area of the work and any special feature that may be specific to the manner or the area of the work of the official to be reported upon.
7. Although performance appraisal is a year-end exercise, in order that it may be a tool for human resource development, the Reporting Officer and the official reported upon should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.
8. It should be the endeavors of each appraiser to present the trust possible picture of the appraise in regard and his/her performance, conduct, behavior and potential.
9. Assessment should be confined to the appraise performance during the period of report only.
10. Some post of the same rank may be more exacting than others. The degree of stress and strain in any post may also vary from time to time. These facts should be borne in mind during appraisal and should be connected upon appropriately.
11. Aspects on which an appraise is to be evaluated on different attributes are delineated below each column. The appraiser should deal with these and other aspects relevant to the attributes.

12. The following procedure should be followed in filling up the column relating to integrity.
  - (i) If the Official's integrity is beyond doubt, it may be so stated.
  - (ii) If there is any doubt or suspicion, the column should be left blank and action taken as under.
    - (a) A separate secret note should be recorded and followed up. A copy of the note should also be sent together with the APAR to the next superior Officer who will ensure that the follow up action is taken expeditiously. Where it is not possible either to certify the integrity or to record the secret note, the Reporting Officer should state either that he had not watched the Official's work for sufficient time to form a definite judgement or that he has heard nothing against the official, as case may be.
    - (b) If, as a result of the follow up action, the doubts or suspicions are cleared, the official's integrity should be certified and an entry made accordingly in the APAR.
    - (c) If, the doubts or suspicions are confirmed, this fact should also be recorded and duly communicated to the official concerned.
    - (d) If, as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the official's conduct should be watched for a further period and thereafter action taken as indicated at (b) and (c) above.
13. Guidelines regarding filling up APAR with numerical grading:
  - (i) Numerical grading are to be awarded by Reporting and Reviewing Authorities for the quality of work output, personal attributes and functional competence of the official reported upon. These should be on the scale of 1-10, where 1 refers to the lowest grade and 10 to the highest grade.
  - (ii) It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 9 or 10 would be justified with respect to specific accomplishments. Grades of 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the Reporting and Reviewing Authorities should rate the official against a larger population of his/her peers that may be currently working under them.
  - (iii) APARs graded between 8 and 10 will be rated as 'Outstanding' and will be given a score of the 9 for the purpose of calculating average scores for impanelment/promotion.
  - (iv) APARs graded between 6 and short of 8 will be rated as 'Very Good' and will be given a score of 7.
  - (v) APARs graded between 4 and of 6 will be rated as 'Good' and will be given a score of 5.
  - (vi) APARs graded below 4 will be given a score of 'Zero'.
14. Weightage and Mean:
 

Weights have been assigned to work output, personal attributes and functional competency. The overall grade on a score of 1-10 will be based on 40% weight age on assessment of work output and 30% each for assessment of personal attributes and functional competency. The overall grading will be based on addition of the mean value of each group of indicators in proportion to weight age assigned.

(Ministry of Home Affairs OM No. 51/4/64 Estt (A) dated 23.07.2009 and Department of Personnel and Training OM No. 21011/1/2005-Estt (A) Pt. (II) dated 23.07.2009)

(xiii)

## अनुदेश

1. वार्षिक निष्पादन मूल्यांकन प्रतिवेदन (एपीएआर) एक महत्वपूर्ण दस्तावेज है। यह कार्मिक के निष्पादन के मूल्यांकन करने एवं उसका/उसकी जीविका में आगे उन्नति के लिए आधारभूत अनिवार्य निविष्टियां उपलब्ध कराता है। अतः रिपोर्ट करने वाले कार्मिक, रिपोर्ट प्राधिकारी, समीक्षा प्राधिकारी एवं रिपोर्टिंग प्राधिकारी को प्रपत्र भरने के कार्य को उच्च भावना के उत्तरदायित्व के साथ करना चाहिए।
  2. निष्पादन मूल्यांकन मानव संसाधन विकास के लिए साधन के रूप में प्रयुक्त होना चाहिए। रिपोर्टिंग प्राधिकारी को यह समझना चाहिए कि इसका उद्देश्य एक कार्मिक का विकास करना है, जिससे उसे वास्तविक कार्यक्षमता का एहसास हो। यह छिद्रान्वेषण प्रक्रिया न होकर विकास प्रक्रिया है। रिपोर्टिंग प्राधिकारी एवं समीक्षा प्राधिकारी को रिपोर्ट करने वाले कार्मिक की निष्पादन, दृष्टिकोण अथवा सम्पूर्ण व्यक्तित्व सम्बन्धी कमियों को बताने में संकोच नहीं करना चाहिए।
  3. मर्दें सम्यक, सतर्कता एवं सावधानी तथा पर्याप्त समय देने के बाद भरी जानी चाहिए। अनियत अथवा अगंभीर तरीके से रिपोर्ट को भरे जाने का कोई भी प्रयास उच्च अधिकारियों को सरलता से दृष्टिगोचर होगा।
  4. उत्तर विवरणात्मक रूप में देना होगा। लिखने के लिए उपलब्ध कराया गया स्थान, उत्तर के इच्छित विस्तार का संकेत करता है। शब्दों एवं वाक्यांशों का चयन सावधानीपूर्वक एवं उत्तर अभिलेखन प्राधिकारी के अभिप्राय को यथार्थरूप में प्रकट करने वाला होना चाहिए। कृपया असंदिग्ध एवं सरल भाषा का प्रयोग करें। टिप्पणी देते समय कृपया बहुभावी पद जैसे, 'असाधारण', 'अति-उत्तम', 'उत्तम', औसत से कम का प्रयोग न करें।
  5. रिपोर्टिंग प्राधिकारी द्वारा जिन कार्मिकों की रिपोर्ट लिखी जानी है, उन सभी के परामर्श से वर्ष के प्रारम्भ में परिमाणात्मक/भौतिक लक्ष्य व्यवस्थित कर लेना चाहिए। निष्पादन मूल्यांकन, रिपोर्टिंग प्राधिकारी एवं कार्मिक जिसकी रिपोर्ट लिखी जानी है, के मध्य संयुक्त रूप से होना चाहिए। उद्देश्यों/लक्ष्यों को रिपोर्ट वर्ष के प्रारंभ में नियत करना होगा। रिपोर्ट वर्ष के क्रम में किसी कार्मिक को नए सुपुर्द कार्य को ग्रहण करने के समय नियत करना होगा।
  6. दोनों सम्बंधित अधिकारियों को लक्ष्य अच्छे से जानना एवं समझना चाहिए। लक्ष्यों को निर्धारित करते समय कार्य की प्रकृति एवं क्षेत्र तथा ऐसा कोई भी विशेष गुण जो रिपोर्ट होने वाले कार्मिक के कार्य के क्षेत्र या व्यवहार के लिए विशेष हो, को ध्यान में रखते हुए प्राथमिकता को मदवार नियत करना चाहिए।
  7. यद्यपि निष्पादन मूल्यांकन एक वर्षान्त अभ्यास है, इसके मानव संसाधन विकास के एक माध्यम होने की सम्भावना के क्रम में रिपोर्टिंग प्राधिकारी एवं रिपोर्ट करने वाले कार्मिक को आवश्यक सुधारात्मक कदम उठाने के लिए वर्ष के दौरान नियमित अंतराल पर मिलना चाहिए।
  8. यह प्रत्येक मूल्यांकनकर्ता का प्रयास होना चाहिए कि वह उसके कार्य निष्पादन, संचालन, व्यवहार एवं कार्यक्षमता तथा मूल्यांकन की यथासम्भव विश्वसनीय छवि प्रस्तुत करें।
  9. मूल्यांकन केवल रिपोर्ट की अवधि के दौरान मूल्यांकन तक सीमित होना चाहिए।
  10. समान श्रेणी के कुछ पद अन्य से अधिक महत्वपूर्ण हो सकते हैं। किसी भी पद में दबाव एवं तनाव की मात्रा समय-समय पर भिन्न हो सकती है। ये तथ्य मूल्यांकन के दौरान ध्यान में रखे जाने चाहिए एवं उचित रूप में जुड़े हुए होने चाहिए।
  11. पहलू जिन पर किसी मूल्यांकन को विभिन्न गुणों के अनुसार मूल्यांकित किया जाना है, प्रत्येक स्तम्भ के नीचे निरूपित किया गया है। मूल्यांकनकर्ता को इनके अनुसार तथा विशेषताओं से सम्बन्धित अन्य तथ्यों के अनुसार चलना चाहिए।
  12. सत्य-निष्ठा से संबंधित कॉलम को भरने में निम्नलिखित प्रक्रिया का अनुपालन किया जाना चाहिए।
    1. यदि अधिकारी की ईमानदारी सन्देह से परे है, ऐसा कहा जाना चाहिए।
    2. यदि कोई भी सन्देह या शंका है, तो कॉलम को खाली छोड़ा जाए तथा निम्नानुसार कार्रवाई की जाए।
- (क) एक अलग गुप्त नोट दर्ज किया जाना चाहिए तथा आगे की कार्रवाई की जानी चाहिए, एपीएआर के साथ अगले वरिष्ठ अधिकारी को टिप्पणी की प्रतिलिपि भी भेजी जाये जो सुनिश्चित करेगा कि आगे की कार्रवाई त्वरित रूप से कर ली जाए। जहाँ सत्य-निष्ठा को प्रमाणित करना अथवा गुप्त नोट को रिकॉर्ड करना संभव नहीं है, रिपोर्टिंग प्राधिकारी को कहना चाहिए कि या तो अधिकारी के कार्यों पर पर्याप्त ध्यान नहीं दिया गया है, जिससे दृढ़ निर्णय बनाया जा सके अथवा उसके पास कर्मचारी के खिलाफ कुछ नहीं

है, जैसा भी मामला हो।

- (ख) यदि, अनुवर्ती कार्रवाई के परिणामस्वरूप, सन्देह या शंका दूर हो जाए तो कर्मचारी की सत्य-निष्ठा प्रमाणित की जाए तथा तदनुसार एपीएआर में प्रविष्टि की जाए।
- (ग) यदि, सन्देह या शंका की पुष्टि की गई है तो इस तथ्य को भी दर्ज किया जाए तथा सम्बंधित अधिकारी को विधिवत् सूचित किया जाए।
- (घ) यदि, अनुवर्ती कार्रवाई के परिणामस्वरूप, सन्देह व शंका को न तो प्रमाणित किया गया हो और न ही पुष्टि की गई हो तो कर्मचारी के आचरण पर उपर्युक्त (ब) और (स) में बताए अनुसार कार्रवाई की जाए।
13. संख्यात्मक ग्रेडिंग के साथ एपीएआर भरने के संबंध में दिशानिर्देश :
- (i) रिपोर्टिंग तथा समीक्षा प्राधिकारी को कार्य आउटपुट की गुणवत्ता के अनुसार संख्यात्मक ग्रेडिंग प्रदान करे, जो कि व्यक्तिगत गुण तथा कार्यात्मक योग्यता के अनुसार बताई जाएं और यह 1 से 10 तक के मापन पर होनी चाहिए। जहाँ 1 निम्नतम ग्रेड को व 10 उच्चतम ग्रेड को संदर्भित करता है।
- (ii) यह अपेक्षा की जाती है कि 1 या 2 की कोई ग्रेडिंग (कार्य आउटपुट या विशेषताओं या समग्र ग्रेड के सापेक्ष) विशिष्ट विफलताओं के संबंध में उचित होगी और इसी तरह, 9 या 10 का कोई भी ग्रेड विशिष्ट उपलब्धियों के संबंध में उचित होगी। ग्रेड 1-2 या 9-10 के मुश्किल से होने की उम्मीद है और इसलिए उन्हें उचित ठहराने की आवश्यकता है। संख्यात्मक ग्रेड निर्धारित करने में रिपोर्टिंग और समीक्षा करने वाले प्राधिकारियों को वर्तमान में उनके अधीन कार्य कर रहे सहकर्मियों की एक बड़ी संख्या के प्रति अधिकारी/कर्मचारी का मूल्यांकन करना चाहिए।
- (iii) एपीएआर में 8 से 10 के बीच के ग्रेड को 'उत्कृष्ट' मूल्यांकन माना जाएगा तथा मनोनयन/पदोन्नति के लिए औसत अंको की गणना के उद्देश्य से 9 अंक दिए जायेंगे।
- (iv) एपीएआर में 6 से 8 के बीच के ग्रेड का मूल्यांकन "बहुत अच्छा" माना जाएगा तथा 7 अंक दिए जायेंगे।
- (v) एपीआर में 4 से 6 के बीच के ग्रेड का मूल्यांकन 'अच्छा' माना जाएगा तथा 5 अंक दिए जायेंगे।
- (vi) एपीआर में 4 से कम के ग्रेड को 'शून्य' अंक दिया जाएगा।

14. महत्व तथा अंक :

कार्य आउटपुट, व्यक्तिगत विशेषताओं और कार्यात्मक योग्यताओं को महत्व दिया गया है। 1-10 के स्कोर पर समग्र ग्रेड, कार्य आउटपुट के मूल्यांकन पर 40% भारांश तथा व्यक्तिगत विशेषताओं और कार्यात्मक योग्यता के मूल्यांकन के लिए 30% भारांश पर आधारित होगा। समग्र ग्रेडिंग निर्दिष्ट महत्व के अनुपात में संकेतकों के प्रत्येक समूह के औसत मान को जोड़ने पर आधारित होगी।

(गृह मंत्रालय के कार्यालय ज्ञापन संख्या 51/4/64-स्थापना (क) दिनांक 23.7.2009 और कार्मिक एवं प्रशिक्षण विभाग के क्र.स. 21011/1/2005-स्थापना (क) पीटी. (II) दिनांक 23.07.2009



SUPREME AUDIT INSTITUTION OF INDIA  
लोकहितार्थ सत्यनिष्ठा  
Dedicated to Truth in Public Interest

सहायक लेखापरीक्षा अधिकारियों / हिंदी अधिकारियों / पर्यवेक्षकों  
के लिए  
वार्षिक निष्पादन मूल्यांकन रिपोर्ट  
**ANNUAL PERFORMANCE APPRAISAL REPORT FOR  
ASSISTANT AUDIT OFFICERS/HINDI OFFICERS/  
SUPERVISORS**

श्री / श्रीमती / सुश्री / Shri/Smt./Ms. ....

पदनाम / Designation .....

से / From..... तक / to.....

भारत सरकार  
कार्यालय महानिदेशक लेखापरीक्षा (अवसंरचना)  
नई दिल्ली-110002  
**Office of the Director General of Audit (Infrastructure), Delhi  
3rd Floor, 'A' Wing, I.P. Bhawan,  
New Delhi-110002**

**पर्यवेक्षकों/सहायक लेखापरीक्षा अधिकारियों/हिंदी अधिकारियों  
के लिए वार्षिक निष्पादन मूल्यांकन रिपोर्ट  
ANNUAL PERFORMANCE APPRAISAL REPORT FOR  
SUPERVISORS/ASSISTANT AUDIT OFFICERS/  
HINDI OFFICERS**

.....से.....तक की अवधि के लिए रिपोर्ट  
Report for the period from.....to.....

**भाग-I**

**PART-I**

**व्यक्तिगत विवरण  
PERSONAL DATA**

(कार्यालय के संबंधित प्रशासन अनुभाग द्वारा भरे जाने के लिए)  
(To be filled by the Administrative Section concerned of the Office)

1. अधिकारी/कर्मचारी का नाम  
(बड़े अक्षरों में)  
Name of the Official  
(in capital letters)
2. कर्मचारी की आई डी  
Employee I.D.
3. पदनाम  
Designation
4. क्या अधिकारी/कर्मचारी अनुसूचित जाति/  
अनुसूचित जनजाति से संबंधित है ?  
Whether the Official belongs to  
Scheduled caste/Scheduled Tribe ?
5. जन्म तिथि  
Date of Birth
6. व्यावसायिक तथा तकनीकी योग्यता को  
सम्मिलित करते हुए शैक्षिक योग्यता  
Educational qualifications including  
Professional and technical qualifications
7. विभागीय परीक्षा उत्तीर्ण  
अर्थात् एसओजीई (सिविल, वाणिज्यिक, रेलवे,  
पी एण्ड टी, राजस्व लेखापरीक्षा आदि)  
Departmental Examination passed  
i.e. SOGE (Civil, Commercial, Railway,  
P&T, Revenue Audit etc).
8. वर्तमान पदक्रम में लगातार नियुक्ति की तिथि  
Date of continuous appointment to the present grade
9. वर्तमान पद तथा उस पर नियुक्ति की तिथि  
Present Post and date of appointment thereto
10. वर्ष में कार्य से अनुपस्थिति की अवधि (छुट्टी, प्रशिक्षण आदि)  
यदि उक्त अधिकारी/कर्मचारी ने प्रशिक्षण लिया है तो उसका विवरण दें  
Period of absence from duty (on leave, training etc.) during the year  
If he has undergone training please specify.

