A Manual on CONFIDENTIAL REPORTS

Writing, Maintenance and Custody of CRs

HUMAN RESOURCE SECTION
MADHYA PRADESH MADHYA KSHETRA
VIDYUT VITARAN COMPANY LIMITED
(GOVERNMENT OF M.P. UNDERTAKING)
FOREWORD

After winding up the erstwhile Madhya Pradesh State Electricity Board and formation of successor companies the Government of Madhya Pradesh vide its order No. 2998- F.R.S – 17 – XII/2002 dated 10.04.12 has made the final transfer and absorption of personnel from MPSEB to successor companies.

After final allocation of employees, Human Recourses activities which were being undertaken by the erstwhile MPSEB before the final allocation/transfer/absorption, are to be dealt at Company level. Madhya Pradesh Madhya Pradesh Madhya Kshetra Vidyut Vitaran Company Limited Bhopal have adopted the procedure and guidelines regarding writing, maintenance and custody of Annual Confidential Reports, communication of advisory/adverse remarks, disposal of representations etc of erstwhile MPSEB vide Circular No. MD/MK/01/CO/349-50 dated 19.05.12. Afterwards certain amendments/modifications have been made by the Company from time to time.

In order to have smooth functioning of day to day work related to ACRs it has been decided to publish the “Manual on Confidential Reports” afresh incorporating the amendments/modifications. It will be useful to all Officers/Officials as a reference manual.

Nitesh Vyas, IAS
Managing Director
MPMKVVCL, Bhopal

Place: Bhopal
Date: 30.05.2014
No. MD/MK/01/CO/390                                              Bhopal, Dated: 30.05.2014

-: Notification :-

Sub: Manual on Confidential Reports regarding Writing, Maintenance and Custody of Annual Confidential Reports.

In order to have smooth functioning of day to day work related to ACRs it has been decided to publish the “Manual on Confidential Reports” afresh incorporating the amendments/modifications/additions made by the Company from time to time. This Manual will supersede the Manual published by MPEB vide notification No. 01-13/971 dated 07.08.1992 & all the earlier Circulars issued by MPEB/MPSEB/MP MKVVCL and hereby direct that this Manual shall hereafter apply to the Officers/Officials of the Company.

By Order

(Dr. Kedar Singh)
Chief General Manager (HR&A)
MPMKVVCL, Bhopal

No.MD/MK/01/CO/391                                              Bhopal, Dated: 30.05.2014

Copy to:-
To all concerned.
1. IMPORTANCE OF ANNUAL CONFIDENTIAL REPORTS.

Merit as reflected in the confidential reports is generally recognized as the main criterion for deciding the cases of promotion to higher grades, grant of pay scale of higher grades, confirmation etc. Great care should, therefore, be taken in writing confidential reports. It is very important both in the interest of efficiency of service and also of staff that the reports are written with greatest possible care so that the work, conduct, character and capabilities of the Officers/Officials reported upon can be accurately judged from the recorded opinion. The competency of the Officers recording the remarks will be judged partly from the confidential remarks they record about Officers/Officials working under them.

2. PERIODICITY OF WRITING AND BY WHOM TO BE WRITTEN.

The annual confidential reports in respect of all officers/officials of the Company shall be written for the financial year, i.e. 1st April to 31st March.

(i) The report should be written in the appropriate form as detailed here under:-

- Format No.D-1 for Gazetted Officers (Class-I & II)

    The format essentially consists of 6 parts:-

    a) Part I deals with personal data.
    b) Part II duties/job assignment- brief description of duties, targets set, achievement of the Appraisee Officer which are relevant to the Organization and details of targets set and self appraisal in the Appraisee Officer’s own words and handwriting.
    c) Part III is for Reporting Officer and is sub divided into (A), (B) & (C).
    d) Part IV is also for Reporting Officer – general assessment of the appraisee officer.
    e) Part V is for Reviewing Officer where he has to indicate his agreement or otherwise with the assessment made by the Reporting Officer.
    f) Part VI is for Accepting Authority.

- Format No.D-2(i) for Class-III employees
- Format No.D-2(ii) for Class-IV employees

(ii) The Reporting officer should have at least four months observation of the work and conduct of the Officer/Employee reported upon before giving an assessment of his work and conduct.
(iii) However in cases, where an Officer/employee to be reported upon, has done some outstanding good work which has benefitted the Company or has done some very bad work which has harmed the interests of the Company, then in such cases, the Reporting officer can record such fact in his confidential report, even if he happens to have less than three months observation of the work and conduct of the reportee.

(iv) When the Reporting Officer or the official to be reported upon, is transferred or deputed elsewhere, for a period of more than three months, the Reporting Officer should write a report indicating the period covered by him.

3. ON TRANSFER OF REPORTING/REPORTED OFFICER.

On transfer of Reporting Officer or the Officer to be reported upon, the Reporting Officer should write a report provided he had an opportunity to watch the work and conduct of the reportee for a period of more than three months. If not, he should make an entry in the confidential report indicating the reasons for which report has not been written up.

4. TRANSFER OF REPORTING AND/OR REVIEWING OFFICER IN MIDDLE OF THE REPORTING YEAR.

If an Officer is transferred during middle of the year, he should immediately write confidential report of his subordinates in respect of the year for the period upto the date of his relief. The reports should then be submitted to the relieving authority, who will retain them in his custody and record his remarks in the reviewing portions in the last of the report for the year, taking into account the reports of previous portions of the year also, submitted to him by the transferred Officer at the time of his transfer.

(i) If the Reviewing Authority is transferred not simultaneously with the Reporting officer, but after sometime, he will hand-over such reports to his Successor and the Successor will review the report, if he happens to have three months observation otherwise the previous Reviewing Authority will review the report at the end of the year.

