



CONFIDENTIAL

**HEADQUARTERS OFFICE
EMPLOYEES' STATE INSURANCE CORPORATION
PANCHDEEP BHAVAN: C.I.G. ROAD:NEW DELHI-110002
<http://esic.nic.in>**

No.A-33/11/1/2009

Dated:26.3.2009

To

- 1) All the Regional Directors
- 2) All the Directors /JT. Directors I/c of the SROs/JD-V Hqrs. Office
- 3) D(M)Delhi/ D(M) Noida
- 4) All the Medical Superintendents of the ESIC Hospitals & ESIC Model Hospitals

Subject: Timely submission of Annual Confidential Reports.

Sir/ Madam,

The Department of Personnel & Training, Govt. of India has time and again issued the instructions emphasizing the timely completion of the process of the writing of Annual Confidential Reports of officers/employees for smooth cadre management and processing of cases pertaining to confirmation, promotion etc. A time schedule has been prescribed for different stages vide DOPT OM No.35014/4/83-Estt.(A) dated 23.9.85. The matter has been further reviewed by DOPT and the time limit after which the Reporting/Reviewing Officer shall forfeit his right to record the ACR has been prescribed vide OM No.21011/02/2009-Estt.(A) dated 16.2.2009. **The OM dated 16.2.2009 received through MOL&E letter No.Z.11016/1/2008-Adm.III dated 2.3.2009 is forwarded herewith for information and strict compliance.**

Further to ensure the timely completion of the work regarding writing of ACRs and to smoothen the process the following action may be ensured:-

- (1) Time limits prescribed in the OM No.35014/4/83-Estt.(A) dated 23.9.1985 may be strictly adhered to as far as possible. The time scheduled is appended as Annexure.
- (2) Henceforth, it will be the responsibility of the controlling officer i.e. Regional Director/Joint Director I/c/D(M)D/D(M)Noida/Medical Superintendent ESICH/ESIMH to furnish a statement of all Group A & B Non-medical/Medical Officers including the

officials in respect of whom CRs are being maintained by Hqrs. to JD E.I., JD E.II or JD (Medical) as the case may be by 10th March of every year. Similar list may also be prepared for other Group C & D Officials which would enable the field offices to complete the work of ACRs and also to monitor the same.

- (3) All controlling officers i.e. Regional Director/Joint Director I/c/D(M)D/D(M)Noida/Medical Superintendent ESIMH/ESICH, must ensure that the ACRs in respect of all the officers/officials working in the region/hospital/office during the preceding year has been filled up, reported & reviewed within the scheduled time frame. If the Reporting Officer/Reviewing Officer is posted in another region, the ACR shall be forwarded through the Admn. Branch of the Region/SRO/Hospital concerned. A copy of the forwarding letter may be endorsed to the custodian of the Confidential Reports {JD E.I, JD E.II & JD (Medical) as the case may be}. This intimation will help the custodian to monitor the progress in writing of the ACRs and also to locate, at any time, the stage at which the ACRs are pending.
- (4) In regard to the Officers who have been transferred from one office to another during the course of the year, the Administration Division of the office where the officer worked during the relevant period, shall arrange for sending the blank ACR Forms for writing the self appraisal. The officer may be advised to submit the CR to reporting officer within the stipulated period. A copy of the letter may be endorsed to reporting and reviewing officers and also to the present controlling officer for taking the onward action at their end.
- (5) **If the ACR with self-appraisal is not received within the stipulated time from the Officer concerned, the Reporting Officer must go ahead with the writing of the ACR in a fresh ACR form without waiting, any further, for the self-appraisal by the Officer reported upon.** It will be the responsibility of the Head of the Office to ensure that all the reports including part reports of all the Officers who have been working in the particular region/office/hospital are written by the Officers within stipulated time and transmitted to the Reporting/Reviewing Officers. If despite of all efforts of the Head of Office, the officer reported upon fails to submit the ACR with self appraisal within the given time frame, the reporting officer may take action

as per the guidelines given above. A remark to this effect may invariably be recorded in the ACRs of the officer reported upon.