(i)

**व्यक्तिगत मूल्यांकन  
(SELF APPRAISAL)**

(जिस अधिकारी/कर्मचारी की रिपोर्ट लिखी जानी है, उसके द्वारा भरा जाए)  
(To be filled by the Official Reported upon)

**भाग-II  
PART-II**

(कृपया प्रविष्टियाँ भरने से पहले प्रपत्र के अन्त में दिए गए अनुदेशों को ध्यान से पढ़ लें)  
(Please carefully read the instructions given at the end of the form before filling the entries)

1. कार्यों का संक्षिप्त विवरण  
Brief description of the duties

2. "कार्य के जो लक्ष्य/उद्देश्य/ध्येय (परिमाणात्मक या अन्य रूप में) आपने स्वयं के लिए निर्धारित किए हों, या आपके लिए निर्धारित किए गए हों, उन कार्यों की आठ-दस मद्दे प्राथमिकता के आधार पर बनाएं तथा प्रत्येक लक्ष्य में अपनी उपलब्धि बताएं, विशेष रूप से नियोजित खरीद के संबंध में और वास्तव में जैम पोर्टल के माध्यम से उन सरकारी कर्मचारियों के लिए बनाया गया है, जिन्होंने संदर्भित अवधि के दौरान खरीद को संभाला।  
"Please specify targets/objectives/goals (in quantitative or other terms) of work you set for yourself or that were set for you, eight to ten items of work in the order of priority and your achievement against each target, particularly having regard to procurement planned and actually made through GeM portal for those Government servants who handled procurement during the period under reference.

लक्ष्य/उद्देश्य/ध्येय  
Target/Objective/Goals

उपलब्धियाँ  
Achievements

(ii)

| जैम पोर्टल के माध्यम से की गई खरीद (जहाँ भी लागू हो)<br>Procurements made through GeM portal (wherever applicable)                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>(i) खरीद के लिए मंत्रालय / प्रभाग / विभाग / अनुभाग द्वारा आवंटित बजट रु० में (उपरोक्त समीक्षा किए गए अधिकारी के मामले में जैसे भी लागू हो)</p> <p>(i) Total budget allocated for procurement by the Ministry/Department/Division/Section in Rupees (as may be applicable in the case of the Officer Reported Upon).</p> | <p>(i) जैम पोर्टल से रिपोर्ट की अवधि के दौरान उनके द्वारा की गई कुल खरीद (रु० में)<br/>(i) Total procurement through GeM portal made by him/her during the period of report (in Rs.)</p> <p>(ii) लक्ष्य में इंगित बजट के सापेक्ष जैम पोर्टल के माध्यम से खरीद की प्रतिशतता (%)<br/>(ii) % of procurement through GeM portal as against the budget indicated in the Target.</p> <p>(iii) जैम पोर्टल के अतिरिक्त की गई खरीद तथा उसका कारण<br/>(iii) Procurements made outside GeM portal and the reasons thereof.</p> <p>(iv) मंत्रालय / विभाग / प्रभाग तथा अनुभाग में जैम पोर्टल के संवर्धन के लिए उठाए गए कदम।<br/>(iv) Steps taken for promotion of GeM in the Ministry/Department/Division/Section.</p> |

- 2B यदि आप एक सहायक लेखापरीक्षा/लेखा अधिकारी हैं तो कृपया व्यवस्थित लक्ष्य तथा रिकॉर्डिंग, इन्डेक्सिंग तथा फाइलों को वीड आउट, गार्ड फाइलों, अनुभागीय नोट बुक तथा अन्य पंजिकाओं के रख-रखाव, ओ एण्ड एम तथा अन्य प्रतिवेदनों के प्रस्तुतीकरण के संबंध में किए गए कार्य की मात्रा/परिमाण बताएं।
- If you are a Assistant Audit/Accounts Officer, please state briefly, the target set and the quantum of work done in regard to recording, indexing and weeding out of files, maintenance of Guard Files, Sectional Note Book and other registers, furnishing of O & M and other returns etc.

(iii)

- 3 (अ) कृपया मद 2 में बताए गए लक्ष्यों/उद्देश्यों/ध्येयों की प्राप्ति में रही कमियों का संक्षेप में उल्लेख करें। यदि लक्ष्यों की प्राप्ति में कोई बाधाएँ रही हों तो ये बताएं।

(A) Please state briefly, the shortfalls with reference to the targets/objectives/goals referred to in item 2. Please specify constraints, if any, in achieving the targets.

(ब) कृपया उन मदों का भी उल्लेख करें जिनमें अधिक महत्वपूर्ण उपलब्धियाँ रही हैं और उनमें अपने योगदान का भी उल्लेख करें।

(B) Please also indicate items in which there have been significantly higher achievements and your contribution thereto.

(स) प्रशिक्षण कार्यक्रम में प्रतिभागिता।

(C) Training programme attended.

- 4 कृपया उल्लेख करें कि क्या पूर्ववर्ती कलैण्डर वर्ष की 'अचल संपत्ति वार्षिक विवरणी' निर्धारित तारीख अर्थात् कलैण्डर वर्ष से उत्तरवर्ती वर्ष की 31 जनवरी तक दर्ज करा दी गई थी। यदि नहीं, तो विवरण दर्ज कराने की तारीख दी जाए।

Please state whether the annual return on imovable property for the preceding calendar year was filed within the pre-scribed date i.e. 31st January of the year following the calendar year. If not, the date of filing the return should be given.

दिनांक

Date.....

सूचना देने वाले अधिकारी के हस्ताक्षर

Signature of officer reported upon

(iv)

### भाग—III

### PART-III

(रिपोर्टिंग अधिकारी द्वारा भरे जाने के लिए)

(To be filled in by Reporting Officer)

- 1 कृपया बताएं कि क्या आप भाग—II में उल्लिखित प्रतिवेदित अधिकारी/कर्मचारी के व्यक्तिगत मूल्यांकन से सहमत हैं। यदि नहीं, कृपया तथ्यात्मक विवरण प्रस्तुत करें।

Please state whether you agree with the self-appraisal of the Official reported upon as mentioned in Part-II. If not, please furnish the factual details.

संख्यात्मक वर्गीकरण का निर्धारण, रिपोर्टिंग तथा समीक्षा प्राधिकारी द्वारा किया जाना है जो 1-10 के मापन पर होना चाहिए, निम्नतम श्रेणी सबसे कम श्रेणी का तथा 10 उच्चतम श्रेणी का उल्लेख करता है।

संख्यात्मक श्रेणीकरण, जहाँ लागू हो, खरीदारी के लिए जैम पोर्टल के उपयोग के संबंध में तथा कार्यात्मक क्षमता के आकलन के तहत कार्य क्षेत्र में नियम/विनियमों/प्रक्रियाओं की जानकारी तथा उन पर अमल करने की योग्यता एवं कार्य परिणाम के आकलन के तहत आबंटित विषय पर नियोजित कार्य/आबंटित कार्य के पूरा करने की मद हेतु व्यक्तिगत मूल्यांकन में अधिकारी द्वारा अंकित टिप्पणी के संबंध में विशेषतः अंक दिए जा सकते हैं।

Numerical grading is to be awarded by reporting and reviewing authority which should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest.

Numerical gradings, wherever applicable, may be awarded having special regard to the remarks recorded by the officer in the Self-appraisal regarding utilization of GeM portal for procurement and specifically for items 'Accomplishment of planned work/work allotted as per subjects allotted' under Assessment of 'Work Output and 'Knowledge of Rules/Regulations/Procedures on the area of function and ability to apply them correctly' under Assessment of Functional Competency."

(कृपया प्रविष्टियों को भरने से पहले दिशा-निर्देशों को ध्यान से पढ़ लें)

(Please read carefully the guidelines before filling the entries)

(अ) कार्य निष्पादन का मूल्यांकन (इस भाग का भारांश 40% होगा)

(A) Assessment of work output (weightage to this/Section would be 40%)

|                                                                                                                                                     | रिपोर्टिंग प्राधिकारी<br>Reporting Authority | समीक्षा प्राधिकारी<br>(संदर्भ भाग-5 का पैरा 2)<br>Reviewing Authority<br>(Refer Para 2 of part 5) | समीक्षा प्राधिकारी के आदयाक्षर<br>Initial of Reviewing Authority |
|-----------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| i) पूर्वनियोजित कार्य की परिपूर्णता/विषय के आधार पर आबंटित किया गया कार्य<br>Accomplishment of planned work/work allotted as per subjects allotted. |                                              |                                                                                                   |                                                                  |
| ii) कार्य-निष्पादन की कोटि<br>Quality of output                                                                                                     |                                              |                                                                                                   |                                                                  |
| iii) विश्लेषणात्मक योग्यता<br>Analytical ability                                                                                                    |                                              |                                                                                                   |                                                                  |
| iv) अपवादात्मक कार्य की परिपूर्णता/किए गए अप्रत्याशित कार्य<br>Accomplishment of exceptional work/unforeseen tasks performed.                       |                                              |                                                                                                   |                                                                  |
| निर्गत कार्य पर कुल श्रेणीकरण<br>Overall Grading on 'Work Output'                                                                                   |                                              |                                                                                                   |                                                                  |

(v)

(ब) व्यक्तिगत विशेषताओं का मूल्यांकन (इस भाग का भारांश 30% होगा)  
(B) Assessment of personal attributes (weightage to this Section would be 30%)

|                                                                                  | रिपोर्टिंग प्राधिकारी<br>Reporting Authority | समीक्षा प्राधिकारी<br>(संदर्भ भाग-5 का पैरा 2)<br>Reviewing Authority<br>(Refer Para 2 of part 5) | समीक्षा प्राधिकारी के आद्याक्षर<br>Initial of Reviewing Authority |
|----------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|
| i) कार्य की अभिवृत्ति<br>Attitude to work                                        |                                              |                                                                                                   |                                                                   |
| ii) उत्तरदायित्व बोध<br>Sense of responsibility                                  |                                              |                                                                                                   |                                                                   |
| iii) अनुशासन का अनुरक्षण<br>Maintenance of Discipline                            |                                              |                                                                                                   |                                                                   |
| iv) संप्रेषण क्षमताएं<br>Communication Skills                                    |                                              |                                                                                                   |                                                                   |
| v) नेतृत्व गुण<br>Leadership qualities                                           |                                              |                                                                                                   |                                                                   |
| vi) दल भावना में कार्य करने की क्षमता<br>Capacity to work in team spirit.        |                                              |                                                                                                   |                                                                   |
| vii) समय सारणी का अनुसरण करने की क्षमता<br>Capacity to adhere to time-schedule   |                                              |                                                                                                   |                                                                   |
| viii) अंतर्व्यक्ति संबंध<br>Inter-personal relations                             |                                              |                                                                                                   |                                                                   |
| ix) समग्र छवि एवं व्यक्तित्व<br>Overall bearing and personality                  |                                              |                                                                                                   |                                                                   |
| व्यक्तिगत विशेषताओं पर कुल श्रेणीकरण<br>Overall Grading on 'personal attributes' |                                              |                                                                                                   |                                                                   |

(vi)

(स) कार्यात्मक क्षमता का मूल्यांकन (इस भाग का भारांश 30% होगा)  
(C) Assessment of functional competency (weightage to this Section would be 30%)

|                                                                                                                                                                                                    | रिपोर्टिंग प्राधिकारी<br>Reporting Authority | समीक्षा प्राधिकारी<br>(संदर्भ भाग-5 का पैरा 2)<br>Reviewing Authority<br>(Refer Para 2 of part 5) | समीक्षा प्राधिकारी के आदयाक्षर<br>Initial of Reviewing Authority |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| i) नियम/विनियम/कार्य एवं योग्यता के क्षेत्र में प्रक्रियाएं एवं उनके सही प्रयोग की क्षमता<br>Knowledge of Rules/Regulation/Procedures in the area of function and ability to apply them correctly. |                                              |                                                                                                   |                                                                  |
| ii) नीतिबद्ध योजना बनाने की क्षमता<br>Strategic planning ability                                                                                                                                   |                                              |                                                                                                   |                                                                  |
| iii) निर्णय लेने की क्षमता<br>Decision making ability                                                                                                                                              |                                              |                                                                                                   |                                                                  |
| iv) समन्वय क्षमता<br>Coordination ability                                                                                                                                                          |                                              |                                                                                                   |                                                                  |
| v) अधीनस्थ को प्रेरित एवं विकसित करने की क्षमता<br>Ability to motivate and develop subordinates                                                                                                    |                                              |                                                                                                   |                                                                  |
| vi) पहल शक्ति<br>Initiative                                                                                                                                                                        |                                              |                                                                                                   |                                                                  |
| कार्यात्मक क्षमता पर कुल श्रेणीकरण<br>Overall Grading on 'Functional Competency'                                                                                                                   |                                              |                                                                                                   |                                                                  |

#### भाग-IV

#### PART-IV

सामान्य

General

- अनुसूचित जाति/जनजाति/समाज के कमजोर वर्ग के प्रति अभिवृत्ति  
(कृपया अनुसूचित जाति/जनजाति/कमजोर वर्गों की समस्याओं के प्रति उनकी समझ तथा उनके साथ कार्य करने की इच्छा के संदर्भ में टिप्पणी दें।)
  - Attitude towards Scheduled Caste/Scheduled Tribes/Weaker Section of Society  
(Please comment on his/her understanding of the problems of Scheduled Caste/Scheduled Tribes/Weaker Sections and willingness to deal with them)

(vii)

1.
  - \*\* (ब) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के विकास तथा सुरक्षा में प्रभावशीलता।
  - \*\* (B) Effectiveness in the development and protection of Scheduled Castes and / or Scheduled Tribes.
  - (क) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के प्रति अभिवृत्ति।
  - (a) Attitude towards Scheduled Castes and/or Scheduled Tribes.
  - (ख) सामाजिक न्याय के प्रति संवेदनशीलता।
  - (b) Sensitivity to social justice.
  - (ग) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के प्रति अत्याचार को रोकने तथा न्याय सुनिश्चित करने हेतु तुरंत एवं प्रभावी कदम उठाने हेतु योग्यता।
  - (c) Ability to take quick and effective action to prevent and quell atrocities and ensure justice to Scheduled Castes and/or Scheduled Tribes.
  - (घ) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के विकास में प्रभावशीलता।
  - (d) Effectiveness in bringing about the development of Scheduled Castes and/or Scheduled Tribes.
  - \*\* (केवल एससी तथा/अथवा एसटी के विकास तथा सुरक्षा हेतु कार्य करने वाले अधिकारी के मामले में भरा जाए। जहाँ किसी अधिकारी के मामले में कॉलम लागू नहीं है वहाँ इसे कॉलम के समक्ष अंकित किया जाए।)
  - \*\* (To be filled in only in the case of officers dealing with development and protection of SCs and/or STs. Where the column is not applicable in the case of any officer, it may be so stated against the column.)
2. अभिवृत्ति तथा क्षमता  
 Attitude & Potential :  
 (कृपया अधिकारी की सम्भावित विशिष्टता तथा कैरियर के विकास के लिए निम्न में से किन्हीं तीन कार्यक्षेत्रों को इंगित करें, कृपया किन्हीं तीन उचित खानों में 1, 2, 3 अंकित करें।)  
 (Please indicate three fields of work from amongst the following for possible specialization and career development of the officer, please mark 1, 2, 3 in three appropriate boxes)

|                                                    |                          |
|----------------------------------------------------|--------------------------|
| (i) प्राप्ति लेखापरीक्षा                           | <input type="checkbox"/> |
| (i) Receipt Audit                                  |                          |
| (ii) वाणिज्यिक लेखापरीक्षा                         | <input type="checkbox"/> |
| (ii) Commercial Audit                              |                          |
| (iii) स्वायत्त निकाय लेखापरीक्षा                   | <input type="checkbox"/> |
| (iii) Autonomous Bodies Audit                      |                          |
| (iv) कार्य लेखापरीक्षा                             | <input type="checkbox"/> |
| (iv) Works Audit                                   |                          |
| (v) अन्य लेखापरीक्षा                               | <input type="checkbox"/> |
| (v) Other Audit                                    |                          |
| (vi) निजी प्रशासन तथा कार्यालय प्रबंधन             | <input type="checkbox"/> |
| (vi) Personal Administration and Office Management |                          |
| (vii) लेखा क्रिया विधि                             | <input type="checkbox"/> |
| (vii) Account Function                             |                          |
| (viii) एंटाइटलमेंट क्रिया विधि                     | <input type="checkbox"/> |
| (viii) Entitlement Function                        |                          |
| (ix) प्रशिक्षण                                     | <input type="checkbox"/> |
| (ix) Training                                      |                          |
| (x) प्रणाली, ओ एण्ड एम. कंप्यूटरीकरण               | <input type="checkbox"/> |
| (x) System, OS M Computerisation                   |                          |
| (xi) कोई अन्य क्षेत्र (कृपया स्पष्ट करें)          | <input type="checkbox"/> |
| (xi) Any Other Fields (Please specify)             |                          |

(viii)

- 3 प्रशिक्षण  
Training  
(कृपया अधिकारी की प्रभावकारिता एवं कार्य क्षमताओं में और अधिक सुधार और वृद्धि करने की दृष्टि से उसके प्रशिक्षण के लिए सिफारिशें करें।)  
(Please give recommendations for training with a view to further improving the effectiveness and capabilities of the Officer).

|  |
|--|
|  |
|--|

4. लेखापरीक्षा / लेखा अधिकारियों, वरिष्ठ लेखापरीक्षा / लेखा अधिकारियों के लिए अतिरिक्त विशेषताएँ।  
Additional Attributes for Audit/Accounts Officers, Senior Audit/Accounts Officers.  
(अ) संगठन के साथ उनका संबंध तथा उसके सहयोग की क्षमता पर टिप्पणी दें।  
(a) Please comment on his/her relations with the organizations and ability to elicit co-operation from them.  
(ब) कृपया निजी दावों के संबंध में शिकायतों के निवारण के प्रति उनके व्यवहार पर टिप्पणी दें।  
(b) Please comment on his/her attitude towards redressal of grievances relating to personal claims.