(ii) If a Reviewing Authority retires, while there is no change in the Reporting officer and the subsequent Reviewing Authority, does not have three months observation of the work and conduct of the reportee, the reviewing portion will be left blank with a 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 observation or by the Reporting Officer himself.

5. **REASONS FOR GAP IN THE REPORT TO BE INDICATED.**

When a confidential report does not cover an earlier period during the year, the Reporting officer should at the top of the report, mention the period of the gap, indicating the reasons for which a report has been written.

6. **WHEN THERE IS NO REPORTING OFFICER, HAVING REQUISITE EXPERIENCE.**

In case there is no Reporting Officer with requisite experience of four months or more during the period of report, the Reviewing Officer himself may initiate the report as a Reporting Officer provided the Reviewing Officer has been the same for the entire period of report, and he is in a position to fill in the columns to be filled in by the Reporting Officer. Where a report is thus initiated by the Reviewing Officer, it will have to be reviewed by an officer above the Reviewing Officer.

7. **AUTHORITY TO BE PRECLUDED FROM MAKING ENTRIES IN CONFIDENTIAL REPORT.**

There are three levels for writing reports, i.e. the Reporting Officer/Reviewing Officer/Accepting Authority. No other Authority can write his remarks/comments about the work and conduct of an Officer/Employee in his confidential report.

8. **WRITING OF CONFIDENTIAL REPORTS BY OFFICERS UNDER SUSPENSION.**

If the Reporting/Reviewing Officer is under suspension, when confidential reports have become due to be written/reviewed, it may be got written/reviewed by the officer concerned within two months from the date of his having been placed under suspension or within one month from the date on which the report is due, whichever is later.
9. WHETHER A RELATIVE OF AN EMPLOYEE CAN WRITE OF THE LATTER.

No Reporting Officer should record his opinion on the work and conduct of his close relative. In no case, should the confidential report be routed through the Officer(s) who is/are related to the official reported upon. In case of Official, who is related to the Reporting Officer, the report will be written by an Authority superior to the Reporting Authority. Where a report on such Official is to be routed through a Subordinate Authority, such report will be sent directly to the next Superior Reporting Authority or the Company, as the case may be and not through the Authority who is related to the official reported upon.

(i) The Administrative Authority may take care that, to the extent possible, a close relative of an Official is not placed under direct charge of that Officer where the latter has to write confidential report of the former. Should such a situation become in-escapable, it should not be allowed to continue beyond the barest minimum time possible. In such a situation, the Officer should abstain from writing the annual confidential report of the employee who is his close relative and instead the Reviewing Officer should take on the role of the Reporting Officer.

(ii) If a similar relationship exist between the Reviewing Officer on one hand, and the officer/ Official reported upon, on the other, the role of Reviewing Officer would be transferred to the Authority next higher up.

(iii) In case of these nature, where there is any doubt, it would be incumbent on the part of Reporting Officer to consult the next higher authority before he writes the confidential report.

(iv) For the purpose of this clause, the term close relation will mean – Husband or wife as the case may be, his/her children, real brothers and sisters.

10. WRITING OF CONFIDENTIAL REPORT AT THE TIME OF RETIREMENT.

➢ If a Reporting Officer retires or otherwise demits office, he may write confidential reports of his subordinates within one month of his retirement or demitting the office.
However a Reviewing Authority cannot review the confidential report after his retirement.

If a reviewing authority retires while there is no change in the Reporting Officer and the subsequent Reviewing Authority does not have three months observation of the work and conduct of the reportee, the reviewing portion will be left blank with a suitable note recorded therein.

11. WHAT CONFIDENTIAL REPORTS SHOULD CONTAIN.

A confidential report should give full particulars of the Officials reported upon, such as Full name, designation and the office in which he worked during the period under report. Name of officials reported upon, must be written in full (not only initials) together with father’s name to ensure correct linking of confidential reports. It is further suggested that the Reporting Officer must write on confidential report format, the General Provident Fund/ Contributory providential Fund account number, etc. as the case may be, of the Officer/Official of whom the confidential report is being written. The Reporting and Reviewing Officers should also write their full name and designation below their signature in capital letters or affix their rubber stamp. The date on which the remarks are recorded, should also be appended to the Officers signature.

(i) Confidential report files should be maintained in a book form, the reports being placed one after another in chronological order and pages serially numbered.

(ii) The report should comment generally on the way in which an Officer or a subordinate has carried out his various duties during the year and should give an estimate of his personality, character and ability, making particular mention of his relations with his fellow Officers or co-workers, as the case may be, and the General public. It should also contain an opinion on any point, requiring special mention at any particular time, i.e. fitness for promotion to higher post or grant of pay scale of higher post.

(iii) It is the duty of a Reporting officer not only to make an objective assessment of the work and qualities of his subordinate, but also to give necessary guidance and assistance to correct his fault and deficiencies. The annual report should be based on watchfulness and periodical inspections. The reports should also contain a summing up in general terms of the good and bad qualities of the reportee.
(iv) Specific incidents on the basis of which penalties have been awarded in the course of departmental enquiry, must be indicated in the report. An entry relating to the penalty should be recorded in the report for the year in which the punishment order is issued. An indication may, however, be given about the period in which the incidents has occurred, leading to the disciplinary case.

(v) Apart from the remarks in regard to work and conduct, suitable entries should also be made in the report, when an Officer/Official has attended an approved course of study or training and benefits derived there-from by the Officer/Official. In case the concerned official does not submit a report with regard to the Course of study/ training, a mention about the same should also be made in the confidential report. Suitable entries may also be made for outstanding performances in the field of sports, athletics and art.

(vi) Suitable entry regarding physical infirmity if any, should also be recorded in the confidential report.

(vii) A confidential report file should not contain any extraneous papers other than punishment and appellate orders thereon, letters communicating adverse remarks and orders on its representations, if any.

