

4. PANEL PREPARATION

4.10 Preparation of Panel for appointment by Promotion / Recruitment by transfer - Consolidated instructions

Personnel and Administrative Reforms (S) Department

Lr.No. 18824/S/2005-2, dated 7.10.2005

From

Tmt. Thangam Sankaranarayanan, I.A.S.,
Secretary to Government

To

All the Departments

Sir,

Sub : Public Services – Preparation of panel for appointment by promotion consolidated instructions – Re-issued

Ref : 1. G.O. (Ms) No. 368, Personnel and Administrative Reforms (S) Department, Dated 18.10.1993
2. Government letter (Ms) No. 248, Personnel and Administrative Reforms(S) Department, dated 20.10.1997

In the reference first cited, detailed guidelines for preparation of panel were issued. In the reference second cited, specific guidelines were issued with regard to the pendency of Vigilance Enquiry/Charges, effect of adverse remarks in Personal file/Confidential Report and specific punishments for adoption while preparing panels. Subsequently several amendments, instructions and clarifications have been issued from time to time.

2. For guidance, the instructions contained in the references cited as well as in the subsequent communications have now been consolidated. These are included as Annexure-I to VIII.

SECRETARY TO GOVERNMENT

ANNEXURE-1**1. Preparation of Estimate of vacancies**

(i) Provision in General Rules:-

According to Rule 4 (Approved candidates) in Part II of the General Rules for the Tamil Nadu State and Subordinate Services, the list of approved candidate for appointment by promotion and by recruitment by transfer to all categories of posts in the Tamil Nadu State and Subordinate Services shall be prepared annually against the estimated number of vacancies expected to arise during the course of a year.

(ii) Estimate of vacancies for posts to be filled up by recruitment by transfer/by promotion where consultation with the Tamil Nadu Public Service Commission is necessary:-

In the case of recruitment to a State Service by transfer from the normal feeder subordinate services or by promotion from a lower post to a higher post within the same State Service which are within the purview of Tamil Nadu Public Service Commission and where consultation with the Tamil Nadu Public Service Commission is necessary, the Heads of Department should take advance action to get the approval of the Government for fixing the estimate of vacancies and furnish the approved estimates to the Commission on the appropriate dates specified in column 2 of Annexure-III

(ii) (Recruitment by transfer) to G.O.Ms.No. 603, Personnel and Administrative Reforms(Per.M) Department dated 12.6.1985 as amended subsequently. The estimate of the number of candidates required should cover a period of 12 months from the date following the date on which the list of selected candidates is due to be communicated to the appointing authorities by the Commission according to the programme in the said Annexure-III(ii). The Heads of Department should ensure that the proposals for fixing the estimates of vacancies are sent to the Government atleast 2 months before the prescribed dates mentioned therein.

(iii) Estimate of vacancies for posts to be filled up by recruitment by transfer or by promotion where consultation with the Tamil Nadu Public Service Commission is not necessary:-

In respect of appointments by recruitment by transfer or by promotion to posts included in the State Services which are outside the purview of Tamil Nadu Public Service Commission and where consultation with the Commission is not necessary, the estimate should cover a period of 12 months from the date following the crucial date on which the candidates should possess the required qualification prescribed in the Special Rules/Ad-hoc rules for appointment to the higher post. The Heads of Department should ensure that the proposals for fixing the estimate of vacancies are sent to the Government, atleast 2 months in advance of the crucial date.

(iv) To effect economy in expenditure, filling up of vacant posts shall be completely banned except certain categories of posts such as teachers, Doctors and Police Constables which may be identified and declared as essential posts. Proposals for filling vacant posts considered essential by any Department will be placed before a Committee consisting of Chief Secretary, Finance Secretary and Secretary (Personnel and Administrative Reforms).

(G.O.Ms.No. 212, Personnel and Administrative Reforms (P) Department, Dated 29.11.2001).

- (v) (1) The ban order will apply to direct recruitment only and not to promotions.
- (2) All estimate of vacancies for direct recruitment as well as other methods of appointment should be for the actual vacancies, i.e., retirement vacancies and the vacancies caused due to the promotions during the panel period of twelve months.
- (3) The estimate of vacancies for direct recruitment as well as other methods of appointments which has been prepared in accordance with the instructions in item (2) above should be placed before the Staff Committee for approval.

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(Letter No. 67770/P/2000-1, Personnel & Administrative Reforms (P) Department dated 19.12.2001 and Letter No. 13622/S/2002-3 Personnel & Administrative Reforms (P) Department dated 22.4.2002)

- (4) The approval of estimate of vacancies by the Staff Committee at Government level will be applicable only to the posts for which the estimate of vacancies is to be approved by the Government and in respect of approval of estimate of vacancies for other posts it need not be referred to Government and the existing procedure may continue subject to the condition that the estimate should be restricted to the actual vacancies i.e. retirement vacancies, and the actual vacancies caused to the promotions already made.

(Letter No. 5849/P/2002-1, Personnel and Administrative Reforms (P) Department dated 20.2.2002)

(vi) Before intimating vacancies to Tamil Nadu Public Service Commission for posts earmarked for direct recruitment orders of Hon'ble Chief Minister should invariably be obtained through the Ministers concerned. All Heads of Departments and District Collectors should send proposals for filling up of vacancies under direct recruitment to Government for orders, instead of directly confirming vacancies to Tamil Nadu Public Service Commission.