5. स्वास्थ्य की स्थिति  
State of health

|  |
|--|
|  |
|--|

6. सत्यनिष्ठा  
Integrity  
(कृपया अधिकारी की सत्यनिष्ठा पर टिप्पणी दें)  
(Please comment on the integrity of the Officer)

|  |
|--|
|  |
|--|

(ix)

7. प्रतिवेदन अधिकारी द्वारा अधिकारी की समस्त विशेषताओं का लिखित विवरण (लगभग 100 शब्दों में), जिसमें सामर्थ्य क्षेत्र एवं कम सामर्थ्य क्षेत्र, असाधारण उपलब्धियां, महत्वपूर्ण विफलताओं (संदर्भ : भाग-2 का 3(अ) एवं 3(ब) एवं कमजोर वर्गों के प्रति अभिवृत्ति शामिल हो।

जहाँ लागू हो, रिपोर्ट के तहत अवधि के दौरान जैम पर खरीद, जैम पर खरीद की प्रतिशतता के संवर्धन हेतु, अधिकारी द्वारा उठाए गए कदमों पर टिप्पणी तथा कार्यालय में जैम के पूर्ण कार्यान्वयन की ओर उसका व्यवहार भी रिकार्ड किया जाए।

Pen Picture by Reporting Officer (in about 100 words) on the overall qualities of the officer including area of strengths and lesser strength, extraordinary achievements, significant failures (ref. 3(A) & 3(B) of Part-2) and attitude towards weaker sections.

"Wherever applicable, comments on steps taken by the officer for promotion of procurement on GeM during the period under report, percentage of procurement on GeM and his/her attitude towards full implementation of GeM in the office may also be recorded."

8. प्रतिवेदन के भाग-3 के खण्ड अ, ब तथा स में दिए गए भारांश के आधार पर कुल मिलाकर संख्यात्मक वर्गीकरण।  
Overall numerical grading on the basis of weightage given in Section A, B and C in Part-3 of the Report.

रिपोर्टिंग अधिकारी के हस्ताक्षर  
Signature of the Reporting Officer

|                       |                                                                                        |
|-----------------------|----------------------------------------------------------------------------------------|
| स्थान :<br>Place..... | नाम बड़े अक्षरों में<br>Name in Block Letters: .....<br>पदनाम :<br>Designation : ..... |
| दिनांक :<br>Date..... | रिपोर्ट की अवधि के दौरान<br>During the period of Report.....                           |

(x)

**भाग-IV समीक्षा अधिकारी की टिप्पणियाँ**  
**PART-IV REMARKS OF THE REVIEWING OFFICER**

- समीक्षा अधिकारी के अधीन सेवा की अवधि  
Length of service under the reviewing officer.
- क्या आप खण्ड-3 में निर्गत कार्य तथा विभिन्न गुणों के संबंध में प्रतिवेदन अधिकारी द्वारा दिए गए गुणों के किसी संख्यात्मक मूल्यांकन से सहमत नहीं हैं तो कृपया अपना मूल्यांकन भाग-III में उपलब्ध करवाए गए कॉलम में दें तथा प्रविष्टि पर आद्याक्षर करें।

Do you agree with the assessment made by Reporting Officer with the respect to work output and the various attributes in Part-III ? In case you do not agree with any of the numerical assessments of attributes please record your assessment in the column provided for you in Part-III and initial your entries.

|                                   |                                                                                                                                          |
|-----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
| हाँ, मैं सहमत हूँ<br>Yes, I agree | नहीं, मैं सहमत नहीं हूँ, मैंने अपना मूल्यांकन भाग-III में दर्ज किया है।<br>No, I do not agree, I have recorded my assessment in Part III |
|-----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|

(कृपया जो लागू न हो, काट दें)  
(Please strike out whichever is not applicable)

- विचारों में मतभेद होने के मामले में, कृपया इसके लिए विवरण तथा कारण दें।  
In case of difference of opinion, please give details and reasons for the same.

|  |
|--|
|  |
|--|

- यदि उपर्युक्त प्रतिवेदन करने वाला अधिकारी अनुसूचित जाति/जनजाति का सदस्य है, कृपया विशेष रूप से इंगित करें कि क्या अनुसूचित जाति/जनजाति के अधिकारी के मूल्यांकन में रिपोर्टिंग अधिकारी का दृष्टिकोण स्पष्ट तथा यथोचित है।  
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.

- रिपोर्टिंग अधिकारी द्वारा लिखी गई पेन पिक्चर पर यदि कोई टिप्पणी हो तो।  
Comments, if any, on the Pen Picture written by the Reporting Officer

|  |
|--|
|  |
|--|

- रिपोर्ट के भाग-3 के पैरा 2, 3 तथा 4 में दिए गए भारांश के आधार पर समग्र संख्यात्मक ग्रेडिंग।  
Overall numerical grading on the basis of weightage given in Para, 2, 3 and 4 in Part-III of the Report.

|  |
|--|
|  |
|--|

समीक्षा अधिकारी के हस्ताक्षर  
Signature of the Reviewing Officer

स्थान  
Place.....  
दिनांक  
Date.....

नाम बड़े अक्षरों में.....  
Name in Block Letters.....  
रिपोर्ट की अवधि के दौरान.....  
During the period of Report.....

(xi)

## INSTRUCTIONS

1. The Annual Performance Appraisal report (APAR) is an important document. It provides the basic vital inputs for assessing the performance of an official and for his/her further advancement in his/her career. The Official reported upon, the Reporting Authority, the Reviewing Authority and the Accepting Authority should, therefore, undertake the duty of filling out the form with a high sense of responsibility.
2. The Performance Appraisal should be used as a tool for human resources development. Reporting Officers should realize that the objectives is to develop an official so that he/she realize true potential. It is not meant to be a fault-finding process but a development one. The Reporting Officer and the Reviewing Officer should not shy away from reporting shortcomings in performance, attitudes or overall personality of the official reported upon.
3. The items should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a Casual or superficial manner will be easily discernible to higher authorities.
4. Answers shall be given in a narrative form. The space provided indicates the desired length of the answer. Words and phrases should be chosen care fully and should accurately reflect the intention of the authority recording the answer. Please use unambiguous and simple language. Please do not use omnibus expression like 'Outstanding', 'Very Good', 'Good', 'Average', 'Below Average', while giving your comments.
5. The Reporting Officer shall, in the beginning of the year set quantitative / physical targets in consultations with each of the Officials with respect to whom he is required to reported upon. Performance appraisal should be a joint exercise between the official reported upon and the reporting officer. The targets/goals shall be set at the commencement of the reporting year. In the case of an official taking up a new assignment in the course of the reporting year, such targets/goals shall be set at the time of assumption of the new assignment.
6. The target should be clearly known and understood by both the officers concerned. While fixing the targets, priority should be assigned item-wise, taking into consideration the nature and the area of the work and any special feature that may be specific to the manner or the area of the work of the official to be reported upon.
7. Although performance appraisal is a year-end exercise, in order that it may be a tool for human resource development, the Reporting Officer and the official reported upon should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.
8. It should be the endeavors of each appraiser to present the trust possible picture of the appraise in regard and his/her performance, conduct, behavior and potential.
9. Assessment should be confined to the appraise performance during the period of report only.
10. Some post of the same rank may be more exacting than others. The degree of stress and strain in any post may also vary from time to time. These facts should be borne in mind during appraisal and should be connected upon appropriately.
11. Aspects on which an appraise is to be evaluated on different attributes are delineated below each column. The appraiser should deal with these and other aspects relevant to the attributes.

12. The following procedure should be followed in filling up the column relating to integrity.
  - (i) If the Official's integrity is beyond doubt, it may be so stated.
  - (ii) If there is any doubt or suspicion, the column should be left blank and action taken as under.
    - (a) A separate secret note should be recorded and followed up. A copy of the note should also be sent together with the APAR to the next superior Officer who will ensure that the follow up action is taken expeditiously. Where it is not possible either to certify the integrity or to record the secret note, the Reporting Officer should state either that he had not watched the Official's work for sufficient time to form a definite judgement or that he has heard nothing against the official, as case may be.
    - (b) If, as a result of the follow up action, the doubts or suspicions are cleared, the official's integrity should be certified and an entry made accordingly in the APAR.
    - (c) If, the doubts or suspicions are confirmed, this fact should also be recorded and duly communicated to the official concerned.
    - (d) If, as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the official's conduct should be watched for a further period and thereafter action taken as indicated at (b) and (c) above.
13. Guidelines regarding filling up APAR with numerical grading:
  - (i) Numerical grading are to be awarded by Reporting and Reviewing Authorities for the quality of work output, personal attributes and functional competence of the official reported upon. These should be on the scale of 1-10, where 1 refers to the lowest grade and 10 to the highest grade.
  - (ii) It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 9 or 10 would be justified with respect to specific accomplishments. Grades of 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the Reporting and Reviewing Authorities should rate the official against a larger population of his/her peers that may be currently working under them.
  - (iii) APARs graded between 8 and 10 will be rated as 'Outstanding' and will be given a score of the 9 for the purpose of calculating average scores for impanelment/promotion.
  - (iv) APARs graded between 6 and short of 8 will be rated as 'Very Good' and will be given a score of 7.
  - (v) APARs graded between 4 and of 6 will be rated as 'Good' and will be given a score of 5.
  - (vi) APARs graded below 4 will be given a score of 'Zero'.
14. Weightage and Mean:

Weights have been assigned to work output, personal attributes and functional competency. The overall grade on a score of 1-10 will be based on 40% weight age on assessment of work output and 30% each for assessment of personal attributes and functional competency. The overall grading will be based on addition of the mean value of each group of indicators in proportion to weight age assigned.

(Ministry of Home Affairs OM No. 51/4/64 Estt (A) dated 23.07.2009 and Department of Personnel and Training OM No. 21011/1/2005-Estt (A) Pt. (II) dated 23.07.2009)

(xiii)

## अनुदेश

1. वार्षिक निष्पादन मूल्यांकन प्रतिवेदन (एपीएआर) एक महत्वपूर्ण दस्तावेज है। यह कार्मिक के निष्पादन के मूल्यांकन करने एवं उसका/उसकी जीविका में आगे उन्नति के लिए आधारभूत अनिवार्य निविष्टियां उपलब्ध कराता है। अतः रिपोर्ट करने वाले कार्मिक, रिपोर्ट प्राधिकारी, समीक्षा प्राधिकारी एवं रिपोर्टिंग प्राधिकारी को प्रपत्र भरने के कार्य को उच्च भावना के उत्तरदायित्व के साथ करना चाहिए।
2. निष्पादन मूल्यांकन मानव संसाधन विकास के लिए साधन के रूप में प्रयुक्त होना चाहिए। रिपोर्टिंग प्राधिकारी को यह समझना चाहिए कि इसका उद्देश्य एक कार्मिक का विकास करना है, जिससे उसे वास्तविक कार्यक्षमता का एहसास हो। यह छिद्रान्वेषण प्रक्रिया न होकर विकास प्रक्रिया है। रिपोर्टिंग प्राधिकारी एवं समीक्षा प्राधिकारी को रिपोर्ट करने वाले कार्मिक की निष्पादन, दृष्टिकोण अथवा सम्पूर्ण व्यक्तित्व सम्बन्धी कमियों को बताने में संकोच नहीं करना चाहिए।
3. मर्दाने सन्धक, सतर्कता एवं सावधानी तथा पर्याप्त समय देने के बाद भरी जानी चाहिए। अनियत अथवा अगंभीर तरीके से रिपोर्ट को भरे जाने का कोई भी प्रयास उच्च अधिकारियों को सरलता से दृष्टिगोचर होगा।
4. उत्तर विवरणात्मक रूप में देना होगा। लिखने के लिए उपलब्ध कराया गया स्थान, उत्तर के इच्छित विस्तार का संकेत करता है। शब्दों एवं वाक्यांशों का चयन सावधानीपूर्वक एवं उत्तर अभिलेखन प्राधिकारी के अभिप्राय को यथार्थरूप में प्रकट करने वाला होना चाहिए। कृपया असंदिग्ध एवं सरल भाषा का प्रयोग करें। टिप्पणी देते समय कृपया बहुभावी पद जैसे, 'असाधारण', 'अति-उत्तम', 'उत्तम', औसत से कम का प्रयोग न करें।
5. रिपोर्टिंग प्राधिकारी द्वारा जिन कार्मिकों की रिपोर्ट लिखी जानी है, उन सभी के परामर्श से वर्ष के प्रारम्भ में परिमाणात्मक/भौतिक लक्ष्य व्यवस्थित कर लेना चाहिए। निष्पादन मूल्यांकन, रिपोर्टिंग प्राधिकारी एवं कार्मिक जिसकी रिपोर्ट लिखी जानी है, के मध्य संयुक्त रूप से होना चाहिए। उद्देश्यों/लक्ष्यों को रिपोर्ट वर्ष के प्रारम्भ में नियत करना होगा। रिपोर्ट वर्ष के क्रम में किसी कार्मिक को नए सुपुर्द कार्य को ग्रहण करने के समय नियत करना होगा।
6. दोनों सम्बन्धित अधिकारियों को लक्ष्य अच्छे से जानना एवं समझना चाहिए। लक्ष्यों को निर्धारित करते समय कार्य की प्रकृति एवं क्षेत्र तथा ऐसा कोई भी विशेष गुण जो रिपोर्ट होने वाले कार्मिक के कार्य के क्षेत्र या व्यवहार के लिए विशेष हो, को ध्यान में रखते हुए प्राथमिकता को मदवार नियत करना चाहिए।
7. यद्यपि निष्पादन मूल्यांकन एक वर्षान्त अभ्यास है, इसके मानव संसाधन विकास के एक माध्यम होने की सम्भावना के क्रम में रिपोर्टिंग प्राधिकारी एवं रिपोर्ट करने वाले कार्मिक को आवश्यक सुधारात्मक कदम उठाने के लिए वर्ष के दौरान नियमित अंतराल पर मिलना चाहिए।
8. यह प्रत्येक मूल्यांकनकर्ता का प्रयास होना चाहिए कि वह उसके कार्य निष्पादन, संचालन, व्यवहार एवं कार्यक्षमता तथा मूल्यांकन की यथासम्भव विश्वसनीय छवि प्रस्तुत करें।
9. मूल्यांकन केवल रिपोर्ट की अवधि के दौरान मूल्यांकन तक सीमित होना चाहिए।
10. समान श्रेणी के कुछ पद अन्य से अधिक महत्वपूर्ण हो सकते हैं। किसी भी पद में दबाव एवं तनाव की मात्रा समय-समय पर भिन्न हो सकती है। ये तथ्य मूल्यांकन के दौरान ध्यान में रखे जाने चाहिए एवं उचित रूप में जुड़े हुए होने चाहिए।
11. पहलू, जिन पर किसी मूल्यांकन को विभिन्न गुणों के अनुसार मूल्यांकित किया जाना है, प्रत्येक स्तम्भ के नीचे निरूपित किया गया है। मूल्यांकनकर्ता को इनके अनुसार तथा विशेषताओं से सम्बन्धित अन्य तथ्यों के अनुसार चलना चाहिए।
12. सत्य-निष्ठा से संबंधित कॉलम को भरने में निम्नलिखित प्रक्रिया का अनुपालन किया जाना चाहिए।
  1. यदि अधिकारी की ईमानदारी सन्देह से परे है, ऐसा कहा जाना चाहिए।
  2. यदि कोई भी सन्देह या शंका है, तो कॉलम को खाली छोड़ा जाए तथा निम्नानुसार कार्रवाई की जाए।

(क) एक अलग गुप्त नोट दर्ज किया जाना चाहिए तथा आगे की कार्रवाई की जानी चाहिए, एपीएआर के साथ अगले वरिष्ठ अधिकारी को टिप्पणी की प्रतिलिपि भी भेजी जाये जो सुनिश्चित करेगा कि आगे की कार्रवाई त्वरित रूप से कर ली जाए। जहाँ सत्य-निष्ठा को प्रमाणित करना अथवा गुप्त नोट को रिकॉर्ड करना संभव नहीं है, रिपोर्टिंग प्राधिकारी को कहना चाहिए कि या तो अधिकारी के कार्यों पर पर्याप्त ध्यान नहीं दिया गया है, जिससे दृढ़ निर्णय बनाया जा सके अथवा उसके पास कर्मचारी के खिलाफ कुछ नहीं

है, जैसा भी मामला हो।

- (ख) यदि, अनुवर्ती कार्रवाई के परिणामस्वरूप, सन्देह या शंका दूर हो जाए तो कर्मचारी की सत्य-निष्ठा प्रमाणित की जाए तथा तदनुसार एपीएआर में प्रविष्टि की जाए।
- (ग) यदि, सन्देह या शंका की पुष्टि की गई है तो इस तथ्य को भी दर्ज किया जाए तथा सम्बंधित अधिकारी को विधिवत् सूचित किया जाए।
- (घ) यदि, अनुवर्ती कार्रवाई के परिणामस्वरूप, सन्देह व शंका को न तो प्रमाणित किया गया हो और न ही पुष्टि की गई हो तो कर्मचारी के आचरण पर उपर्युक्त (ब) और (स) में बताए अनुसार कार्रवाई की जाए।