12. PRINCIPLES TO BE OBSERVED BY THE REPORTING OFFICER IN WRITING CONFIDENTIAL REPORTS.

If the Officer writing confidential reports merely fills up the various columns in routine manner and if the senior officers at second or third stage do not record their impressions, the Company would get an impression that the Officers concerned have not kept themselves posted well about the Officer/Official reported in the confidential report. It is, therefore, necessary that while writing confidential reports, it should be specifically mentioned as to how an Officer/Official has actually carried out his duties during the period under report, so that a true picture of the assessment of the Officer's/Official's work is available. It is certainly not sufficient for an Executive Engineer to merely endorse the remarks of an Assistant Engineer on a Junior Engineer or for the Superintending Engineer to merely endorse the remarks of Executive Engineer on any Assistant Engineer and so on. The Officer writing confidential report, should record how the Officer/Official has functioned during the year, his aptitude, his good and bad points, any special work done, etc. The Senior reporting Officer at the second or third stage, should write a couple of lines about the Officer/Official reported upon.
i. The following defects which have commonly been noticed, should not occur:

a. The particular period for which the report relates, is not stated in the column provided for, in the confidential report.

b. The Reporting Officer signing the confidential report, often forgets to put date, full name and designation below his signature.

ii. Against the column "Professional Ability" what is usually mentioned is "Good", "Fair" Average", this is inadequate. The first and second Reporting Officer should atleast write a couple of lines to say "Why" and "How" the professional ability is adjudged to be "Good "Fair", "Average" or "Poor" or what has actually been done or not done.

iii. Against the column "General Remarks", a few sentences should be written to give a brief but clear picture of the whole year's performance with particular reference among other points, to the following aspects:

a. Performance about the various important functions under his charge.

b. Whether anything has been done for the good name or benefit of the Company or something has been done which has caused loss to the Company or earned a bad name.

c. As the Company’s Officer/Official is meant for service to the consumers, has he done anything special in this direction and how his relations have been with the people (if he comes in contact); mention should be made about complaints, if any, of course genuine.

d. What has he done to improve upon an adverse remark, if any, communicated earlier or what has been done to improve upon any particular short-coming or bad habit recorded or noticed earlier.

iv. In the present set up of working, Engineers have to attend to stores, office work, and the field work, and do a lot of men and material management, exercise supervision over staff, besides successfully implementing the construction programmes. For all these functions, a certain amount of professional and administrative skill is necessary. The Senior Officers, therefore, while recording their remarks at second or third stage, should comment upon this aspect of professional ability in particular and administrative ability in general in so far as these qualities relate to the functions and duties of the officer concerned. The Company would appreciate the Senior Reporting Officer to say in the last para that they have inspected or have closely watched the work and the remarks are based thereon.
v. The remarks recorded are at times too general or vague. The Reporting Officers are not able to substantiate the remarks recorded by them, when called upon to do so. The Reporting Officers are expected to maintain personally, during the course of the year, a record of instances which come to their notice, to assess the work of their junior officers, so that in the event of representation, it may help them to substantiate the remarks.

vi. Remarks like "Doubtful character", "complaints received about taking illegal gratification" are not permissible. Entries should be based on established facts and not on mere suspicion. No employee should be adversely affected by prejudicial report recorded without fullest consideration. At the same time, none should be rewarded by excessively flattering reports, which are not based on facts. Where adverse remark is recorded in respect of an Official, having consistently good record, some details regarding the same should invariably be given.

vii. All remarks in the confidential report should be written by the Officers in their own handwriting. It is not a healthy convention to type the remarks in the report.

viii. Some Officers record remarks in the confidential report which, although, adverse, are of general and advisory nature, i.e. "Efforts being put in by Shri/Ms .................. are not adequate," "Capable of improvement with a little change in outlook and broader perspective", Remarks of such nature should normally be not recorded. If what is needed is application of instructions, change in outlook, etc. then the Reporting Officer should verbally advise the Officer/Official concerned to overcome such defects, and even then, if the Officer/Official fails to improve, then alone, such adverse remarks should be recorded in the confidential report.

ix. A comprehensive guide-line in this matter cannot possibly be given. The above are some of the points, which should be borne in mind by all concerned Officers while writing confidential reports.

13. **DUTIES OF REVIEWING / ENDORSING OFFICERS.**

Reporting, Reviewing and Endorsing Officers should have been acquainted with the work of Official reported upon for at least three months during the period covered by the confidential report.
(i) Where the Reviewing Authority is not sufficiently familiar with the work of Official reported upon, to be able to arrive at a proper and independent judgement of his own, it is his responsibility to verify the correctness of the remarks of the Reporting Officer after making such enquiries as he may consider necessary. He may also give a hearing to the person reported upon, before recording his remarks.

(ii) It is the responsibility of Reviewing officer, to make a general assessment of each employee under his administrative control and to specify his/her grading in annual CRs at the end under 'General Remarks' on the basis of his/her performance during the year, in one of the following categories: —

<table>
<thead>
<tr>
<th>Grade</th>
<th>Description</th>
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<tbody>
<tr>
<td>A+</td>
<td>Outstanding</td>
</tr>
<tr>
<td>A</td>
<td>Very Good</td>
</tr>
<tr>
<td>B</td>
<td>Good / above average</td>
</tr>
<tr>
<td>C</td>
<td>Fair / Average</td>
</tr>
<tr>
<td>D</td>
<td>Adverse</td>
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14. MENTION OF WARNINGS/REPRIMANDS IN CONFIDENTIAL REPORT.