- (6) In case, the ACR is not initiated by the Reporting Officer for any reason beyond 30th June of the year in which the financial year ended, he shall forfeit his right to enter any remarks in the ACR of the officer to be reported upon and he shall submit all ACRs held by him for reporting to the Reviewing Officer on the next working day. Similarly, the Reviewing Officer shall also forfeit his right to enter any remarks in the ACR beyond 31st August of the year in which the financial year ended.
- (7) The explanation of the concerned officer concerned may be called for not having performed the public duty of writing the ACRs within the due date and in the absence of proper justification, a written warning for delay in completing the ACR be placed in the ACR folder of the defaulting officer concerned.
- (8) Hqrs. office has come across cases where two or even three reviewing officers have written report in respect of a single Officer for a single reporting year. While there can be two or three Reporting Officers for an officer, the Reviewing Officer can only be one. Whenever more than one Reporting Officer is involved in the process of writing of the ACRs, the Officer who supervises the work of the Reporting Officer for the last part of the year should review the CR provided such Reviewing Officer was in such supervisory capacity for not less than 3 months. Otherwise, the previous reviewing authority will review the reports at the end of the year. If, however, a reviewing authority retires while there is no change in the Reporting officer and the subsequent reviewing authority does not have three months' experience of work and conduct of the reportee, the reviewing portion will be left blank with the suitable note, recorded therein. This note can be recorded by the new reviewing authority who could not review the report because he did not have even three months experience, or by the Reporting officer himself.
- (9) Wherever the Reporting Officer finds the integrity of the officer reported upon to be doubtful, he must meticulously follow the procedure of enclosing secret notes and sending separate report to the next superior officer as per the Govt. of India C.S.O.M, No.51/5/72.Estt (A) dated 20th May, 1972. (copy enclosed)
- (10) Wherever the Reporting officer retires during the course of the year, all the ACRs in respect of the Officers in respect of whom he is the Reporting Officer, should be got

written by him before he demits office or within a month of his retirement or demission of office as the case may be.

- (11) The adverse remarks recorded in the ACRs of the officers upto the cadre of Insurance Inspectors may be communicated at the level of RO/SRO/Hospital/D(M)D itself and the factum of such communication intimated to Headquarter office in forwarding letter of the concerned ACRs.
- (12) To curb any delay it has also been decided that from the year 2009-10 onwards, the blank forms of ACRs for different grade of officers/staff will be printed by the concerned Regional Director/D(M)D and not by the Hqrs. office. A sample copy of the ACRs of different categories is enclosed herewith. The same may also be downloaded from the Hqrs. web site. The blank ACR forms shall be printed accordingly. In case of any change in the ACR form the same will be informed by the Hqrs. office. JD I/c /MS, ESI Hospitals and ESIM Hospital of a particular region will procure the blank forms as per their requirement from the concerned Regional Director/D(M)D.
- (13) All Head of Offices are also required to furnish a certificate to Hqrs office by Ist week of July every year that the work pertaining to CR in respect of all staff/officers under their control has been completed and the CRs have been submitted to Reporting/Reviewing Officers as per schedule.
- (14) Further, in order to ensure proper recording in ACRs with regard to General Assessment and specially for 'grading' the instructions issued by DOPT are reiterated for information and guidance of Reporting & Reviewing Authorities as under:-

(i) **Promotion to the pay scale (Grade) of Rs.12000-16500 & above :**

The mode of promotion is 'selection' and the bench mark for promotion to the above category is 'Very Good', to ensure element of higher selectivity in comparison to selection promotions to the grades lower than the aforesaid level where the bench mark is only 'Good'. Further, the DOPT vide OM No.22011/3/2007-Estt(D) dated 18.2.2008 has stipulated that promotion to the scale of Rs.18400-22400 (pre-revised) and above, the prescribed benchmark of 'very good' is invariably met in all ACRs of five years under consideration. **The DPC, in terms of guidelines of the DOPT is required to make**

its own assessment on the basis of entries in the CRs and not be guided merely by the overall grading.

- (ii) **Promotion to grade below the pay scale (Grade) of Rs.12000-16500 (pre-revised)(including promotions from lower Groups to Group 'A' posts/grades/services):**

The mode of promotion is selection and the bench mark continues to be 'Good'.

The DPC shall for promotion to posts/grades/services in the aforesaid categories, grade officers as 'fit' or 'unfit' only with reference to above mentioned bench marks. Only those who are graded as 'fit' shall be included in the select panel prepared by the DPC in order of their inter se seniority in the feeder grade. There shall be no supersession in promotion among those who are found 'fit' by the DPC in terms of the aforesaid prescribed benchmarks.

While recording the relevant entries in CRs and recommending the grading, the above position may kindly be kept in view.

The instructions stipulating the time limit after which the reporting/reviewing officer shall forfeit their right to write the ACR should be applicable for the ACRs for the year 2008-09 onwards.

Receipt of the instruction may kindly be acknowledged.

Encls. As above.

Yours faithfully,



(DEEPAK JOSHI)
JOINT DIRECTOR-E.I
for Director General

Copy to:-

1. PPS/PS to DG/FC/IC/MC/CE/AC(P&A)/AC(R)/AC (NTA).
2. All Officers, ESIC Hqrs.

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No. 21011/02/2009-Estt.(A)
Government of India
Ministry of Personnel, Public Grievances and Pensions
Department of Personnel and Training

New Delhi, dated the 16th February, 2009

OFFICE MEMORANDUM

Subject:- Timely preparation and proper maintenance of ACRs.

The undersigned is directed to say that this Department has been emphasizing from time to time the need to complete the Annual Confidential Reports of all classes of employees in time for smooth consideration of cases pertaining to confirmation, promotion, deputation to ex-cadre posts, etc. A time schedule was prescribed for various stages in the matter of writing of Confidential Reports in this Department's O.M. No. 35014/4/83-Estt.(A) dated 23.9.1985. The writing of ACR is a public trust and responsibility. All Ministries/Departments are again requested to ensure that the time schedule for preparation of Confidential Reports and other instructions as laid down in this Department's O.M. dated 23.9.1985 are followed to ensure that ACRs are completed in time.