13. संख्यात्मक ग्रेडिंग के साथ एपीएआर भरने के संबंध में दिशानिर्देश :

- (i) रिपोर्टिंग तथा समीक्षा प्राधिकारी को कार्य आउटपुट की गुणवत्ता के अनुसार संख्यात्मक ग्रेडिंग प्रदान करे, जो कि व्यक्तिगत गुण तथा कार्यात्मक योग्यता के अनुसार बताई जाएं और यह 1 से 10 तक के मापन पर होनी चाहिए। जहाँ 1 निम्नतम ग्रेड को व 10 उच्चतम ग्रेड को संदर्भित करता है।
- (ii) यह अपेक्षा की जाती है कि 1 या 2 की कोई ग्रेडिंग (कार्य आउटपुट या विशेषताओं या समग्र ग्रेड के सापेक्ष) विशिष्ट विफलताओं के संबंध में उचित होगी और इसी तरह, 9 या 10 का कोई भी ग्रेड विशिष्ट उपलब्धियों के संबंध में उचित होगी। ग्रेड 1-2 या 9-10 के मुश्किल से होने की उम्मीद है और इसलिए उन्हें उचित ठहराने की आवश्यकता है। संख्यात्मक ग्रेड निर्धारित करने में रिपोर्टिंग और समीक्षा करने वाले प्राधिकारियों को वर्तमान में उनके अधीन कार्य कर रहे सहकर्मियों की एक बड़ी संख्या के प्रति अधिकारी/कर्मचारी का मूल्यांकन करना चाहिए।
- (iii) एपीएआर में 8 से 10 के बीच के ग्रेड को 'उत्कृष्ट' मूल्यांकन माना जाएगा तथा मनोनयन/पदोन्नति के लिए औसत अंको की गणना के उद्देश्य से 9 अंक दिए जायेंगे।
- (iv) एपीएआर में 6 से 8 के बीच के ग्रेड का मूल्यांकन "बहुत अच्छा" माना जाएगा तथा 7 अंक दिए जायेंगे।
- (v) एपीआर में 4 से 6 के बीच के ग्रेड का मूल्यांकन 'अच्छा' माना जाएगा तथा 5 अंक दिए जायेंगे।
- (vi) एपीआर में 4 से कम के ग्रेड को 'शून्य' अंक दिया जाएगा।

14. महत्व तथा अंक :

कार्य आउटपुट, व्यक्तिगत विशेषताओं और कार्यात्मक योग्यताओं को महत्व दिया गया है। 1-10 के स्कोर पर समग्र ग्रेड, कार्य आउटपुट के मूल्यांकन पर 40% भारांश तथा व्यक्तिगत विशेषताओं और कार्यात्मक योग्यता के मूल्यांकन के लिए 30% भारांश पर आधारित होगा। समग्र ग्रेडिंग निर्दिष्ट महत्व के अनुपात में संकेतकों के प्रत्येक समूह के औसत मान को जोड़ने पर आधारित होगी।

(गृह मंत्रालय के कार्यालय ज्ञापन संख्या 51/4/64-स्थापना (क) दिनांक 23.7.2009 और कार्मिक एवं प्रशिक्षण विभाग के क्र.स. 21011/1/2005-स्थापना (क) पीटी. (II) दिनांक 23.07.2009



SUPREME AUDIT INSTITUTION OF INDIA  
लोकहितार्थ सत्यनिष्ठा  
Dedicated to Truth in Public Interest

सहायक पर्यवेक्षकों / वरिष्ठ लेखापरीक्षकों / लेखापरीक्षकों / कनिष्ठ हिंदी अनुवादकों  
के लिए

वार्षिक निष्पादन मूल्यांकन रिपोर्ट  
**ANNUAL PERFORMANCE APPRAISAL REPORT FOR  
ASSISTANT SUPERVISORS/SENIOR AUDITORS/AUDITORS/  
JUNIOR HINDI TRANSLATORS**

श्री / श्रीमती / सुश्री / Shri/Smt./Ms. ....

पदनाम / Designation .....

से / From.....तक / to.....

भारत सरकार  
कार्यालय महानिदेशक लेखापरीक्षा (अवसंरचना)  
नई दिल्ली-110002  
Office of the Director General of Audit (Infrastructure), Delhi  
3rd Floor, 'A' Wing, I.P. Bhawan,  
New Delhi-110002

लेखापरीक्षकों/वरिष्ठ लेखापरीक्षकों/सहायक पर्यवेक्षकों/कनिष्ठ हिंदी अनुवादकों  
के लिए

वार्षिक निष्पादन मूल्यांकन रिपोर्ट  
**ANNUAL PERFORMANCE APPRAISAL REPORT FOR  
AUDITORS/SENIOR AUDITORS/ASSISTANT SUPERVISORS/  
JUNIOR HINDI TRANSLATORS**

.....से.....तक की अवधि के लिए रिपोर्ट  
Report for the period from.....to.....

**भाग—I**

**PART-I**

**व्यक्तिगत विवरण**

**PERSONAL DATA**

(कार्यालय के संबंधित प्रशासन अनुभाग द्वारा भरे जाने के लिए)  
(To be filled by the Administrative Section concerned of the Office)

1. अधिकारी/कर्मचारी का नाम  
(बड़े अक्षरों में)  
Name of the Official  
(in capital letters)
2. कर्मचारी की आई डी  
Employee I.D.
3. पदनाम  
Designation
4. क्या अधिकारी/कर्मचारी अनुसूचित जाति/  
अनुसूचित जनजाति से संबंधित है ?  
Whether the Official belongs to  
Scheduled caste/Scheduled Tribe ?
5. जन्म तिथि  
Date of Birth
6. व्यावसायिक तथा तकनीकी योग्यता को  
सम्मिलित करते हुए शैक्षिक योग्यता  
Educational qualifications including  
Professional and technical qualifications
7. विभागीय परीक्षा उत्तीर्ण  
अर्थात् एसओजीई (सिविल, वाणिज्यिक, रेलवे,  
पी एण्ड टी, राजस्व लेखापरीक्षा आदि)  
Departmental Examination passed  
i.e. SOGE (Civil, Commercial, Railway,  
P&T, Revenue Audit etc).
8. वर्तमान पदक्रम में लगातार नियुक्ति की तिथि  
Date of continuous appointment to the present grade
9. वर्तमान पद तथा उस पर नियुक्ति की तिथि  
Present Post and date of appointment thereto
10. वर्ष में कार्य से अनुपस्थिति की अवधि (छुट्टी, प्रशिक्षण आदि)  
यदि उक्त अधिकारी/कर्मचारी ने प्रशिक्षण लिया है तो उसका विवरण दें  
Period of absence from duty (on leave, training etc.) during the year  
If he has undergone training please specify.

(i)

**व्यक्तिगत मूल्यांकन  
(SELF APPRAISAL)**

(जिस अधिकारी/कर्मचारी की रिपोर्ट लिखी जानी है, उसके द्वारा भरा जाए)  
(To be filled by the Official Reported upon)

**भाग-II**

**PART-II**

(कृपया प्रविष्टियाँ भरने से पहले प्रपत्र के अन्त में दिए गए अनुदेशों को ध्यान से पढ़ लें)  
(Please carefully read the instructions given at the end of the form before filling the entries)

1. कार्यो का संक्षिप्त विवरण  
Brief description of the duties

2. "कार्य के जो लक्ष्य/उद्देश्य/ध्येय (परिमाणात्मक या अन्य रूप में) आपने स्वयं के लिए निर्धारित किए हों, या आपके लिए निर्धारित किए गए हों, उन कार्यो की आठ-दस मर्दें प्राथमिकता के आधार पर बनाएं तथा प्रत्येक लक्ष्य में अपनी उपलब्धि बताएं, विशेष रूप से नियोजित खरीद के संबंध में और वास्तव में जैम पोर्टल के माध्यम से उन सरकारी कर्मचारियों के लिए बनाया गया है, जिन्होंने संदर्भित अवधि के दौरान खरीद को संभाला।  
"Please specify targets/objectives/goals (in quantitative or other terms) of work you set for yourself or that were set for you, eight to ten items of work in the order of priority and your achievement against each target, particularly having regard to procurement planned and actually made through GeM portal for those Government servants who handled procurement during the period under reference.

लक्ष्य/उद्देश्य/ध्येय  
Target/Objective/Goals

उपलब्धियाँ  
Achievements

(ii)

| जैम पोर्टल के माध्यम से की गई खरीद (जहाँ भी लागू हो)<br><b>Procurements made through GeM portal (wherever applicable)</b>                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| (i) खरीद के लिए मंत्रालय / प्रभाग / विभाग / अनुभाग द्वारा आवंटित बजट रु० में (उपरोक्त समीक्षा किए गए अधिकारी के मामले में जैसे भी लागू हो)<br>(i) Total budget allocated for procurement by the Ministry/Department/Division/Section in Rupees (as may be applicable in the case of the Officer Reported Upon). | (i) जैम पोर्टल से रिपोर्ट की अवधि के दौरान उनके द्वारा की गई कुल खरीद (रु० में)<br>(i) Total procurement through GeM portal made by him/her during the period of report (in Rs.)<br><br>(ii) लक्ष्य में इंगित बजट के सापेक्ष जैम पोर्टल के माध्यम से खरीद की प्रतिशतता (%)<br>(ii) % of procurement through GeM portal as against the budget indicated in the Target.<br><br>(iii) जैम पोर्टल के अतिरिक्त की गई खरीद तथा उसका कारण<br>(iii) Procurements made outside GeM portal and the reasons thereof.<br><br>(iv) मंत्रालय / विभाग / प्रभाग तथा अनुभाग में जैम पोर्टल के संवर्धन के लिए उठाए गए कदम।<br>(iv) Steps taken for promotion of GeM in the Ministry/Department/Division/Section. |

- 2B यदि आप एक सहायक लेखापरीक्षा/लेखा अधिकारी हैं तो कृपया व्यवस्थित लक्ष्य तथा रिकॉर्डिंग, इन्डेक्सिंग तथा फाइलों को वीड आउट, गार्ड फाइलों, अनुभागीय नोट बुक तथा अन्य पंजिकाओं के रख-रखाव, ओ एण्ड एम तथा अन्य प्रतिवेदनों के प्रस्तुतीकरण के संबंध में किए गए कार्य की मात्रा/परिमाण बताएं।

If you are a Assistant Audit/Accounts Officer, please state briefly, the target set and the quantum of work done in regard to recording, indexing and weeding out of files, maintenance of Guard Files, Sectional Note Book and other registers, furnishing of O & M and other returns etc.

(iii)

- 3 (अ) कृपया मद 2 में बताए गए लक्ष्यों/उद्देश्यों/ध्येयों की प्राप्ति में रही कमियों का संक्षेप में उल्लेख करें। यदि लक्ष्यों की प्राप्ति में कोई बाधाएँ रही हों तो ये बताएं।

(A) Please state briefly, the shortfalls with reference to the targets/objectives/goals referred to in item 2. Please specify constraints, if any, in achieving the targets.

- (ब) कृपया उन मदों का भी उल्लेख करें जिनमें अधिक महत्वपूर्ण उपलब्धियाँ रही हैं और उनमें अपने योगदान का भी उल्लेख करें।  
(B) Please also indicate items in which there have been significantly higher achievements and your contribution thereto.

(स) प्रशिक्षण कार्यक्रम में प्रतिभागिता।

(C) Training programme attended.

- 4 कृपया उल्लेख करें कि क्या पूर्ववर्ती कलैण्डर वर्ष की 'अचल संपत्ति वार्षिक विवरणी' निर्धारित तारीख अर्थात् कलैण्डर वर्ष से उत्तरवर्ती वर्ष की 31 जनवरी तक दर्ज करा दी गई थी। यदि नहीं, तो विवरण दर्ज कराने की तारीख दी जाए।

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

दिनांक

Date.....

सूचना देने वाले अधिकारी के हस्ताक्षर

Signature of officer reported upon

(iv)

### भाग-III

#### PART-III

(रिपोर्टिंग अधिकारी द्वारा भरे जाने के लिए)

(To be filled in by Reporting Officer)

- 1 कृपया बताएं कि क्या आप भाग-II में उल्लिखित प्रतिवेदित अधिकारी/कर्मचारी के व्यक्तिगत मूल्यांकन से सहमत हैं। यदि नहीं, कृपया तथ्यात्मक विवरण प्रस्तुत करें।  
Please state whether you agree with the self-appraisal of the Official reported upon as mentioned in Part-II. If not, please furnish the factual details.

संख्यात्मक वर्गीकरण का निर्धारण, रिपोर्टिंग तथा समीक्षा प्राधिकारी द्वारा किया जाना है जो 1-10 के मापन पर होना चाहिए, निम्नतम श्रेणी सबसे कम श्रेणी का तथा 10 उच्चतम श्रेणी का उल्लेख करता है।

संख्यात्मक श्रेणीकरण, जहाँ लागू हो, खरीदारी के लिए जैम पोर्टल के उपयोग के संबंध में तथा कार्यात्मक क्षमता के आकलन के तहत कार्य क्षेत्र में नियम/विनियमों/प्रक्रियाओं की जानकारी तथा उन पर अमल करने की योग्यता एवं कार्य परिणाम के आकलन के तहत आबंटित विषय पर नियोजित कार्य/आबंटित कार्य के पूरा करने की मद हेतु व्यक्तिगत मूल्यांकन में अधिकारी द्वारा अंकित टिप्पणी के संबंध में विशेषतः अंक दिए जा सकते हैं।

Numerical grading is to be awarded by reporting and reviewing authority which should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest.

Numerical gradings, wherever applicable, may be awarded having special regard to the remarks recorded by the officer in the Self-appraisal regarding utilization of GeM portal for procurement and specifically for items 'Accomplishment of planned work/work allotted as per subjects allotted' under Assessment of Work Output and 'Knowledge of Rules/Regulations/Procedures on the area of function and ability to apply them correctly' under Assessment of Functional Competency."

(कृपया प्रविष्टियों को भरने से पहले दिशा-निर्देशों को ध्यान से पढ़ लें)

(Please read carefully the guidelines before filling the entries)

(अ) कार्य निष्पादन का मूल्यांकन (इस भाग का भारांश 40% होगा)

(A) Assessment of work output (weightage to this/Section would be 40%)

|                                                                                                                                                     | रिपोर्टिंग प्राधिकारी<br>Reporting Authority | समीक्षा प्राधिकारी<br>(संदर्भ भाग-5 का पैरा 2)<br>Reviewing Authority<br>(Refer Para 2 of part 5) | समीक्षा प्राधिकारी के आदयाक्षर<br>Initial of Reviewing Authority |
|-----------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| i) पूर्वनियोजित कार्य की परिपूर्णता/विषय के आधार पर आबंटित किया गया कार्य<br>Accomplishment of planned work/work allotted as per subjects allotted. |                                              |                                                                                                   |                                                                  |
| ii) कार्य-निष्पादन की कोटि<br>Quality of output                                                                                                     |                                              |                                                                                                   |                                                                  |
| iii) विश्लेषणात्मक योग्यता<br>Analytical ability                                                                                                    |                                              |                                                                                                   |                                                                  |
| iv) अपवादात्मक कार्य की परिपूर्णता/किए गए अप्रत्याशित कार्य<br>Accomplishment of exceptional work/unforeseen tasks performed.                       |                                              |                                                                                                   |                                                                  |
| निर्गत कार्य पर कुल श्रेणीकरण<br>Overall Grading on 'Work Output'                                                                                   |                                              |                                                                                                   |                                                                  |

(v)

(ब) व्यक्तिगत विशेषताओं का मूल्यांकन (इस भाग का भारांश 30% होगा)  
(B) Assessment of personal attributes (weightage to this Section would be 30%)

|                                                                                  | रिपोर्टिंग<br>प्राधिकारी<br>Reporting<br>Authority | समीक्षा प्राधिकारी<br>(संदर्भ भाग-5 का पैरा 2)<br>Reviewing Authority<br>(Refer Para 2 of part 5) | समीक्षा<br>प्राधिकारी के<br>आद्याक्षर<br>Initial of<br>Reviewing<br>Authority |
|----------------------------------------------------------------------------------|----------------------------------------------------|---------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|
| i) कार्य की अभिवृत्ति<br>Attitude to work                                        |                                                    |                                                                                                   |                                                                               |
| ii) उत्तरदायित्व बोध<br>Sense of responsibility                                  |                                                    |                                                                                                   |                                                                               |
| iii) अनुशासन का अनुरक्षण<br>Maintenance of Discipline                            |                                                    |                                                                                                   |                                                                               |
| iv) संप्रेषण क्षमताएं<br>Communication Skills                                    |                                                    |                                                                                                   |                                                                               |
| v) नेतृत्व गुण<br>Leadership qualities                                           |                                                    |                                                                                                   |                                                                               |
| vi) दल भावना में कार्य करने की क्षमता<br>Capacity to work in team spirit.        |                                                    |                                                                                                   |                                                                               |
| vii) समय सारणी का अनुसरण करने की क्षमता<br>Capacity to adhere to time-schedule   |                                                    |                                                                                                   |                                                                               |
| viii) अंतर्व्यक्ति संबंध<br>Inter-personal relations                             |                                                    |                                                                                                   |                                                                               |
| ix) समग्र छवि एवं व्यक्तित्व<br>Overall bearing and personality                  |                                                    |                                                                                                   |                                                                               |
| व्यक्तिगत विशेषताओं पर कुल श्रेणीकरण<br>Overall Grading on 'personal attributes' |                                                    |                                                                                                   |                                                                               |