Sometimes a Superior Officer may find that while the lapse on the part of the official is not serious enough to justify imposition of the formal punishment of “Censure”, he may take formal action such as communication of a written warning/displeasure/reprimand. Such a warning/displeasure/reprimand when issued, should be placed in the personal file of the official concerned. If the Reporting Officer, while writing confidential report of the official concerned, finds that the performance of the official has improved after issue of a warning/displeasure/reprimand, he may decide not to make a reference of the same in the confidential report. If, however, the Reporting Authority feels that despite such warning/displeasure/reprimand, the official has not improved, it may make appropriate mention of warning/displeasure/reprimand, as the case may be, in the relevant column of the confidential report. In that case, a copy of such warning/displeasure/reprimand referred to in the confidential report should be placed in the confidential report dossier. The adverse remark should also be conveyed to the official and his representation, if any, against the same should be disposed off in accordance with the procedure laid down.
15. COMMUNICATION OF ADVERSE REMARKS (D Grade).

All adverse entries in the confidential reports of the Company’s officials, both on performance as well as basic qualities and potentials, whether they relate to remediable or irremediable defects, should be communicated within one month of their being recorded to the officials concerned either by the Countersigning Authority or the Reporting Authority, as may be prescribed by the Company. The concerned Officers should ensure that a decision regarding communication of adverse remarks is taken with all promptness and if it is decided that the remarks are to be conveyed, this should be done with least possible delay. A copy of the letter, communicating adverse remarks duly acknowledged by the official concerned, should be kept in the confidential report file.

(i) The memo forwarding adverse remarks to the Official concerned, should be couched in such a language, that it does not produce a sense of resentment in the Official reported upon; and that it makes it clear to him/her that the intention of communication of defects to him/her is that he/she should try to improve himself/herself in respect of these defects.

(ii) The remarks about physical defects of the Official, noted in the confidential report, need not be communicated to him/her.

(iii) In order to avoid delay in communication of adverse remarks, the adverse remarks should be communicated to the Officials concerned by the respective Appointing Authority. Similar action should be taken by the respective Appointing Authority, in respect of the cadres whose confidential reports are maintained in their Offices.

(iv) In respect of Class II Officers, the Accepting Authority may take action at his level to communicate adverse remarks to the Officers concerned and subsequently submit reports to corporate office of the Company for record.

(v) In respect of Class I Officers holding posts of EEs/ Superintending Engineers/ Additional Chief Engineer/ CEs/EDs and other equivalent posts the adverse remarks, if any, will be communicated to them by the CGM(HR&A)/ GM(Estt.) of Corporate Office.

(vi) If an employee earns consecutive ‘C’ grade reports or 2 out of 3 previous reports happen to be ‘C’ grade, the same should be conveyed to him by the reviewing Officer. This may be done either in writing or orally so that the appraisee concerned becomes aware of the aspects or the areas in which in the opinion of competent authorities, his performance was average.
16. COMMUNICATION OF ADVISORY REMARKS (C GRADE)/B GRADE.

(i) In respect of Class I officers holding posts of EEs & Equivalent up to the level of Executive Director & Equivalent post the Advisory remarks (C Grade) will be communicated to them by the CGM(HR&A)/ GM(Estt.) of Corporate Office within one month of recording the remarks.

(ii) In respect of the Senior Class I officers holding the post of Superintending Engineers-GM & Equivalent level & above officers if earns “B” grade in their ACR the same shall be communicated to them by the CGM(HR&A)/ GM(Estt.) of Corporate Office within one month of recording the grading.

17. DISCLOSURE OF IDENTITY OF SUPERIOR OFFICERS WHO MADE ADVERSE REMARKS NOT NECESSARY.

It is not necessary to disclose identity of the Superior Officer, who recorded the adverse remarks while communicating the same to the Official concerned. If, however, in any particular case, it is considered necessary to disclose the identity of the Superior Officer, the authority dealing with the representation against adverse remarks may, at his discretion, allow the identity to be made known to the reportee.

18. REPRESENTATION AGAINST COMMUNICATION OF GRADING.

(a) An officer/official, who feels aggrieved against Adverse Remark (D Grade) communicated to him, may make representation through proper channel, within a period of three months from the date of receipt of adverse remarks by him. Representation submitted after a lapse of three months, may be rejected outright. However, Competent Authority may at its discretion entertain the representation beyond the period of three months, if there is satisfactory explanation of delay in submitting such representation.

(b) An Officer, who feels aggrieved against advisory remark (C Grade) communicated to him, may make representation through proper channel, within a period of three months from the date of receipt of advisory remarks (C Grade) by him. Representation submitted after a lapse of three months, may be rejected outright. However, Competent Authority may at its discretion entertain the representation beyond the period of three months, if there is satisfactory explanation of delay in submitting such representation.
(c) The Senior Class I officers holding the post of Superintending Engineers-GM & Equivalent level & above officers are allowed to submit representation against “B” Grading in their confidential report.

(d) Representation against adverse remarks will lie to the Authority immediately superior to the Countersigning Authority, if any, or to the Reporting Officer. If the immediate superior authority has already reviewed the confidential report in question and has also expressed his view either agreeing or disagreeing with the remarks recorded and accepted by the Countersigning Authority, the representation should in that event, lie to the next Higher Authority.

19. DISPOSAL OF REPRESENTATION AGAINST COMMUNICATION OF GRADING.

(i) Representation may be allowed to be made by Officers/ Officials for expunging of adverse remarks also and these representations may be considered by the Review Committee on merit of each case.

(ii) Representations received from class I and II Officers against adverse remarks (D grade)/ Advisory remarks (C grade) in their confidential reports shall be examined by the Review Committee as constituted by the Company from time to time. The Head of Department under whom the aggrieved Officer was working could also be called for knowing his views or for any other consultation, if felt necessary, by the Committee.

(iii) With a view to ensure expeditious settlement of the representations, the following procedure shall be followed:-

(a) The aggrieved Officer shall submit his representation in three copies to the Convener of the Committee within three months from the date of the receipt of the communication. The representation received after three months will not be entertained.