2. As cases continue to occur where confirmation, regular promotion, appointment to sensitive posts, etc., could not be considered in time because of non-availability of ACRs for the relevant period, the matter of timely completion of ACRs was further reviewed in this Department and it has been found necessary to prescribe a time limit after which the Reporting/Reviewing Officer shall forfeit his right to record the ACR. It has been decided that while the time-limits prescribed in the aforesaid O.M. dated 23.9.1985 should be adhered to as far as possible, in case the ACR is not initiated by the Reporting Officer for any reason beyond 30th June of the year in which the financial year ended, he shall forfeit his right to enter any remarks in the ACR of the officer to be reported upon and he shall submit all ACRs held by him for reporting to the Reviewing Officer on the next working day. Similarly, the Reviewing Officer shall also forfeit his right to enter any remarks in the ACR beyond 31st August of the year in which the financial year ended. The Section entrusted with maintaining the ACRs shall, while forwarding the ACRs for self-appraisal with copy to the Reporting/Reviewing Officers, also annex the schedule of dates as enclosed herewith. It shall also bring to the notice of the Secretary concerned in the case of Ministry/Department and the Head of the organization in the case of attached and subordinate offices, the names of those Group A and B Reporting Officers and Group A Reviewing Officers in the month of October after receiving the completed CRs who have failed to initiate/review the ACRs even by 30th June or 31st August as the case may be. The Secretary in the Department/Head of the organization in the case of attached/subordinate offices may direct to call for the explanation of the concerned officers for not having performed the public duty of writing the ACRs within the due date and in the absence of proper justification direct that a written warning for delay in completing the ACR be placed in the ACR folder of the defaulting officer concerned.

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3. In case the remarks of the Reporting officer or Reviewing Officer as the case may be have not been entered in the ACR due to the concerned officer forfeiting his right to make any entry as per the provision in para 2 above, a certificate to this effect shall be added in his ACR for the relevant period. In case both the Reporting officer and Reviewing officer had forfeited their rights to enter any remarks, the CR format with the self appraisal given by the officer to be reported upon will be placed in his ACR dossier.
4. All the Ministries/Departments are requested to kindly bring to the notice of all concerned the above instructions for future preparation and maintenance of ACRs. These instructions shall be applicable for the ACRs for the period 2008-09 onwards. In case any CR for the past period is pending completion, the concerned Head of the Organisation in the case of attached/subordinate offices and the Joint Secretary concerned in the Ministries/Departments may take appropriate measures to ensure that the CR dossier is complete within the next 6 months either with the relevant CR or the required 'No Report Certificate' for valid reasons.
5. Hindi version will follow.


(C.A. Subramanian)
Director

To
All Ministries/Departments of Govt. of India

Copy to:

- 1) Comptroller & Auditor General of India, New Delhi
- 2) Union Public Service Commission
- 3) Central Vigilance Commission, New Delhi
- 4) Central Bureau of Investigation, New Delhi
- 5) Lok Sabha/Rajya Sabha Secretariat
- 6) All attached and subordinate offices of the Ministry of Personnel, PG and Pensions
- 7) All officers and sections in the Ministry of Personnel, PG and Pension
- 8) NIC (DoP&T) for placing this Office Memorandum on the web-site of DoP&T
- 9) Hindi Section for Hindi version of the O.M.

Annexure

TIME SCHEDULE FOR PREPARATION OF CONFIDENTIAL REPORTS

S.No.	Nature of Action	Date by which to be completed
1.	Distribution of blank CR forms to all concerned (i.e., to officer to be reported upon where self-appraisal has to be given and to reporting officers where self-appraisal is not to be given)	31 st March. (This may be completed even a week earlier).
2.	Submission of self-appraisal to reporting officer by officer to be reported upon (where applicable).	15 th April.
3.	Submission of report by reporting officer to reviewing officer <ul style="list-style-type: none">- Where self-appraisal by officer reported upon is prescribed.- Where self-appraisal by officer reported upon is not prescribed.- Where officer reported upon is himself a reporting officer for subordinates under him.	7 th May. 21 st April. 22 nd May.
4.	Report to be completed by Reviewing Officer and sent to Administration or CR Section/Cell.	<ul style="list-style-type: none">• 23rd May where the due date for the reporting officer is 7th May.• 7th May where the due date for the reporting officer is 21st April.• 5th June where the due date for the reporting officer is 22nd May

- (i) The Reporting Officer is requested to complete the ACRs as per the schedule above. The Reporting Officer shall have no right to enter any remarks in the CRs after 30th June following the annual reporting period.
- (ii) Reviewing Officer is also requested to complete the review of the ACRs as per the schedule above. The Reviewing Officer shall have no right to enter any remarks in the CRs after 31st August following the annual reporting period.

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

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

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

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

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

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

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

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

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

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