(vi)

(स) कार्यात्मक क्षमता का मूल्यांकन (इस भाग का भारांश 30% होगा)  
(C) Assessment of functional competency (weightage to this Section would be 30%)

|                                                                                                                                                                                                    | रिपोर्टिंग प्राधिकारी<br>Reporting Authority | समीक्षा प्राधिकारी<br>(संदर्भ भाग-5 का पैरा 2)<br>Reviewing Authority<br>(Refer Para 2 of part 5) | समीक्षा प्राधिकारी के आद्याक्षर<br>Initial of Reviewing Authority |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|
| i) नियम/विनियम/कार्य एवं योग्यता के क्षेत्र में प्रक्रियाएं एवं उनके सही प्रयोग की क्षमता<br>Knowledge of Rules/Regulation/Procedures in the area of function and ability to apply them correctly. |                                              |                                                                                                   |                                                                   |
| ii) नीतिबद्ध योजना बनाने की क्षमता<br>Strategic planning ability                                                                                                                                   |                                              |                                                                                                   |                                                                   |
| iii) निर्णय लेने की क्षमता<br>Decision making ability                                                                                                                                              |                                              |                                                                                                   |                                                                   |
| iv) समन्वय क्षमता<br>Coordination ability                                                                                                                                                          |                                              |                                                                                                   |                                                                   |
| v) अधीनस्थ को प्रेरित एवं विकसित करने की क्षमता<br>Ability to motivate and develop subordinates                                                                                                    |                                              |                                                                                                   |                                                                   |
| vi) पहल शक्ति<br>Initiative                                                                                                                                                                        |                                              |                                                                                                   |                                                                   |
| कार्यात्मक क्षमता पर कुल श्रेणीकरण<br>Overall Grading on 'Functional Competency'                                                                                                                   |                                              |                                                                                                   |                                                                   |

**भाग-IV**  
**PART-IV**  
सामान्य  
General

- (अ) अनुसूचित जाति/जनजाति/समाज के कमजोर वर्ग के प्रति अभिवृत्ति  
(कृपया अनुसूचित जाति/जनजाति/कमजोर वर्गों की समस्याओं के प्रति उनकी समझ तथा उनके साथ कार्य करने की इच्छा के संदर्भ में टिप्पणी दें।  
(A) Attitude towards Scheduled Caste/Scheduled Tribes/Weaker Section of Society  
(Please comment on his/her understanding of the problems of Scheduled Caste/Scheduled Tribes/Weaker Sections and willingness to deal with them)

(vii)

1. \*\* (ब) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के विकास तथा सुरक्षा में प्रभावशीलता।  
 \*\* (B) Effectiveness in the development and protection of Scheduled Castes and / or Scheduled Tribes.  
 (क) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के प्रति अभिवृत्ति।  
 (a) Attitude towards Scheduled Castes and/or Scheduled Tribes.  
 (ख) सामाजिक न्याय के प्रति संवेदनशीलता।  
 (b) Sensitivity to social justice.  
 (ग) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के प्रति अत्याचार को रोकने तथा न्याय सुनिश्चित करने हेतु तुरंत एवं प्रभावी कदम उठाने हेतु योग्यता।  
 (c) Ability to take quick and effective action to prevent and quell atrocities and ensure justice to Scheduled Castes and/or Scheduled Tribes.  
 (घ) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के विकास में प्रभावशीलता।  
 (d) Effectiveness in bringing about the development of Scheduled Castes and/or Scheduled Tribes.  
 \*\* (केवल एससी तथा/अथवा एसटी के विकास तथा सुरक्षा हेतु कार्य करने वाले अधिकारी के मामले में भरा जाए। जहाँ किसी अधिकारी के मामले में कॉलम लागू नहीं है वहाँ इसे कॉलम के समक्ष अंकित किया जाए।)  
 \*\* (To be filled in only in the case of officers dealing with development and protection of SCs and/or STs. Where the column is not applicable in the case of any officer, it may be so stated against the column.)
2. अभिवृत्ति तथा क्षमता  
 Attitude & Potential :  
 (कृपया अधिकारी की सम्भावित विशिष्टता तथा कैरियर के विकास के लिए निम्न में से किन्हीं तीन कार्यक्षेत्रों को इंगित करें, कृपया किन्हीं तीन उचित खानों में 1, 2, 3 अंकित करें।  
 (Please indicate three fields of work from amongst the following for possible specialization and career development of the officer, please mark 1, 2, 3 in three appropriate boxes)
- |                                                    |                          |
|----------------------------------------------------|--------------------------|
| (i) प्राप्ति लेखापरीक्षा                           | <input type="checkbox"/> |
| (i) Receipt Audit                                  |                          |
| (ii) वाणिज्यिक लेखापरीक्षा                         | <input type="checkbox"/> |
| (ii) Commercial Audit                              |                          |
| (iii) स्वायत्त निकाय लेखापरीक्षा                   | <input type="checkbox"/> |
| (iii) Autonomous Bodies Audit                      |                          |
| (iv) कार्य लेखापरीक्षा                             | <input type="checkbox"/> |
| (iv) Works Audit                                   |                          |
| (v) अन्य लेखापरीक्षा                               | <input type="checkbox"/> |
| (v) Other Audit                                    |                          |
| (vi) निजी प्रशासन तथा कार्यालय प्रबंधन             | <input type="checkbox"/> |
| (vi) Personal Administration and Office Management |                          |
| (vii) लेखा क्रिया विधि                             | <input type="checkbox"/> |
| (vii) Account Function                             |                          |
| (viii) एंटाइटलमेंट क्रिया विधि                     | <input type="checkbox"/> |
| (viii) Entitlement Function                        |                          |
| (ix) प्रशिक्षण                                     | <input type="checkbox"/> |
| (ix) Training                                      |                          |
| (x) प्रणाली, ओ एण्ड एम. कंप्यूटरीकरण               | <input type="checkbox"/> |
| (x) System, OS M Computerisation                   |                          |
| (xi) कोई अन्य क्षेत्र (कृपया स्पष्ट करें)          | <input type="checkbox"/> |
| (xi) Any Other Fields (Please specify)             |                          |

(viii)

3. प्रशिक्षण  
Training  
(कृपया अधिकारी की प्रभावकारिता एवं कार्य क्षमताओं में और अधिक सुधार और वृद्धि करने की दृष्टि से उसके प्रशिक्षण के लिए सिफारिशें करें।)  
(Please give recommendations for training with a view to further improving the effectiveness and capabilities of the Officer).

4. लेखापरीक्षा / लेखा अधिकारियों, वरिष्ठ लेखापरीक्षा / लेखा अधिकारियों के लिए अतिरिक्त विशेषताएँ।  
Additional Attributes for Audit/Accounts Officers, Senior Audit/Accounts Officers.  
(अ) संगठन के साथ उनका संबंध तथा उसके सहयोग की क्षमता पर टिप्पणी दें।  
(a) Please comment on his/her relations with the organizations and ability to elicit co-operation from them.  
(ब) कृपया निजी दावों के संबंध में शिकायतों के निवारण के प्रति उनके व्यवहार पर टिप्पणी दें।  
(b) Please comment on his/her attitude towards redressal of grievances relating to personal claims.

5. स्वास्थ्य की स्थिति  
State of health

6. सत्यनिष्ठा  
Integrity  
(कृपया अधिकारी की सत्यनिष्ठा पर टिप्पणी दें)  
(Please comment on the integrity of the Officer)

7. प्रतिवेदन अधिकारी द्वारा अधिकारी की समस्त विशेषताओं का लिखित विवरण (लगभग 100 शब्दों में), जिसमें सामर्थ्य क्षेत्र एवं कम सामर्थ्य क्षेत्र, असाधारण उपलब्धियां, महत्वपूर्ण विफलताओं (संदर्भ : भाग-2 का 3(अ) एवं 3(ब) एवं कमजोर वर्गों के प्रति अभिवृत्ति शामिल हो।

जहाँ लागू हो, रिपोर्ट के तहत अवधि के दौरान जैम पर खरीद, जैम पर खरीद की प्रतिशतता के संवर्धन हेतु, अधिकारी द्वारा उठाए गए कदमों पर टिप्पणी तथा कार्यालय में जैम के पूर्ण कार्यान्वयन की ओर उसका व्यवहार भी रिकार्ड किया जाए।

Pen Picture by Reporting Officer (in about 100 words) on the overall qualities of the officer including area of strengths and lesser strength, extraordinary achievements, significant failures (ref. 3(A) & 3(B) of Part-2) and attitude towards weaker sections.

"Wherever applicable, comments on steps taken by the officer for promotion of procurement on GeM during the period under report, percentage of procurement on GeM and his/her attitude towards full implementation of GeM in the office may also be recorded."

|  |
|--|
|  |
|--|

8. प्रतिवेदन के भाग-3 के खण्ड अ, ब तथा स में दिए गए भारांश के आधार पर कुल मिलाकर संख्यात्मक वर्गीकरण।  
Overall numerical grading on the basis of weightage given in Section A, B and C in Part-3 of the Report.

|  |
|--|
|  |
|--|

रिपोर्टिंग अधिकारी के हस्ताक्षर  
Signature of the Reporting Officer

|                       |                                                                                        |
|-----------------------|----------------------------------------------------------------------------------------|
| स्थान :<br>Place..... | नाम बड़े अक्षरों में<br>Name in Block Letters: .....<br>पदनाम :<br>Designation : ..... |
| दिनांक :<br>Date..... | रिपोर्ट की अवधि के दौरान<br>During the period of Report.....                           |

(x)

**भाग-IV समीक्षा अधिकारी की टिप्पणियाँ**  
**PART-IV REMARKS OF THE REVIEWING OFFICER**

1. समीक्षा अधिकारी के अधीन सेवा की अवधि  
Length of service under the reviewing officer.
2. क्या आप खण्ड-3 में निर्गत कार्य तथा विभिन्न गुणों के संबंध में प्रतिवेदन अधिकारी द्वारा दिए गए गुणों के किसी संख्यात्मक मूल्यांकन से सहमत नहीं हैं तो कृपया अपना मूल्यांकन भाग-III में उपलब्ध करवाए गए कॉलम में दें तथा प्रविष्टि पर आद्याक्षर करें।  
Do you agree with the assessment made by Reporting Officer with the respect to work output and the various attributes in Part-III ? In case you do not agree with any of the numerical assessments of attributes please record your assessment in the column provided for you in Part-III and initial your entries.

|                                   |                                                                                                                                          |
|-----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
| हाँ, मैं सहमत हूँ<br>Yes, I agree | नहीं, मैं सहमत नहीं हूँ, मैंने अपना मूल्यांकन भाग-III में दर्ज किया है।<br>No, I do not agree, I have recorded my assessment in Part III |
|-----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|

(कृपया जो लागू न हो, काट दें)  
(Please strike out whichever is not applicable)

3. विचारों में मतभेद होने के मामले में, कृपया इसके लिए विवरण तथा कारण दें।  
In case of difference of opinion, please give details and reasons for the same.
4. यदि उपर्युक्त प्रतिवेदन करने वाला अधिकारी अनुसूचित जाति/जनजाति का सदस्य है, कृपया विशेष रूप से इंगित करें कि क्या अनुसूचित जाति/जनजाति के अधिकारी के मूल्यांकन में रिपोर्टिंग अधिकारी का दृष्टिकोण स्पष्ट तथा यथोचित है।  
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.
5. रिपोर्टिंग अधिकारी द्वारा लिखी गई पेन पिक्चर पर यदि कोई टिप्पणी हो तो।  
Comments, if any, on the Pen Picture written by the Reporting Officer
6. रिपोर्ट के भाग-3 के पैरा 2, 3 तथा 4 में दिए गए भारांश के आधार पर समग्र संख्यात्मक ग्रेडिंग।  
Overall numerical grading on the basis of weightage given in Para, 2, 3 and 4 in Part-III of the Report.

स्थान  
Place.....  
दिनांक  
Date.....

समीक्षा अधिकारी के हस्ताक्षर  
Signature of the Reviewing Officer  
नाम बड़े अक्षरों में.....  
Name in Block Letters.....  
रिपोर्ट की अवधि के दौरान.....  
During the period of Report.....

(xi)

## INSTRUCTIONS

1. The Annual Performance Appraisal report (APAR) is an important document. It provides the basic vital inputs for assessing the performance of an official and for his/her further advancement in his/her career. The Official reported upon, the Reporting Authority, the Reviewing Authority and the Accepting Authority should, therefore, undertake the duty of filling out the form with a high sense of responsibility.
2. The Performance Appraisal should be used as a tool for human resources development. Reporting Officers should realize that the objectives is to develop an official so that he/she realize true potential. It is not meant to be a fault-finding process but a development one. The Reporting Officer and the Reviewing Officer should not shy away from reporting shortcomings in performance, attitudes or overall personality of the official reported upon.
3. The items should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a Casual or superficial manner will be easily discernible to higher authorities.
4. Answers shall be given in a narrative form. The space provided indicates the desired length of the answer. Words and phrases should be chosen care fully and should accurately reflect the intention of the authority recording the answer. Please use unambiguous and simple language. Please do not use omnibus expression like 'Outstanding', 'Very Good', 'Good', 'Average', 'Below Average', while giving your comments.
5. The Reporting Officer shall, in the beginning of the year set quantitative / physical targets in consultations with each of the Officials with respect to whom he is required to reported upon. Performance appraisal should be a joint exercise between the official reported upon and the reporting officer. The targets/goals shall be set at the commencement of the reporting year. In the case of an official taking up a new assignment in the course of the reporting year, such targets/goals shall be set at the time of assumption of the new assignment.
6. The target should be clearly known and understood by both the officers concerned. While fixing the targets, priority should be assigned item-wise, taking into consideration the nature and the area of the work and any special feature that may be specific to the manner or the area of the work of the official to be reported upon.
7. Although performance appraisal is a year-end exercise, in order that it may be a tool for human resource development, the Reporting Officer and the official reported upon should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.
8. It should be the endeavors of each appraiser to present the trust possible picture of the appraise in regard and his/her performance, conduct, behavior and potential.
9. Assessment should be confined to the appraise performance during the period of report only.
10. Some post of the same rank may be more exacting than others. The degree of stress and strain in any post may also vary from time to time. These facts should be borne in mind during appraisal and should be commected upon appropriately.
11. Aspects on which an appraise is to be evaluated on different attributes are delineated below each column. The appraiser should deal with these and other aspects relevant to the attributes.

12. The following procedure should be followed in filling up the column relating to integrity.
  - (i) If the Official's integrity is beyond doubt, it may be so stated.
  - (ii) If there is any doubt or suspicion, the column should be left blank and action taken as under.
    - (a) A separate secret note should be recorded and followed up. A copy of the note should also be sent together with the APAR to the next superior Officer who will ensure that the follow up action is taken expeditiously. Where it is not possible either to certify the integrity or to record the secret note, the Reporting Officer should state either that he had not watched the Official's work for sufficient time to form a definite judgement or that he has heard nothing against the official, as case may be.
    - (b) If, as a result of the follow up action, the doubts or suspicions are cleared, the official's integrity should be certified and an entry made accordingly in the APAR.
    - (c) If, the doubts or suspicions are confirmed, this fact should also be recorded and duly communicated to the official concerned.
    - (d) If, as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the official's conduct should be watched for a further period and thereafter action taken as indicated at (b) and (c) above.
13. Guidelines regarding filling up APAR with numerical grading:
  - (i) Numerical grading are to be awarded by Reporting and Reviewing Authorities for the quality of work output, personal attributes and functional competence of the official reported upon. These should be on the scale of 1-10, where 1 refers to the lowest grade and 10 to the highest grade.
  - (ii) It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 9 or 10 would be justified with respect to specific accomplishments. Grades of 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the Reporting and Reviewing Authorities should rate the official against a larger population of his/her peers that may be currently working under them.
  - (iii) APARs graded between 8 and 10 will be rated as 'Outstanding' and will be given a score of the 9 for the purpose of calculating average scores for impanelment/promotion.
  - (iv) APARs graded between 6 and short of 8 will be rated as 'Very Good' and will be given a score of 7.
  - (v) APARs graded between 4 and of 6 will be rated as 'Good' and will be given a score of 5.
  - (vi) APARs graded below 4 will be given a score of 'Zero'.

14. Weightage and Mean:

Weights have been assigned to work output, personal attributes and functional competency. The overall grade on a score of 1-10 will be based on 40% weight age on assessment of work output and 30% each for assessment of personal attributes and functional competency. The overall grading will be based on addition of the mean value of each group of indicators in proportion to weight age assigned.