(b) The Convener of the Committee will forward within 10 days, one copy of the representation to the concerned Reporting / Reviewing Officer, who has recorded the adverse remark in the confidential report, with a copy of the representation to the Chairman, Confidential Report Review Committee.

(c) The Reporting/ Reviewing Officer wills send his comments on the representation of the aggrieved officer within a maximum of 30 days time from the date of letter of the Convener of the Committee, forwarding a copy of the representation directly to the Chairman, Confidential Report Review Committee, under intimation to the Convener.
(d) The Confidential Report Review Committee will review the representation and send its recommendation to the Convener of the Committee, preferably within one month and in any case, within a period of three months.

(e) The Convener of the Committee- GM (Estt.) will process the case and communicate the decision as per recommendation of the Committee to the officer concerned. In the cases reviewed by Management Committee the same shall be communicated to the officer concerned by CGM(HR&A).

(f) In case, comments of Reporting/ Reviewing Officer are not received within 30 days time as stated in sub-para (c) of para 19, and the Confidential Report Review Committee feels that the representation cannot be disposed off in absence of comments of the Recording/ Reviewing Officer on the representation, the Chairman, Confidential Report Review Committee may ask the Reporting/ Reviewing Officer to appear before the Review Committee in the next meeting and then take a decision.

(g) If the aggrieved officer has requested for personal hearing, and if the Confidential Report Review Committee, decides to accord personal hearing to the aggrieved officer for clarification, the aggrieved officer could be given an opportunity to plead his case in person. In such cases, the aggrieved officer will not be treated as on duty.

(iv) Representations received from Class III and IV employees against adverse remarks recorded in their Confidential Reports, shall be examined by the Review Committee as constituted by the Company from time to time.

(v) (a) The representations received through proper channel from the officials, shall be forwarded by the Head of the Office/ Section after obtaining comments/ recommendations of the Recording Officer to the Presiding Officer of the Committee, as early as possible and in any case, within 30 days from the date of receipt of the representations. One copy of the representation shall be sent by the employee directly to the Presiding Officer also so that undue delays by the subordinate offices come to his notice. The Committee shall examine the representations and convey its decision to the Head of Office under whom the employee is working who would, in turn, convey decision of the Committee to the employee concerned.
(b) The Committee shall meet once in three months and convey its decision immediately thereafter (but not later than 10 days in any case) to the Head of Office under whom the aggrieved employee is working. The Convener shall ensure that Committee meets regularly and submit its reports to the Personnel Section. The Head of Office, under whom the employee is working, shall convey the decision of the Committee to the employee concerned within 10 days from the date of receipt of the decision.

(vi) If any of the Member(s) of the Review Committee happens to be the officer who has recorded that adverse remarks in the CR of the aggrieved officer/ official whose representations is under review by the Review Committee, such of the Member(s) may not take part in discussions and the Presiding Officer and other Member(s) of the Review Committee would discuss and take an impartial review of the case. If the Presiding Officer himself is the officer who had recorded the adverse remarks he would withdraw himself from the Committee for the case under review and the senior-most Member may take over as Presiding Officer for the particular case.

(vii) The Class I Officers of EE-DGM & equivalent and above level officers are allowed to submit representation against communication of “C” grading in their confidential reports. The senior class I officers holding the post of Superintending Engineers-GM & Equivalent level & above officers are also allowed to submit representation against “B” Grading in their confidential report. The representation should be submitted to the GM(Estt.) of corporate office in triplicate within 3 months from the date of receipt of “C” & “B” grade communication. The GM(Estt.) will process the case and submit to the Review Committee as in the case of representation against adverse remarks as stated in proceeding paras. The representation submitted after time limit, will not be entertained.

(viii) If the Review Committee feels that there is no sufficient ground for interference, the representation should be rejected and the Petitioner informed accordingly. If, however, it is decided that the remarks should be toned down, necessary entry with proper attestation should be made at the appropriate place of the report. In rare cases, if the Competent Authority comes to the conclusion that the adverse remarks was inspired by malice or was entirely incorrect or unfounded, and therefore, deserves expunction, it should order accordingly. When a representation against adverse remarks is wholly or partially upheld, the particulars of the order passed thereon should be recorded in the confidential report itself.
(ix) If the Review Committee decides that an adverse remark should be expunged, the Committee would indicate the revised grading based on the other entries in the CR under review. Similarly, the Review Committee would indicate the revised grading in case of the representation against ‘C’ Grade remarks submitted by Class-I Officers, if the remark(s) represented against by the aggrieved officer is decided to be expunged.

(x) Where a penalty is set aside on an appeal or review, a copy of the punishment order should be removed from the confidential report file as well as the adverse remarks recorded on the basis of penalty expunged. In a case, where the penalty is modified by the Appellate or Reviewing Authority, the entry in the confidential report originally made on the basis of the penalty awarded, should also be modified accordingly.

(xi) Repeated representations after decision of the Competent Authority on the first representation has been conveyed, should not be entertained.

(xii) For considering the representations received from Officers/ Officials against communication of grading recorded in the ACRs, the following ACR Review Authority have been constituted by the company.

<table>
<thead>
<tr>
<th>S. No.</th>
<th>Post</th>
<th>Accepting Authority</th>
<th>ACR Review Committee/Authority for considering representation against grading recorded in the ACR</th>
</tr>
</thead>
</table>
| 1      | SOs/JEs- Asstt. Managers & Equivalent cadres | Concerned Circle - incharge SEs-GMs | Regional Level ACR Review Authority consisting of the following members:-  
1. Regional CGM – Chairman  
2. Senior most GM, O/o respective Regional CGM -- Member  
3. GM(Estt.), O/o MD(CZ) - Member  
4. GM (Estt.), O/o respective CGM - - Member- Convenor |
| 2      | AEs- Managers & equivalent cadres | Concerned Regional CEs-CGMs/ EDs | Corporate level ACR Review Authority consisting of the following Members:-  
1. CGM (HR&A) – Chairman of the Committee  
2. ED/CE-CGM (W&P) -- Member  
3. Director (Finance) or Addl. Director (A/A) -- Member  
4. GM (Estt.) – Member-Convenor |
<p>| 3      | EEs –DGMs &amp; equivalent cadres | MD | Management Committee |</p>
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<td>4</td>
<td>SEs-GMs &amp; equivalent cadres</td>
<td>Chairman, BoD</td>
<td>Management Committee</td>
</tr>
<tr>
<td>5</td>
<td>Addl.CE - DCGM/CE-CGM/ ED &amp; equivalent cadres</td>
<td>Chairman, BoD</td>
<td>Management Committee</td>
</tr>
</tbody>
</table>

**Note:-** For Sr. No. 1 & 2
No member of the Committee/Authority should be the Accepting Authority while considering the representations.

20. **NO COLUMN IN CONFIDENTIAL REPORT SHOULD BE LEFT BLANK.**

When on consideration of a representation against adverse remarks, the Competent Authority comes to the conclusion that the remarks deserve to be expunged, it should see whether total expunction of the remarks will leave the relevant column blank; and if it finds the position to be so, it should order modification of the relevant remarks in suitable manner so that the column in question does not remain blank. The idea being that no column in the confidential report should be left blank and the confidential report should be complete in all respects.

21. **MAINTENANCE OF MEMORANDUM OF SERVICES, SERVING AS BASIS FOR WRITING ANNUAL CONFIDENTIAL RPEORTS.**

With a view to enabling the Reporting Officers to make correct overall assessment of the work and conduct of their subordinates, the Reporting Officers should maintain memorandum of services in respect of each official, employed under them. All instances of good and bad work coming to the notice of the Reporting Officer at the time of visits, inspections, interviews etc., should be noted in the memorandum of services. The entries in the memorandum of services should be based on facts and documentary evidence. This should form the basis for writing confidential reports. No special format is prescribed for this purpose and the details in respect of each employee can be maintained by the Reporting Officer in a suitable form as he may find helpful while writing annual confidential reports.
22. **HANDLING AND CUSTODY OF CONFIDENTIAL REPORT FILES.**

Confidential report files should be handled like confidential documents. The Officer concerned should ensure that no room is given for complaints about any leakage of information. These files are to be kept in personal custody of the Officers required to maintain them, i.e. either the Reporting or the Countersigning Authority, if any, unless special arrangements are made for their maintenance centrally with any particular Officer.

(i) The Officer responsible for maintaining the confidential report files should handover them to his successor in office following his transfer.

(ii) When an Official is transferred for more than three months, the file containing his/her confidential reports should be forwarded direct to the Officer by whom it is to be maintained. Whenever, it is necessary to send such files by post, these must be closed in confidential cover and sent under registered acknowledgment due post.

23. **PRESERVATION OF CONFIDENTIAL REPORTS.**

Confidential reports of Officials, who have ceased to be Company’s servant, should be disposed off as follows:

(i) In case of death, the reports may be destroyed after 5 years, following demise of the Company’s servant.

(ii) The confidential reports may be made over to an employee, if he resigns, retires, or is discharged without fault. If it is not claimed, it should be retained for three years, so that it may be available in case of re-employment of the employee.

(iii) In case of dismissal/ removal of the employee, the report should be retained at the discretion of the Appointing Authority for such period as it is likely to be required.
24. **PROCEDURE TO BE FOLLOWED BY THE CENTRAL/REGIONAL SELECTION COMMITTEES.**

All promotions upto the level of Executive Engineers - DGM and equivalent posts are made on the basis of seniority-cum-merit. In general, merit of an employee is assessed on the basis of his/her annual confidential report. The concerned confidential reports shall be graded independently by the Selection Committee, while considering promotions of the staff to the higher posts, on the basis of remarks in their confidential reports. While making an assessment of the grading, the complete set of confidential reports should be fully gone through one by one by the Members of the Selection Committee. Independent assessment should be made by each Member to properly judge the performance of each candidate year by year.

(i) The Selection Committee while going through the confidential reports should make a general assessment of an employee or employees concerned during the year and decide his / her grading in one of the following categories:

- **A+** — Outstanding (4 marks)
- **A** — Very Good (3 marks)
- **B** — Good / above average (2 marks)
- **C** — Fair / Average (1 mark)
- **D** — Adverse (0 zero)

(ii) Based on the grading of confidential reports of the staff as stated above, all the eligible candidates should be considered for promotion after reviewing their confidential reports for the preceding five years. Out of the confidential reports for the preceding five years, a candidate must earn the minimum bench mark prescribed in the promotion rule 2002 of GoMP as adopted by the Company for eligibility to the next higher post, provided there is no departmental enquiry in progress to enquire into his conduct and no other deficiency is found.

(iii) Those who fail to secure above prescribed gradings based on their confidential reports, need not be considered for promotion to the next higher post. In case where there are more than one confidential report for a particular year, the Selection committee should suitably make an average assessment.