(Ministry of Home Affairs OM No. 51/4/64 Estt (A) dated 23.07.2009 and Department of Personnel and Training OM No. 21011/1/2005-Estt (A) Pt. (II) dated 23.07.2009)

(xiii)

## अनुदेश

1. वार्षिक निष्पादन मूल्यांकन प्रतिवेदन (एपीएआर) एक महत्वपूर्ण दस्तावेज है। यह कार्मिक के निष्पादन के मूल्यांकन करने एवं उसका/उसकी जीविका में आगे उन्नति के लिए आधारभूत अनिवार्य निविष्टियां उपलब्ध कराता है। अतः रिपोर्ट करने वाले कार्मिक, रिपोर्ट प्राधिकारी, समीक्षा प्राधिकारी एवं रिपोर्टिंग प्राधिकारी को प्रपत्र भरने के कार्य को उच्च भावना के उत्तरदायित्व के साथ करना चाहिए।
  2. निष्पादन मूल्यांकन मानव संसाधन विकास के लिए साधन के रूप में प्रयुक्त होना चाहिए। रिपोर्टिंग प्राधिकारी को यह समझना चाहिए कि इसका उद्देश्य एक कार्मिक का विकास करना है, जिससे उसे वास्तविक कार्यक्षमता का एहसास हो। यह छिद्रान्वेषण प्रक्रिया न होकर विकास प्रक्रिया है। रिपोर्टिंग प्राधिकारी एवं समीक्षा प्राधिकारी को रिपोर्ट करने वाले कार्मिक की निष्पादन, दृष्टिकोण अथवा सम्पूर्ण व्यक्तित्व सम्बन्धी कमियों को बताने में संकोच नहीं करना चाहिए।
  3. मर्दें सम्यक, सतर्कता एवं सावधानी तथा पर्याप्त समय देने के बाद भरी जानी चाहिए। अनियत अथवा अगंभीर तरीके से रिपोर्ट को भरे जाने का कोई भी प्रयास उच्च अधिकारियों को सरलता से दृष्टिगोचर होगा।
  4. उत्तर विवरणात्मक रूप में देना होगा। लिखने के लिए उपलब्ध कराया गया स्थान, उत्तर के इच्छित विस्तार का संकेत करता है। शब्दों एवं वाक्यांशों का चयन सावधानीपूर्वक एवं उत्तर अभिलेखन प्राधिकारी के अभिप्राय को यथार्थरूप में प्रकट करने वाला होना चाहिए। कृपया असंदिग्ध एवं सरल भाषा का प्रयोग करें। टिप्पणी देते समय कृपया बहुभावी पद जैसे, 'असाधारण', 'अति-उत्तम', 'उत्तम', औसत से कम का प्रयोग न करें।
  5. रिपोर्टिंग प्राधिकारी द्वारा जिन कार्मिकों की रिपोर्ट लिखी जानी है, उन सभी के परामर्श से वर्ष के प्रारम्भ में परिमाणात्मक/भौतिक लक्ष्य व्यवस्थित कर लेना चाहिए। निष्पादन मूल्यांकन, रिपोर्टिंग प्राधिकारी एवं कार्मिक जिसकी रिपोर्ट लिखी जानी है, के मध्य संयुक्त रूप से होना चाहिए। उद्देश्यों/लक्ष्यों को रिपोर्ट वर्ष के प्रारंभ में नियत करना होगा। रिपोर्ट वर्ष के क्रम में किसी कार्मिक को नए सुपुर्द कार्य को ग्रहण करने के समय नियत करना होगा।
  6. दोनों सम्बंधित अधिकारियों को लक्ष्य अच्छे से जानना एवं समझना चाहिए। लक्ष्यों को निर्धारित करते समय कार्य की प्रकृति एवं क्षेत्र तथा ऐसा कोई भी विशेष गुण जो रिपोर्ट होने वाले कार्मिक के कार्य के क्षेत्र या व्यवहार के लिए विशेष हो, को ध्यान में रखते हुए प्राथमिकता को मदवार नियत करना चाहिए।
  7. यद्यपि निष्पादन मूल्यांकन एक वर्षान्त अभ्यास है, इसके मानव संसाधन विकास के एक माध्यम होने की सम्भावना के क्रम में रिपोर्टिंग प्राधिकारी एवं रिपोर्ट करने वाले कार्मिक को आवश्यक सुधारात्मक कदम उठाने के लिए वर्ष के दौरान नियमित अंतराल पर मिलना चाहिए।
  8. यह प्रत्येक मूल्यांकनकर्ता का प्रयास होना चाहिए कि वह उसके कार्य निष्पादन, संचालन, व्यवहार एवं कार्यक्षमता तथा मूल्यांकन की यथासम्भव विश्वसनीय छवि प्रस्तुत करें।
  9. मूल्यांकन केवल रिपोर्ट की अवधि के दौरान मूल्यांकन तक सीमित होना चाहिए।
  10. समान श्रेणी के कुछ पद अन्य से अधिक महत्वपूर्ण हो सकते हैं। किसी भी पद में दबाव एवं तनाव की मात्रा समय-समय पर भिन्न हो सकती है। ये तथ्य मूल्यांकन के दौरान ध्यान में रखे जाने चाहिए एवं उचित रूप में जुड़े हुए होने चाहिए।
  11. पहलू जिन पर किसी मूल्यांकन को विभिन्न गुणों के अनुसार मूल्यांकित किया जाना है, प्रत्येक स्तम्भ के नीचे निरूपित किया गया है। मूल्यांकनकर्ता को इनके अनुसार तथा विशेषताओं से सम्बन्धित अन्य तथ्यों के अनुसार चलना चाहिए।
  12. सत्य-निष्ठा से संबंधित कॉलम को भरने में निम्नलिखित प्रक्रिया का अनुपालन किया जाना चाहिए।
    1. यदि अधिकारी की ईमानदारी सन्देह से परे है, ऐसा कहा जाना चाहिए।
    2. यदि कोई भी सन्देह या शंका है, तो कॉलम को खाली छोड़ा जाए तथा निम्नानुसार कार्रवाई की जाए।
- (क) एक अलग गुप्त नोट दर्ज किया जाना चाहिए तथा आगे की कार्रवाई की जानी चाहिए, एपीएआर के साथ अगले वरिष्ठ अधिकारी को टिप्पणी की प्रतिलिपि भी भेजी जाये जो सुनिश्चित करेगा कि आगे की कार्रवाई त्वरित रूप से कर ली जाए। जहाँ सत्य-निष्ठा को प्रमाणित करना अथवा गुप्त नोट को रिकॉर्ड करना संभव नहीं है, रिपोर्टिंग प्राधिकारी को कहना चाहिए कि या तो अधिकारी के कार्यों पर पर्याप्त ध्यान नहीं दिया गया है, जिससे दृढ़ निर्णय बनाया जा सके अथवा उसके पास कर्मचारी के खिलाफ कुछ नहीं

है, जैसा भी मामला हो।

- (ख) यदि, अनुवर्ती कार्रवाई के परिणामस्वरूप, सन्देह या शंका दूर हो जाए तो कर्मचारी की सत्य-निष्ठा प्रमाणित की जाए तथा तदनुसार एपीएआर में प्रविष्टि की जाए।
- (ग) यदि, सन्देह या शंका की पुष्टि की गई है तो इस तथ्य को भी दर्ज किया जाए तथा सम्बंधित अधिकारी को विधिवत् सूचित किया जाए।
- (घ) यदि, अनुवर्ती कार्रवाई के परिणामस्वरूप, सन्देह व शंका को न तो प्रमाणित किया गया हो और न ही पुष्टि की गई हो तो कर्मचारी के आचरण पर उपर्युक्त (ब) और (स) में बताए अनुसार कार्रवाई की जाए।

13. संख्यात्मक ग्रेडिंग के साथ एपीएआर भरने के संबंध में दिशानिर्देश :

- (i) रिपोर्टिंग तथा समीक्षा प्राधिकारी को कार्य आउटपुट की गुणवत्ता के अनुसार संख्यात्मक ग्रेडिंग प्रदान करे, जो कि व्यक्तिगत गुण तथा कार्यात्मक योग्यता के अनुसार बताई जाएं और यह 1 से 10 तक के मापन पर होनी चाहिए। जहाँ 1 निम्नतम ग्रेड को व 10 उच्चतम ग्रेड को संदर्भित करता है।
- (ii) यह अपेक्षा की जाती है कि 1 या 2 की कोई ग्रेडिंग (कार्य आउटपुट या विशेषताओं या समग्र ग्रेड के सापेक्ष) विशिष्ट विफलताओं के संबंध में उचित होगी और इसी तरह, 9 या 10 का कोई भी ग्रेड विशिष्ट उपलब्धियों के संबंध में उचित होगी। ग्रेड 1-2 या 9-10 के मुश्किल से होने की उम्मीद है और इसलिए उन्हें उचित ठहराने की आवश्यकता है। संख्यात्मक ग्रेड निर्धारित करने में रिपोर्टिंग और समीक्षा करने वाले प्राधिकारियों को वर्तमान में उनके अधीन कार्य कर रहे सहकर्मियों की एक बड़ी संख्या के प्रति अधिकारी/कर्मचारी का मूल्यांकन करना चाहिए।
- (iii) एपीएआर में 8 से 10 के बीच के ग्रेड को 'उत्कृष्ट' मूल्यांकन माना जाएगा तथा मनोनयन/पदोन्नति के लिए औसत अंको की गणना के उद्देश्य से 9 अंक दिए जायेंगे।
- (iv) एपीएआर में 6 से 8 के बीच के ग्रेड का मूल्यांकन "बहुत अच्छा" माना जाएगा तथा 7 अंक दिए जायेंगे।
- (v) एपीआर में 4 से 6 के बीच के ग्रेड का मूल्यांकन 'अच्छा' माना जाएगा तथा 5 अंक दिए जायेंगे।
- (vi) एपीआर में 4 से कम के ग्रेड को 'शून्य' अंक किया जाएगा।

14. महत्व तथा अंक :

कार्य आउटपुट, व्यक्तिगत विशेषताओं और कार्यात्मक योग्यताओं को महत्व दिया गया है। 1-10 के स्कोर पर समग्र ग्रेड, कार्य आउटपुट के मूल्यांकन पर 40% भारांश तथा व्यक्तिगत विशेषताओं और कार्यात्मक योग्यता के मूल्यांकन के लिए 30% भारांश पर आधारित होगा। समग्र ग्रेडिंग निर्दिष्ट महत्व के अनुपात में संकेतकों के प्रत्येक समूह के औसत मान को जोड़ने पर आधारित होगी।

(गृह मंत्रालय के कार्यालय ज्ञापन संख्या 51/4/64-स्थापना (क) दिनांक 23.7.2009 और कार्मिक एवं प्रशिक्षण विभाग के क्र.स. 21011/1/2005-स्थापना (क) पीटी. (II) दिनांक 23.07.2009



SUPREME AUDIT INSTITUTION OF INDIA  
लोकहितार्थ सत्यनिष्ठा  
Dedicated to Truth in Public Interest

लिपिकों / ऑकड़ा प्रविष्टि प्रचालकों  
के लिए  
वार्षिक निष्पादन मूल्यांकन रिपोर्ट  
**ANNUAL PERFORMANCE APPRAISAL REPORT FOR  
CLERKS/DATA ENTRY OPERATORS**

श्री / श्रीमती / सुश्री / Shri/Smt./Ms. ....

पदनाम / Designation .....

से / From.....तक / to.....

भारत सरकार  
कार्यालय महानिदेशक लेखापरीक्षा (अवसंरचना)  
नई दिल्ली-110002  
Office of the Director General of Audit (Infrastructure), Delhi  
3rd Floor, 'A' Wing, I.P. Bhawan,  
New Delhi-110002

लिपिकों/ऑकड़ा प्रविष्टि प्रचालकों  
के लिए  
वार्षिक निष्पादन मूल्यांकन रिपोर्ट  
**ANNUAL PERFORMANCE APPRAISAL REPORT FOR  
CLERKS/DATA ENTRY OPERATORS**

.....से.....तक की अवधि के लिए रिपोर्ट  
Report for the period from.....to.....

**भाग-I**

**PART-I**

**व्यक्तिगत विवरण**

**PERSONAL DATA**

(कार्यालय के संबंधित प्रशासन अनुभाग द्वारा भरे जाने के लिए)  
(To be filled by the Administrative Section concerned of the Office)

1. अधिकारी/कर्मचारी का नाम  
(बड़े अक्षरों में)  
Name of the Official  
(in capital letters)
2. कर्मचारी की आई डी  
Employee I.D.
3. पदनाम  
Designation
4. क्या अधिकारी/कर्मचारी अनुसूचित जाति/  
अनुसूचित जनजाति से संबंधित है ?  
Whether the Official belongs to  
Scheduled caste/Scheduled Tribe ?
5. जन्म तिथि  
Date of Birth
6. व्यावसायिक तथा तकनीकी योग्यता को  
सम्मिलित करते हुए शैक्षिक योग्यता  
Educational qualifications including  
Professional and technical qualifications
7. विभागीय परीक्षा उत्तीर्ण  
अर्थात् एसओजीई (सिविल, वाणिज्यिक, रेलवे,  
पी एण्ड टी, राजस्व लेखापरीक्षा आदि)  
Departmental Examination passed  
i.e. SOGE (Civil, Commercial, Railway,  
P&T, Revenue Audit etc).
8. वर्तमान पदक्रम में लगातार नियुक्ति की तिथि  
Date of continuous appointment to the present grade
9. वर्तमान पद तथा उस पर नियुक्ति की तिथि  
Present Post and date of appointment thereto
10. वर्ष में कार्य से अनुपस्थिति की अवधि (छुट्टी, प्रशिक्षण आदि)  
यदि उक्त अधिकारी/कर्मचारी ने प्रशिक्षण लिया है तो उसका विवरण दें  
Period of absence from duty (on leave, training etc.) during the year  
If he has undergone training please specify.

(i)

**व्यक्तिगत मूल्यांकन  
(SELF APPRAISAL)**

(जिस अधिकारी/कर्मचारी की रिपोर्ट लिखी जानी है, उसके द्वारा भरा जाए)  
(To be filled by the Official Reported upon)

**भाग—II  
PART-II**

(कृपया प्रविष्टियाँ भरने से पहले प्रपत्र के अन्त में दिए गए अनुदेशों को ध्यान से पढ़ लें)  
(Please carefully read the instructions given at the end of the form before filling the entries)

1. कार्यों का संक्षिप्त विवरण  
Brief description of the duties

2. "कार्य के जो लक्ष्य/उद्देश्य/ध्येय (परिमाणात्मक या अन्य रूप में) आपने स्वयं के लिए निर्धारित किए हों, या आपके लिए निर्धारित किए गए हों, उन कार्यों की आठ-दस मर्दें प्राथमिकता के आधार पर बनाएं तथा प्रत्येक लक्ष्य में अपनी उपलब्धि बताएं, विशेष रूप से नियोजित खरीद के संबंध में और वास्तव में जैम पोर्टल के माध्यम से उन सरकारी कर्मचारियों के लिए बनाया गया है, जिन्होंने संदर्भित अवधि के दौरान खरीद को संभाला।

"Please specify targets/objectives/goals (in quantitative or other terms) of work you set for yourself or that were set for you, eight to ten items of work in the order of priority and your achievement against each target, particularly having regard to procurement planned and actually made through GeM portal for those Government servants who handled procurement during the period under reference.

लक्ष्य/उद्देश्य/ध्येय  
Target/Objective/Goals

उपलब्धियाँ  
Achievements

(ii)

| <b>जैम पोर्टल के माध्यम से की गई खरीद (जहाँ भी लागू हो)</b><br><b>Procurements made through GeM portal (wherever applicable)</b>                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| (i) खरीद के लिए मंत्रालय / प्रभाग / विभाग / अनुभाग द्वारा आवंटित बजट रु० में (उपरोक्त समीक्षा किए गए अधिकारी के मामले में जैसे भी लागू हो)<br>(i) Total budget allocated for procurement by the Ministry/Department/Division/Section in Rupees (as may be applicable in the case of the Officer Reported Upon). | (i) जैम पोर्टल से रिपोर्ट की अवधि के दौरान उनके द्वारा की गई कुल खरीद (रु० में)<br>(i) Total procurement through GeM portal made by him/her during the period of report (in Rs.)<br><br>(ii) लक्ष्य में इंगित बजट के सापेक्ष जैम पोर्टल के माध्यम से खरीद की प्रतिशतता (%)<br>(ii) % of procurement through GeM portal as against the budget indicated in the Target.<br><br>(iii) जैम पोर्टल के अतिरिक्त की गई खरीद तथा उसका कारण<br>(iii) Procurements made outside GeM portal and the reasons thereof.<br><br>(iv) मंत्रालय / विभाग / प्रभाग तथा अनुभाग में जैम पोर्टल के संवर्धन के लिए उठाए गए कदम।<br>(iv) Steps taken for promotion of GeM in the Ministry/Department/Division/Section. |

- 2B यदि आप एक सहायक लेखापरीक्षा/लेखा अधिकारी हैं तो कृपया व्यवस्थित लक्ष्य तथा रिकॉर्डिंग, इन्डेक्सिंग तथा फाइलों को वीड आउट, गार्ड फाइलों, अनुभागीय नोट बुक तथा अन्य पंजिकाओं के रख-रखाव, ओ एण्ड एम तथा अन्य प्रतिवेदनों के प्रस्तुतीकरण के संबंध में किए गए कार्य की मात्रा/परिमाण बताएं।
- If you are a Assistant Audit/Accounts Officer, please state briefly, the target set and the quantum of work done in regard to recording, indexing and weeding out of files, maintenance of Guard Files, Sectional Note Book and other registers, furnishing of O & M and other returns etc.