(iv) In respect of panels to be prepared for Class I posts, the minimum grading in annual confidential reports should be as under:—
<table>
<thead>
<tr>
<th>S.No.</th>
<th>Particulars</th>
<th>Minimum length of service</th>
<th>Minimum Grading/Bench mark in Confidential Reports.</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>For promotion of Asstt. Engineer and equivalent posts to Executive Engineer and equivalent posts.</td>
<td>5 years</td>
<td>5-B grading or 10 marks in last 5 years.</td>
<td>If, having one adverse report (D) in any year, will not be considered</td>
</tr>
<tr>
<td>2.</td>
<td>For promotion of Executive Engineer and equivalent posts to Superintending Engineer and equivalent posts.</td>
<td>5 years</td>
<td>3-A and 2 B grading or 13 marks in last 5 years confidential reports.</td>
<td>(i) Last report shall not be &quot;C&quot; grading. (ii) Diploma holders shall be eligible for promotion up to Superintending Engineers and equivalent posts.</td>
</tr>
<tr>
<td>3.</td>
<td>For promotion of Superintending Engineers and equivalent posts to Addl. Chief Engineers and equivalent posts.</td>
<td>3 years</td>
<td>3 A &amp; 2 B grading or 13 marks in last five years confidential reports.</td>
<td>(i) Last report shall not be &quot;C&quot; grading. (ii) Degree holders shall only be eligible</td>
</tr>
<tr>
<td>4.</td>
<td>For promotion of Additional Chief Engineers and equivalent posts to Chief Engineer and equivalent posts.</td>
<td>5 years (SE + Addl. CE) &amp; equivalent</td>
<td>3 A &amp; 2 B grading or 13 marks in last five years confidential reports.</td>
<td>(i) Last report shall not be &quot;C&quot; grading. (ii) Degree holders shall only be eligible</td>
</tr>
</tbody>
</table>
### Table

<table>
<thead>
<tr>
<th>S.No.</th>
<th>Particulars</th>
<th>Minimum length of service</th>
<th>Minimum Grading/Bench mark in Confidential Reports.</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.</td>
<td>For promotion of Chief Engineer and equivalent posts to Executive Director and equivalent posts.</td>
<td>3 years as CE &amp; equivalent or two years as CE &amp; equivalent provided the officers is more than 52 years of age</td>
<td>3 A &amp; 2 B grading (13 marks) in last five years confidential reports.</td>
<td>Last report shall not be &quot;C&quot; grading.</td>
</tr>
</tbody>
</table>

v) The above instructions for preparation of panels should be followed strictly by the Central/Regional Selection Committees constituted as per Company's orders from time to time.

### 25. MAINTENANCE OF CONFIDENTIAL REPORT FILES.

(a) In respect of class I and II officers, the confidential report files shall remain in the custody of Confidential Unit of Corporate office of the Company.

(b) Confidential report files of class III and IV staff shall be maintained as under:

1. **Cadre**
   - Section Officers /Junior Engineer/ Personal Assistants/Office Asstt. Gr. I/ Senior Stenographers and equivalent.  
   - Class IV staff.  
   - To be maintained by
     - Regional Chief Engineers in respect of field staff.  
     - In respect of Corporate Office by the Confidential Unit.  
     - Respective Superintending Engineers in the field.  
     - In respect of the Corporate Offices, by the Confidential Unit.  
     - By the respective Offices where they are attached.

Format No.D-1 for Gazetted Officers (Class-I & II)

The format essentially consists of 6 parts:-

1. Part I deals with personal data.

2. Part II deals with duties/job assignment- brief description of duties, targets set, achievement of the Appraisee Officer which are relevant to the Organization and details of targets set and self appraisal in the Appraisee Officer’s own words and handwriting.

3. Part III is for Reporting Officer and is sub divided into (A), (B) & (C).
   
   (A) The Reporting Officers should be extremely careful in writing down specific duties / job assigned to the Appraisee Officer during the course of the reporting year, as these would be reviewed by the Reviewing Officer in context of the self-appraisal given by the Officers. Having done this assessment of job knowledge should be made taking an objective view of Appraisee Officer's knowledge of the job handled by him during the year and his knowledge relating to other aspects as also keenness to acquire more knowledge. After this, performance evaluation is to be made with reference to the targets set. In the performance evaluation part, i.e. A(3)(i), space for assessing qualitative performance in different aspects of Officer's work has been provided. On the basis of key performance areas or specific job description, the Reporting Officer shall have to evolve optimum levels of qualitative performance in each of the key performance areas of the Officer. Actual qualitative performance in each of the areas should be assessed against these optimum levels. After the evaluation of performance space has been given to make specific comments as to whether the Reporting Officer agrees or disagrees with the self assessment made by the Officer reported upon. Reasons for disagreement will also have to be given.

   (B) Part B deals with evaluation of relevant personal characteristics. The attributes at Serial No. 6, 7 and 9 shall be given more importance in case of Officers in the senior levels of Superintending Engineers and Addl. Chief Engineers; but weightage will be attached to their behavior against these attributes than in case of junior officers in the ranks of Asstt. Engineers and Executive Engineers. Each of the 16 attributes are to be evaluated individually shutting off the rating given by the Reporting Officer in respect of other attributes, e.g. if the Reporting Officer finds scope for improvement
in one characteristic it need not inhibit his assessment in the other train (s) where his behavior might be very good. However, if the Reporting Officer is not very sure of a particular characteristic of the Appraisee Officer and has insufficient knowledge of that, he may not evaluate the officer in respect of that particular characteristic.

(C) In Part C the Reporting Officer shall make a special mention of merits, contributions, demerits or shortcomings of the officer reported on. There is space for mentioning as to whether shortcomings of the Officer were brought to the notice of the Appraisee Officer.

4. Part IV is also for Reporting Officer – general assessment of the appraise officer. In the general assessment the reporting officer may give overall assessment of the appraise officer & specify in brief, adverse remarks if any, including penalties imposed or warming’s/ displeasure communicated during the year. The adverse remarks or advisory remarks to be conveyed should be worded clearly.

5. Part V is for Reviewing Officer where he has to indicate his agreement or otherwise with the assessment made by the Reporting Officer. He would also make specific mention about the Appraisee Officer based on his own observations/knowledge. In this part, he would also indicate the period spent by the Appraisee Officer under the reviewing Officer himself.