(iii)

- 3 (अ) कृपया मद 2 में बताए गए लक्ष्यों/उद्देश्यों/ध्येयों की प्राप्ति में रही कमियों का संक्षेप में उल्लेख करें। यदि लक्ष्यों की प्राप्ति में कोई बाधाएँ रही हों तो ये बताएं।

(A) Please state briefly, the shortfalls with reference to the targets/objectives/goals referred to in item 2. Please specify constraints, if any, in achieving the targets.

|  |
|--|
|  |
|--|

- (ब) कृपया उन मदों का भी उल्लेख करें जिनमें अधिक महत्वपूर्ण उपलब्धियाँ रही हैं और उनमें अपने योगदान का भी उल्लेख करें।  
(B) Please also indicate items in which there have been significantly higher achievements and your contribution thereto.

|  |
|--|
|  |
|--|

(स) प्रशिक्षण कार्यक्रम में प्रतिभागिता।

(C) Training programme attended.

|  |
|--|
|  |
|--|

- 4 कृपया उल्लेख करें कि क्या पूर्ववर्ती कलैण्डर वर्ष की 'अचल संपत्ति वार्षिक विवरणी' निर्धारित तारीख अर्थात् कलैण्डर वर्ष से उत्तरवर्ती वर्ष की 31 जनवरी तक दर्ज करा दी गई थी। यदि नहीं, तो विवरण दर्ज कराने की तारीख दी जाए।

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

|  |
|--|
|  |
|--|

दिनांक

Date.....

सूचना देने वाले अधिकारी के हस्ताक्षर

Signature of officer reported upon

(iv)

### भाग-III

### PART-III

(रिपोर्टिंग अधिकारी द्वारा भरे जाने के लिए)

(To be filled in by Reporting Officer)

- 1 कृपया बताएं कि क्या आप भाग-II में उल्लिखित प्रतिवेदित अधिकारी/कर्मचारी के व्यक्तिगत मूल्यांकन से सहमत हैं। यदि नहीं, कृपया तथ्यात्मक विवरण प्रस्तुत करें।

Please state whether you agree with the self-appraisal of the Official reported upon as mentioned in Part-II. If not, please furnish the factual details.

संख्यात्मक वर्गीकरण का निर्धारण, रिपोर्टिंग तथा समीक्षा प्राधिकारी द्वारा किया जाना है जो 1-10 के मापन पर होना चाहिए, निम्नतम श्रेणी सबसे कम श्रेणी का तथा 10 उच्चतम श्रेणी का उल्लेख करता है।

संख्यात्मक श्रेणीकरण, जहाँ लागू हो, खरीदारी के लिए जैम पोर्टल के उपयोग के संबंध में तथा कार्यात्मक क्षमता के आकलन के तहत कार्य क्षेत्र में नियम/विनियमों/प्रक्रियाओं की जानकारी तथा उन पर अमल करने की योग्यता एवं कार्य परिणाम के आकलन के तहत आबंटित विषय पर नियोजित कार्य/आबंटित कार्य के पूरा करने की मद हेतु व्यक्तिगत मूल्यांकन में अधिकारी द्वारा अंकित टिप्पणी के संबंध में विशेषतः अंक दिए जा सकते हैं।

Numerical grading is to be awarded by reporting and reviewing authority which should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest.

Numerical gradings, wherever applicable, may be awarded having special regard to the remarks recorded by the officer in the Self-appraisal regarding utilization of GeM portal for procurement and specifically for items 'Accomplishment of planned work/work allotted as per subjects allotted' under Assessment of Work Output and 'Knowledge of Rules/Regulations/Procedures on the area of function and ability to apply them correctly' under Assessment of Functional Competency."

(कृपया प्रविष्टियों को भरने से पहले दिशा-निर्देशों को ध्यान से पढ़ लें)

(Please read carefully the guidelines before filling the entries)

(अ) कार्य निष्पादन का मूल्यांकन (इस भाग का भारांश 40% होगा)

(A) Assessment of work output (weightage to this/Section would be 40%)

|                                                                                                                                                     | रिपोर्टिंग प्राधिकारी<br>Reporting Authority | समीक्षा प्राधिकारी<br>(संदर्भ भाग-5 का पैरा 2)<br>Reviewing Authority<br>(Refer Para 2 of part 5) | समीक्षा प्राधिकारी के आद्याक्षर<br>Initial of Reviewing Authority |
|-----------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|
| i) पूर्वनियोजित कार्य की परिपूर्णता/विषय के आधार पर आबंटित किया गया कार्य<br>Accomplishment of planned work/work allotted as per subjects allotted. |                                              |                                                                                                   |                                                                   |
| ii) कार्य-निष्पादन की कोटि<br>Quality of output                                                                                                     |                                              |                                                                                                   |                                                                   |
| iii) विश्लेषणात्मक योग्यता<br>Analytical ability                                                                                                    |                                              |                                                                                                   |                                                                   |
| iv) अपवादात्मक कार्य की परिपूर्णता/किए गए अप्रत्याशित कार्य<br>Accomplishment of exceptional work/unforeseen tasks performed.                       |                                              |                                                                                                   |                                                                   |
| निर्गत कार्य पर कुल श्रेणीकरण<br>Overall Grading on 'Work Output'                                                                                   |                                              |                                                                                                   |                                                                   |

(v)

(ब) व्यक्तिगत विशेषताओं का मूल्यांकन (इस भाग का भारांश 30% होगा)  
(B) Assessment of personal attributes (weightage to this Section would be 30%)

|                                                                                  | रिपोर्टिंग प्राधिकारी<br>Reporting Authority | समीक्षा प्राधिकारी<br>(संदर्भ भाग-5 का पैरा 2)<br>Reviewing Authority<br>(Refer Para 2 of part 5) | समीक्षा प्राधिकारी के आद्याक्षर<br>Initial of Reviewing Authority |
|----------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|
| i) कार्य की अभिवृत्ति<br>Attitude to work                                        |                                              |                                                                                                   |                                                                   |
| ii) उत्तरदायित्व बोध<br>Sense of responsibility                                  |                                              |                                                                                                   |                                                                   |
| iii) अनुशासन का अनुरक्षण<br>Maintenance of Discipline                            |                                              |                                                                                                   |                                                                   |
| iv) संप्रेषण क्षमताएं<br>Communication Skills                                    |                                              |                                                                                                   |                                                                   |
| v) नेतृत्व गुण<br>Leadership qualities                                           |                                              |                                                                                                   |                                                                   |
| vi) दल भावना में कार्य करने की क्षमता<br>Capacity to work in team spirit.        |                                              |                                                                                                   |                                                                   |
| vii) समय सारणी का अनुसरण करने की क्षमता<br>Capacity to adhere to time-schedule   |                                              |                                                                                                   |                                                                   |
| viii) अंतर्व्यक्तिक संबंध<br>Inter-personal relations                            |                                              |                                                                                                   |                                                                   |
| ix) समग्र छवि एवं व्यक्तित्व<br>Overall bearing and personality                  |                                              |                                                                                                   |                                                                   |
| व्यक्तिगत विशेषताओं पर कुल श्रेणीकरण<br>Overall Grading on 'personal attributes' |                                              |                                                                                                   |                                                                   |

(vi)

(स) कार्यात्मक क्षमता का मूल्यांकन (इस भाग का भारांश 30% होगा)  
(C) Assessment of functional competency (weightage to this Section would be 30%)

|                                                                                                                                                                                                    | रिपोर्टिंग प्राधिकारी<br>Reporting Authority | समीक्षा प्राधिकारी<br>(संदर्भ भाग-5 का पैरा 2)<br>Reviewing Authority<br>(Refer Para 2 of part 5) | समीक्षा प्राधिकारी के आद्याक्षर<br>Initial of Reviewing Authority |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|
| i) नियम/विनियम/कार्य एवं योग्यता के क्षेत्र में प्रक्रियाएं एवं उनके सही प्रयोग की क्षमता<br>Knowledge of Rules/Regulation/Procedures in the area of function and ability to apply them correctly. |                                              |                                                                                                   |                                                                   |
| ii) नीतिबद्ध योजना बनाने की क्षमता<br>Strategic planning ability                                                                                                                                   |                                              |                                                                                                   |                                                                   |
| iii) निर्णय लेने की क्षमता<br>Decision making ability                                                                                                                                              |                                              |                                                                                                   |                                                                   |
| iv) समन्वय क्षमता<br>Coordination ability                                                                                                                                                          |                                              |                                                                                                   |                                                                   |
| v) अधीनस्थ को प्रेरित एवं विकसित करने की क्षमता<br>Ability to motivate and develop subordinates                                                                                                    |                                              |                                                                                                   |                                                                   |
| vi) पहल शक्ति<br>Initiative                                                                                                                                                                        |                                              |                                                                                                   |                                                                   |
| कार्यात्मक क्षमता पर कुल श्रेणीकरण<br>Overall Grading on 'Functional Competency'                                                                                                                   |                                              |                                                                                                   |                                                                   |

#### भाग-IV

#### PART-IV

सामान्य

General

- अनुसूचित जाति/जनजाति/समाज के कमजोर वर्ग के प्रति अभिवृत्ति  
(कृपया अनुसूचित जाति/जनजाति/कमजोर वर्गों की समस्याओं के प्रति उनकी समझ तथा उनके साथ कार्य करने की इच्छा के संदर्भ में टिप्पणी दें।)
  - Attitude towards Scheduled Caste/Scheduled Tribes/Weaker Section of Society  
(Please comment on his/her understanding of the problems of Scheduled Caste/Scheduled Tribes/Weaker Sections and willingness to deal with them)

(vii)

1.
  - \*\* (ब) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के विकास तथा सुरक्षा में प्रभावशीलता।
  - \*\* (B) Effectiveness in the development and protection of Scheduled Castes and / or Scheduled Tribes.
  - (क) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के प्रति अभिवृत्ति।
  - (a) Attitude towards Scheduled Castes and/or Scheduled Tribes.
  - (ख) सामाजिक न्याय के प्रति संवेदनशीलता।
  - (b) Sensitivity to social justice.
  - (ग) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के प्रति अत्याचार को रोकने तथा न्याय सुनिश्चित करने हेतु तुरंत एवं प्रभावी कदम उठाने हेतु योग्यता।
  - (c) Ability to take quick and effective action to prevent and quell atrocities and ensure justice to Scheduled Castes and/or Scheduled Tribes.
  - (घ) अनुसूचित जातियों तथा/अथवा अनुसूचित जनजातियों के विकास में प्रभावशीलता।
  - (d) Effectiveness in bringing about the development of Scheduled Castes and/or Scheduled Tribes.
  - \*\* (केवल एससी तथा/अथवा एसटी के विकास तथा सुरक्षा हेतु कार्य करने वाले अधिकारी के मामले में भरा जाए। जहाँ किसी अधिकारी के मामले में कॉलम लागू नहीं है वहाँ इसे कॉलम के समक्ष अंकित किया जाए।)
  - \*\* (To be filled in only in the case of officers dealing with development and protection of SCs and/or STs. Where the column is not applicable in the case of any officer, it may be so stated against the column.)
2. अभिवृत्ति तथा क्षमता  
 Attitude & Potential :  
 (कृपया अधिकारी की सम्भावित विशिष्टता तथा कैरियर के विकास के लिए निम्न में से किन्हीं तीन कार्यक्षेत्रों को इंगित करें, कृपया किन्हीं तीन उचित खानों में 1, 2, 3 अंकित करें।)  
 (Please indicate three fields of work from amongst the following for possible specialization and career development of the officer, please mark 1, 2, 3 in three appropriate boxes)

- |                                                    |                          |
|----------------------------------------------------|--------------------------|
| (i) प्राप्ति लेखापरीक्षा                           | <input type="checkbox"/> |
| (i) Receipt Audit                                  |                          |
| (ii) वाणिज्यिक लेखापरीक्षा                         | <input type="checkbox"/> |
| (ii) Commercial Audit                              |                          |
| (iii) स्वायत्त निकाय लेखापरीक्षा                   | <input type="checkbox"/> |
| (iii) Autonomous Bodies Audit                      |                          |
| (iv) कार्य लेखापरीक्षा                             | <input type="checkbox"/> |
| (iv) Works Audit                                   |                          |
| (v) अन्य लेखापरीक्षा                               | <input type="checkbox"/> |
| (v) Other Audit                                    |                          |
| (vi) निजी प्रशासन तथा कार्यालय प्रबंधन             | <input type="checkbox"/> |
| (vi) Personal Administration and Office Management |                          |
| (vii) लेखा क्रिया विधि                             | <input type="checkbox"/> |
| (vii) Account Function                             |                          |
| (viii) एंटाइटलमेंट क्रिया विधि                     | <input type="checkbox"/> |
| (viii) Entitlement Function                        |                          |
| (ix) प्रशिक्षण                                     | <input type="checkbox"/> |
| (ix) Training                                      |                          |
| (x) प्रणाली, ओ एण्ड एम. कंप्यूटरीकरण               | <input type="checkbox"/> |
| (x) System, OS M Computerisation                   |                          |
| (xi) कोई अन्य क्षेत्र (कृपया स्पष्ट करें)          | <input type="checkbox"/> |
| (xi) Any Other Fields (Please specify)             |                          |

(viii)

3. प्रशिक्षण  
Training  
(कृपया अधिकारी की प्रभावकारिता एवं कार्य क्षमताओं में और अधिक सुधार और वृद्धि करने की दृष्टि से उसके प्रशिक्षण के लिए सिफारिशें करें।)  
(Please give recommendations for training with a view to further improving the effectiveness and capabilities of the Officer).

4. लेखापरीक्षा / लेखा अधिकारियों, वरिष्ठ लेखापरीक्षा / लेखा अधिकारियों के लिए अतिरिक्त विशेषताएँ।  
Additional Attributes for Audit/Accounts Officers, Senior Audit/Accounts Officers.  
(अ) संगठन के साथ उनका संबंध तथा उसके सहयोग की क्षमता पर टिप्पणी दें।  
(a) Please comment on his/her relations with the organizations and ability to elicit co-operation from them.  
(ब) कृपया निजी दावों के संबंध में शिकायतों के निवारण के प्रति उनके व्यवहार पर टिप्पणी दें।  
(b) Please comment on his/her attitude towards redressal of grievances relating to personal claims.

5. स्वास्थ्य की स्थिति  
State of health

6. सत्यनिष्ठा  
Integrity  
(कृपया अधिकारी की सत्यनिष्ठा पर टिप्पणी दें)  
(Please comment on the integrity of the Officer)

(ix)

7. प्रतिवेदन अधिकारी द्वारा अधिकारी की समस्त विशेषताओं का लिखित विवरण (लगभग 100 शब्दों में), जिसमें सामर्थ्य क्षेत्र एवं कम सामर्थ्य क्षेत्र, असाधारण उपलब्धियां, महत्वपूर्ण विफलताओं (संदर्भ : भाग-2 का 3(अ) एवं 3(ब) एवं कमजोर वर्गों के प्रति अभिवृत्ति शामिल हो।

जहाँ लागू हो, रिपोर्ट के तहत अवधि के दौरान जैम पर खरीद, जैम पर खरीद की प्रतिशतता के संवर्धन हेतु, अधिकारी द्वारा उठाए गए कदमों पर टिप्पणी तथा कार्यालय में जैम के पूर्ण कार्यान्वयन की ओर उसका व्यवहार भी रिकार्ड किया जाए।

Pen Picture by Reporting Officer (in about 100 words) on the overall qualities of the officer including area of strengths and lesser strength, extraordinary achievements, significant failures (ref. 3(A) & 3(B) of Part-2) and attitude towards weaker sections.

"Wherever applicable, comments on steps taken by the officer for promotion of procurement on GeM during the period under report, percentage of procurement on GeM and his/her attitude towards full implementation of GeM in the office may also be recorded."

8. प्रतिवेदन के भाग-3 के खण्ड अ, ब तथा स में दिए गए भारांश के आधार पर कुल मिलाकर संख्यात्मक वर्गीकरण।  
Overall numerical grading on the basis of weightage given in Section A, B and C in Part-3 of the Report.

रिपोर्टिंग अधिकारी के हस्ताक्षर  
Signature of the Reporting Officer

|                       |                                                                                        |
|-----------------------|----------------------------------------------------------------------------------------|
| स्थान :<br>Place..... | नाम बड़े अक्षरों में<br>Name in Block Letters: .....<br>पदनाम :<br>Designation : ..... |
| दिनांक :<br>Date..... | रिपोर्ट की अवधि के दौरान<br>During the period of Report.....                           |

(x)

**भाग-IV समीक्षा अधिकारी की टिप्पणियाँ**  
**PART-IV REMARKS OF THE REVIEWING OFFICER**

- समीक्षा अधिकारी के अधीन सेवा की अवधि  
Length of service under the reviewing officer.
- क्या आप खण्ड-3 में निर्गत कार्य तथा विभिन्न गुणों के संबंध में प्रतिवेदन अधिकारी द्वारा दिए गए गुणों के किसी संख्यात्मक मूल्यांकन से सहमत नहीं हैं तो कृपया अपना मूल्यांकन भाग-III में उपलब्ध करवाए गए कॉलम में दें तथा प्रविष्टि पर आद्याक्षर करें।  
Do you agree with the assessment made by Reporting Officer with the respect to work output and the various attributes in Part-III ? In case you do not agree with any of the numerical assessments of attributes please record your assessment in the column provided for you in Part-III and initial your entries.

|                                   |                                                                                                                                          |
|-----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
| हाँ, मैं सहमत हूँ<br>Yes, I agree | नहीं, मैं सहमत नहीं हूँ, मैंने अपना मूल्यांकन भाग-III में दर्ज किया है।<br>No, I do not agree, I have recorded my assessment in Part III |
|-----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|

(कृपया जो लागू न हो, काट दें)  
(Please strike out whichever is not applicable)

- विचारों में मतभेद होने के मामले में, कृपया इसके लिए विवरण तथा कारण दें।  
In case of difference of opinion, please give details and reasons for the same.

|  |
|--|
|  |
|--|

- यदि उपर्युक्त प्रतिवेदन करने वाला अधिकारी अनुसूचित जाति/जनजाति का सदस्य है, कृपया विशेष रूप से इंगित करें कि क्या अनुसूचित जाति/जनजाति के अधिकारी के मूल्यांकन में रिपोर्टिंग अधिकारी का दृष्टिकोण स्पष्ट तथा यथोचित है।  
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.

- रिपोर्टिंग अधिकारी द्वारा लिखी गई पेन पिक्चर पर यदि कोई टिप्पणी हो तो।  
Comments, if any, on the Pen Picture written by the Reporting Officer

|  |
|--|
|  |
|--|

- रिपोर्ट के भाग-3 के पैरा 2, 3 तथा 4 में दिए गए भारांश के आधार पर समग्र संख्यात्मक ग्रेडिंग।  
Overall numerical grading on the basis of weightage given in Para, 2, 3 and 4 in Part-III of the Report.

|  |
|--|
|  |
|--|

|                     |                                                                    |
|---------------------|--------------------------------------------------------------------|
| स्थान<br>Place..... | समीक्षा अधिकारी के हस्ताक्षर<br>Signature of the Reviewing Officer |
| दिनांक<br>Date..... | नाम बड़े अक्षरों में.....<br>Name in Block Letters.....            |
|                     | रिपोर्ट की अवधि के दौरान.....<br>During the period of Report.....  |

(xi)

## INSTRUCTIONS

1. The Annual Performance Appraisal report (APAR) is an important document. It provides the basic vital inputs for assessing the performance of an official and for his/her further advancement in his/her career. The Official reported upon, the Reporting Authority, the Reviewing Authority and the Accepting Authority should, therefore, undertake the duty of filling out the form with a high sense of responsibility.
2. The Performance Appraisal should be used as a tool for human resources development. Reporting Officers should realize that the objectives is to develop an official so that he/she realize true potential. It is not meant to be a fault-finding process but a development one. The Reporting Officer and the Reviewing Officer should not shy away from reporting shortcomings in performance, attitudes or overall personality of the official reported upon.
3. The items should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a Casual or superficial manner will be easily discernible to higher authorities.
4. Answers shall be given in a narrative form. The space provided indicates the desired length of the answer. Words and phrases should be chosen care fully and should accurately reflect the intention of the authority recording the answer. Please use unambiguous and simple language. Please do not use omnibus expression like 'Outstanding', 'Very Good', 'Good', 'Average', Below Average', while giving your comments.
5. The Reporting Officer shall, in the beginning of the year set quantitative / physical targets in consultations with each of the Officials with respect to whom he is required to reported upon. Performance appraisal should be a joint exercise between the official reported upon and the reporting officer. The targets/goals shall be set at the commencement of the reporting year. In the case of an official taking up a new assignment in the course of the reporting year, such targets/goals shall be set at the time of assumption of the new assignment.
6. The target should be clearly known and understood by both the officers concerned. While fixing the targets, priority should be assigned item-wise, taking into consideration the nature and the area of the work and any special feature that may be specific to the manner or the area of the work of the official to be reported upon.
7. Although performance appraisal is a year-end exercise, in order that it may be a tool for human resource development, the Reporting Officer and the official reported upon should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.
8. It should be the endeavors of each appraiser to present the trust possible picture of the appraise in regard and his/her performance, conduct, behavior and potential.
9. Assessment should be confined to the appraise performance during the period of report only.
10. Some post of the same rank may be more exacting than others. The degree of stress and strain in any post may also vary from time to time. These facts should be borne in mind during appraisal and should be connected upon appropriately.
11. Aspects on which an appraise is to be evaluated on different attributes are delineated below each column. The appraiser should deal with these and other aspects relevant to the attributes.

12. The following procedure should be followed in filling up the column relating to integrity.
  - (i) If the Official's integrity is beyond doubt, it may be so stated.
  - (ii) If there is any doubt or suspicion, the column should be left blank and action taken as under.
    - (a) A separate secret note should be recorded and followed up. A copy of the note should also be sent together with the APAR to the next superior Officer who will ensure that the follow up action is taken expeditiously. Where it is not possible either to certify the integrity or to record the secret note, the Reporting Officer should state either that he had not watched the Official's work for sufficient time to form a definite judgement or that he has heard nothing against the official, as case may be.
    - (b) If, as a result of the follow up action, the doubts or suspicions are cleared, the official's integrity should be certified and an entry made accordingly in the APAR.
    - (c) If, the doubts or suspicions are confirmed, this fact should also be recorded and duly communicated to the official concerned.
    - (d) If, as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the official's conduct should be watched for a further period and thereafter action taken as indicated at (b) and (c) above.
13. Guidelines regarding filling up APAR with numerical grading:
  - (i) Numerical grading are to be awarded by Reporting and Reviewing Authorities for the quality of work output, personal attributes and functional competence of the official reported upon. These should be on the scale of 1-10, where 1 refers to the lowest grade and 10 to the highest grade.
  - (ii) It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 9 or 10 would be justified with respect to specific accomplishments. Grades of 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the Reporting and Reviewing Authorities should rate the official against a larger population of his/her peers that may be currently working under them.
  - (iii) APARs graded between 8 and 10 will be rated as 'Outstanding' and will be given a score of the 9 for the purpose of calculating average scores for impanelment/promotion.
  - (iv) APARs graded between 6 and short of 8 will be rated as 'Very Good' and will be given a score of 7.
  - (v) APARs graded between 4 and of 6 will be rated as 'Good' and will be given a score of 5.
  - (vi) APARs graded below 4 will be given a score of 'Zero'.

14. Weightage and Mean:

Weights have been assigned to work output, personal attributes and functional competency. The overall grade on a score of 1-10 will be based on 40% weight age on assessment of work output and 30% each for assessment of personal attributes and functional competency. The overall grading will be based on addition of the mean value of each group of indicators in proportion to weight age assigned.

(Ministry of Home Affairs OM No. 51/4/64 Estt (A) dated 23.07.2009 and Department of Personnel and Training OM No. 21011/1/2005-Estt (A) Pt. (II) dated 23.07.2009)

(xiii)

## अनुदेश

1. वार्षिक निष्पादन मूल्यांकन प्रतिवेदन (एपीएआर) एक महत्वपूर्ण दस्तावेज है। यह कार्मिक के निष्पादन के मूल्यांकन करने एवं उसका/उसकी जीविका में आगे उन्नति के लिए आधारभूत अनिवार्य निविष्टियां उपलब्ध कराता है। अतः रिपोर्ट करने वाले कार्मिक, रिपोर्ट प्राधिकारी, समीक्षा प्राधिकारी एवं रिपोर्टिंग प्राधिकारी को प्रपत्र भरने के कार्य को उच्च भावना के उत्तरदायित्व के साथ करना चाहिए।
  2. निष्पादन मूल्यांकन मानव संसाधन विकास के लिए साधन के रूप में प्रयुक्त होना चाहिए। रिपोर्टिंग प्राधिकारी को यह समझना चाहिए कि इसका उद्देश्य एक कार्मिक का विकास करना है, जिससे उसे वास्तविक कार्यक्षमता का एहसास हो। यह छिद्रान्वेषण प्रक्रिया न होकर विकास प्रक्रिया है। रिपोर्टिंग प्राधिकारी एवं समीक्षा प्राधिकारी को रिपोर्ट करने वाले कार्मिक की निष्पादन, दृष्टिकोण अथवा सम्पूर्ण व्यक्तित्व सम्बन्धी कमियों को बताने में संकोच नहीं करना चाहिए।
  3. मर्दाने सम्यक्, सतर्कता एवं सावधानी तथा पर्याप्त समय देने के बाद भरी जानी चाहिए। अनियत अथवा अगंभीर तरीके से रिपोर्ट को भरे जाने का कोई भी प्रयास उच्च अधिकारियों को सरलता से दृष्टिगोचर होगा।
  4. उत्तर विवरणात्मक रूप में देना होगा। लिखने के लिए उपलब्ध कराया गया स्थान, उत्तर के इच्छित विस्तार का संकेत करता है। शब्दों एवं वाक्यांशों का चयन सावधानीपूर्वक एवं उत्तर अभिलेखन प्राधिकारी के अभिप्राय को यथार्थरूप में प्रकट करने वाला होना चाहिए। कृपया असंदिग्ध एवं सरल भाषा का प्रयोग करें। टिप्पणी देते समय कृपया बहुभावी पद जैसे, 'असाधारण', 'अति-उत्तम', 'उत्तम', औसत से कम का प्रयोग न करें।
  5. रिपोर्टिंग प्राधिकारी द्वारा जिन कार्मिकों की रिपोर्ट लिखी जानी है, उन सभी के परामर्श से वर्ष के प्रारम्भ में परिमाणात्मक/भौतिक लक्ष्य व्यवस्थित कर लेना चाहिए। निष्पादन मूल्यांकन, रिपोर्टिंग प्राधिकारी एवं कार्मिक जिसकी रिपोर्ट लिखी जानी है, के मध्य संयुक्त रूप से होना चाहिए। उद्देश्यों/लक्ष्यों को रिपोर्ट वर्ष के प्रारम्भ में नियत करना होगा। रिपोर्ट वर्ष के क्रम में किसी कार्मिक को नए सुपुर्द कार्य को ग्रहण करने के समय नियत करना होगा।
  6. दोनों सम्बंधित अधिकारियों को लक्ष्य अच्छे से जानना एवं समझना चाहिए। लक्ष्यों को निर्धारित करते समय कार्य की प्रकृति एवं क्षेत्र तथा ऐसा कोई भी विशेष गुण जो रिपोर्ट होने वाले कार्मिक के कार्य के क्षेत्र या व्यवहार के लिए विशेष हो, को ध्यान में रखते हुए प्राथमिकता को मदवार नियत करना चाहिए।
  7. यद्यपि निष्पादन मूल्यांकन एक वर्षान्त अभ्यास है, इसके मानव संसाधन विकास के एक माध्यम होने की सम्भावना के क्रम में रिपोर्टिंग प्राधिकारी एवं रिपोर्ट करने वाले कार्मिक को आवश्यक सुधारात्मक कदम उठाने के लिए वर्ष के दौरान नियमित अंतराल पर मिलना चाहिए।
  8. यह प्रत्येक मूल्यांकनकर्ता का प्रयास होना चाहिए कि वह उसके कार्य निष्पादन, संचालन, व्यवहार एवं कार्यक्षमता तथा मूल्यांकन की यथासम्भव विश्वसनीय छवि प्रस्तुत करें।
  9. मूल्यांकन केवल रिपोर्ट की अवधि के दौरान मूल्यांकन तक सीमित होना चाहिए।
  10. समान श्रेणी के कुछ पद अन्य से अधिक महत्वपूर्ण हो सकते हैं। किसी भी पद में दबाव एवं तनाव की मात्रा समय-समय पर भिन्न हो सकती है। ये तथ्य मूल्यांकन के दौरान ध्यान में रखे जाने चाहिए एवं उचित रूप में जुड़े हुए होने चाहिए।
  11. पहलू, जिन पर किसी मूल्यांकन को विभिन्न गुणों के अनुसार मूल्यांकित किया जाना है, प्रत्येक स्तम्भ के नीचे निरूपित किया गया है। मूल्यांकनकर्ता को इनके अनुसार तथा विशेषताओं से सम्बन्धित अन्य तथ्यों के अनुसार चलना चाहिए।
  12. सत्य-निष्ठा से संबंधित कॉलम को भरने में निम्नलिखित प्रक्रिया का अनुपालन किया जाना चाहिए।
    1. यदि अधिकारी की ईमानदारी सन्देह से परे है, ऐसा कहा जाना चाहिए।
    2. यदि कोई भी सन्देह या शंका है, तो कॉलम को खाली छोड़ा जाए तथा निम्नानुसार कार्रवाई की जाए।
- (क) एक अलग गुप्त नोट दर्ज किया जाना चाहिए तथा आगे की कार्रवाई की जानी चाहिए, एपीएआर के साथ अगले वरिष्ठ अधिकारी को टिप्पणी की प्रतिलिपि भी भेजी जाये जो सुनिश्चित करेगा कि आगे की कार्रवाई त्वरित रूप से कर ली जाए। जहाँ सत्य-निष्ठा को प्रमाणित करना अथवा गुप्त नोट को रिकॉर्ड करना संभव नहीं है, रिपोर्टिंग प्राधिकारी को कहना चाहिए कि या तो अधिकारी के कार्यों पर पर्याप्त ध्यान नहीं दिया गया है, जिससे दृढ़ निर्णय बनाया जा सके अथवा उसके पास कर्मचारी के खिलाफ कुछ नहीं

है, जैसा भी मामला हो।

- (ख) यदि, अनुवर्ती कार्रवाई के परिणामस्वरूप, सन्देह या शंका दूर हो जाए तो कर्मचारी की सत्य-निष्ठा प्रमाणित की जाए तथा तदनुसार एपीएआर में प्रविष्टि की जाए।
- (ग) यदि, सन्देह या शंका की पुष्टि की गई है तो इस तथ्य को भी दर्ज किया जाए तथा सम्बंधित अधिकारी को विधिवत् सूचित किया जाए।
- (घ) यदि, अनुवर्ती कार्रवाई के परिणामस्वरूप, सन्देह व शंका को न तो प्रमाणित किया गया हो और न ही पुष्टि की गई हो तो कर्मचारी के आचरण पर उपर्युक्त (ब) और (स) में बताए अनुसार कार्रवाई की जाए।
13. संख्यात्मक ग्रेडिंग के साथ एपीएआर भरने के संबंध में दिशानिर्देश :
- (i) रिपोर्टिंग तथा समीक्षा प्राधिकारी को कार्य आउटपुट की गुणवत्ता के अनुसार संख्यात्मक ग्रेडिंग प्रदान करे, जो कि व्यक्तिगत गुण तथा कार्यात्मक योग्यता के अनुसार बताई जाएं और यह 1 से 10 तक के मापन पर होनी चाहिए। जहाँ 1 निम्नतम ग्रेड को व 10 उच्चतम ग्रेड को संदर्भित करता है।
- (ii) यह अपेक्षा की जाती है कि 1 या 2 की कोई ग्रेडिंग (कार्य आउटपुट या विशेषताओं या समग्र ग्रेड के सापेक्ष) विशिष्ट विफलताओं के संबंध में उचित होगी और इसी तरह, 9 या 10 का कोई भी ग्रेड विशिष्ट उपलब्धियों के संबंध में उचित होगी। ग्रेड 1-2 या 9-10 के मुश्किल से होने की उम्मीद है और इसलिए उन्हें उचित ठहराने की आवश्यकता है। संख्यात्मक ग्रेड निर्धारित करने में रिपोर्टिंग और समीक्षा करने वाले प्राधिकारियों को वर्तमान में उनके अधीन कार्य कर रहे सहकर्मियों की एक बड़ी संख्या के प्रति अधिकारी/कर्मचारी का मूल्यांकन करना चाहिए।
- (iii) एपीएआर में 8 से 10 के बीच के ग्रेड को 'उत्कृष्ट' मूल्यांकन माना जाएगा तथा मनोनयन/पदोन्नति के लिए औसत अंको की गणना के उद्देश्य से 9 अंक दिए जायेंगे।
- (iv) एपीएआर में 6 से 8 के बीच के ग्रेड का मूल्यांकन "बहुत अच्छा" माना जाएगा तथा 7 अंक दिए जायेंगे।
- (v) एपीएआर में 4 से 6 के बीच के ग्रेड का मूल्यांकन 'अच्छा' माना जाएगा तथा 5 अंक दिए जायेंगे।
- (vi) एपीएआर में 4 से कम के ग्रेड को 'शून्य' अंक किया जाएगा।

14. महत्व तथा अंक :

कार्य आउटपुट, व्यक्तिगत विशेषताओं और कार्यात्मक योग्यताओं को महत्व दिया गया है। 1-10 के स्कोर पर समग्र ग्रेड, कार्य आउटपुट के मूल्यांकन पर 40% भारांश तथा व्यक्तिगत विशेषताओं और कार्यात्मक योग्यता के मूल्यांकन के लिए 30% भारांश पर आधारित होगा। समग्र ग्रेडिंग निर्दिष्ट महत्व के अनुपात में संकेतकों के प्रत्येक समूह के औसत मान को जोड़ने पर आधारित होगी।

(गृह मंत्रालय के कार्यालय ज्ञापन संख्या 51/4/64-स्थापना (क) दिनांक 23.7.2009 और कार्मिक एवं प्रशिक्षण विभाग के क्र.स. 21011/1/2005-स्थापना (क) पीटी. (II) दिनांक 23.07.2009