6. Part VI is for Accepting Authority.

7. All entries in this report are to be made in the appraisee and appraising officers' own handwriting.

8. It may be clearly understood that errors noticed in appraisal by Officers themselves or the Reporting/Reviewing Officers shall cast a reflection on their capacity to make proper judgments.

9. The following system for circulation of appraisal reports has been approved by the Company.

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Appraisee Authority Maintained in the office of</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 (a)</td>
<td>Reporting</td>
</tr>
<tr>
<td></td>
<td>JE/ Section Officer/OA Gr.-I and equivalent cadres working in the Regional Office</td>
</tr>
<tr>
<td></td>
<td>Regional Chief Engineer</td>
</tr>
<tr>
<td>1(b)</td>
<td>JE/ Section Officer/OA Gr-I and equivalent cadres working under the Region</td>
</tr>
<tr>
<td></td>
<td>Regional Chief Engineer</td>
</tr>
<tr>
<td>Sl. No.</td>
<td>Appraisee</td>
</tr>
<tr>
<td>--------</td>
<td>-----------</td>
</tr>
<tr>
<td>2</td>
<td>JE/ Section Officer/OA Gr-I and equivalent cadres working in Corporate Office</td>
</tr>
<tr>
<td>3</td>
<td>OA Gr-II/III and equivalent cadres of Class-III working in Region</td>
</tr>
<tr>
<td>4</td>
<td>OA Gr-II/III and equivalent cadres of Class-III working in Corporate Office</td>
</tr>
<tr>
<td>5</td>
<td>Section Officer/ OA Gr-II/III and equivalent cadres of Class-III working in Finance wing of Corporate Office</td>
</tr>
<tr>
<td>6</td>
<td>Class-IV employees working in the field offices</td>
</tr>
<tr>
<td>7</td>
<td>Class-IV employees working in the Corporate Office</td>
</tr>
<tr>
<td>8</td>
<td>AEs and equivalent cadres working in the</td>
</tr>
<tr>
<td>Sl. No.</td>
<td>Appraisee</td>
</tr>
<tr>
<td>--------</td>
<td>-----------</td>
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<tr>
<td></td>
<td>Region</td>
</tr>
<tr>
<td>9.</td>
<td>AEs &amp; equivalent cadres working in Corporate Office</td>
</tr>
<tr>
<td>10.</td>
<td>Accounts Officers/Accounts Managers &amp; equivalent cadres of Finance Wing working under the jurisdiction of Region</td>
</tr>
<tr>
<td>11.</td>
<td>Accounts Officers/Accounts Managers &amp; equivalent cadres of Finance Wing working in the Regional Office</td>
</tr>
<tr>
<td>12.</td>
<td>Accounts Officers/ Accounts Managers &amp; equivalent cadres of Finance Wing working in Corporate Office</td>
</tr>
<tr>
<td>13.</td>
<td>Assistant Engineer (IT) working under the Region</td>
</tr>
<tr>
<td>14.</td>
<td>Assistant Engineer (IT) working in</td>
</tr>
<tr>
<td>Sl. No.</td>
<td>Appraisee</td>
</tr>
<tr>
<td>--------</td>
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</tr>
<tr>
<td>15.</td>
<td>Manager (HR) working under the jurisdiction of Region</td>
</tr>
<tr>
<td>16.</td>
<td>Manager (HR) working in the Regional Office</td>
</tr>
<tr>
<td>17.</td>
<td>Manager (HR) working in Corporate Office</td>
</tr>
<tr>
<td>18.</td>
<td>Manager (HR) working in PDTC</td>
</tr>
<tr>
<td>19.</td>
<td>EEs and equivalent cadres working in the Region</td>
</tr>
<tr>
<td>20.</td>
<td>EEs &amp; equivalent cadres working in Corporate Office</td>
</tr>
<tr>
<td>21.</td>
<td>SEs and equivalent cadre working in the Region</td>
</tr>
<tr>
<td>22.</td>
<td>SEs &amp; equivalent cadres working in Corporate Office</td>
</tr>
<tr>
<td>Sl. No.</td>
<td>Appraisee</td>
</tr>
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<td>--------</td>
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<td></td>
<td></td>
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<tr>
<td>23.</td>
<td>Addl. CE and equivalent cadre working in the Region</td>
</tr>
<tr>
<td>24.</td>
<td>Addl. CE and equivalent cadre working in Corporate Office</td>
</tr>
<tr>
<td>25.</td>
<td>CE/ED and equivalent cadre working in Region</td>
</tr>
<tr>
<td>26.</td>
<td>CE/ED and equivalent cadre working in Corporate Office</td>
</tr>
</tbody>
</table>

However, where one or two intermediate levels are not present, the reviewing / countersigning officers/ Accepting Authority would be the next higher, e.g. the performance of a field S.E. shall be reported upon by the C.E., reviewed by the MD, countersigned/ Accepted by the Chairman, BOD and then sent to the Corporate Office for record. In case of Addl. CE/CE/ED in-charge of various sections or other corporate functions at Headquarter, reporting/reviewing officer shall be the MD and Countersigned/Accepted by the Chairman, BOD.
CHECK LIST FOR REPORTING OFFICERS

- This system is to be used as an instrument for:
  
  a) Assessing an officer's qualities and present performance.
  b) Identifying the officer's potential for future growth.
  c) Promoting individual performance and organisational efficiency through timely corrective measures.

- Do not make assessment if the appraisee is a relation of yours. Pass on the form to the next higher officer.

- Each attribute has to be evaluated individually, shutting off the ratings of other attributes. Appraisers are free not to evaluate a trait/attribute if they have insufficient knowledge of that aspect of the appraisee officer.

- Do not allow personal feelings to govern your assessment.

- Do not make snap judgments.

- Be developmental in your assessment.