(Letter (Ms) No.305, Personnel and Administrative Reforms (M) Department, Dated 14.7.2004)

(vi) (A) With a view to avoid delay in issue of panels the Government have examined the need to cut short the procedure of sending estimates and panels separately to the advisory Departments and the "Staff Committee",. Likewise the Government have also examined problem of filling up of the vacancies arising due to the retirement of the person included in the panel but retired before promotion. After detailed examination, the Government consider that the proposal of the estimate of vacancies and the panel may be sent simultaneously at the same time but in separate files to the advisory Departments and the "Staff Committee", and the size of the panel may be enlarged to the extent of including equal number of eligible persons in the panel in order to fill up the estimated vacancies and issue the following instructions:-

(i) The preparation of estimate and preparation of panel may be merged together and simultaneous action may be taken as below:-

- (a) preparation of estimate of vacancies in the top file
- (b) Preparation of panel in the Linked file

On this basis, the Departments of Secretariat may have to send panel proposal in two files – the top file containing "Staff Committee note" for approval upto Chief Secretary for fixing estimate of vacancies, and the Linked file for selecting eligible candidates which is to be seen and cleared by Personnel and Administrative Reforms Department. The Linked file will not be marked to other members of Staff Committee, who need not be normally be bothered on such matters. The Linked File will, therefore, be dislinked and kept lie over till the estimate is approved by the Staff Committee. After approval of estimate, the panel size will be decided and on that basis the Linked File will be circulated to Minister concerned for approval of panel.

(ii) In order to overcome the difficulty of filling the vacancies caused by the retirement of Personnel included in the panel in the same year i.e. immediately after inclusion in the panel but before promotion, the size of the panel be enlarged to the extent of including equal number of eligible persons against the likelihood vacancies of senior eligible persons included in the panel prior to promotion whose date of their retirement shall be indicated in bracket against their names in the panel. To this extent, additional names of eligible persons shall be included in the panel. This will help to promote equal number of candidates in the panel period and in such cases, care should be taken that the number of promotees is restricted to the size of the panel fixed. In other words, the panel though appear to be enlarged, number of candidates actually promoted shall be matched to the estimated vacancy. This would certainly avoid non-utilisation of estimated vacancies and equally solve administrative problems for want of suitable hands at the higher levels.

(Letter No.28394/S/2005-1 Personnel & Administrative Reforms (S) Department dated 1.7.2005)

(vii) Proportion to be maintained for selection of persons for a single vacancy or more than a single vacancy:-

According to rule 4 of General Rules, for preparing panels, to fill up a single vacancy, the claims of first two qualified candidates in the seniority list in a class, category or of the service should be considered and the same proportion should be maintained in making selection for more than a single vacancy. If the first 2 qualified candidates, after consideration of their claims are found not suitable for the post, the claims of the next 2 qualified candidates should be considered.

(viii) (1) Filling up of posts of Heads of Department:-

(1) To fill up a single vacancy in respect of Head of Department, the claims of the first 5 qualified candidates in the seniority list should be considered and a panel of atleast two names should be got approved in order to meet any contingency. To be eligible for promotion as Head of Department, an officer should have not less than one year's service left before retirement. Those who do not have such a minimum period of left over service but are otherwise found to be fully qualified and are fit for promotion as Head of Department and deserve recognition on the crucial date of preparation of panel, should be compensated by appointing them as Officers on Special Duty with a specific assignment and with the same scale of pay as that of the Head of Department.

(2) Proposals to fill up the posts of Heads of Department (non-IAS) will have to be initiated by the Secretaries to Government themselves 3 months in advance of the prospective date of retirement of the existing incumbent, as all the relevant particulars would be available in the Secretariat. If the initiative to send proposals is left with the Heads of Department themselves there are bound to be delays caused by subjective consideration. Such promotion proposals will have to be suitably monitored by the Secretaries to Government themselves so that orders are issued before the retirement of the existing incumbent and the cases of those who have a minimum service of one year from the date of retirement of the previous incumbent are not omitted because of administrative delay.

(ix) 1 Preparation of estimate of vacancies to posts to be filled up by direct recruitment:-

(1) The substantive vacancies which should be filled up by direct recruitment shall be calculated covering the following:-

(a) Vacancies that are expected to arise by the retirement of permanent incumbents in the panel year for which recruitment is made; and

(b) Vacancies that had arisen from the following causes during the panel year previous to the date when the vacancies for direct recruitment are during due to be estimated:-

(i) Appointment and confirmation of permanent incumbents in another service;

(ii) Death of permanent incumbents; and

(iii) Permanent retention of a temporary post.

After arriving at the substantive vacancies as above, vacancies for direct recruitment and other methods of recruitment have to be apportioned as prescribed in the relevant special rules.

(2) When forwarding the estimates to the Commission in the case of direct recruitment in addition to giving information as to the number of candidates to be selected, the roster relating to reservation of appointments for the Scheduled Castes, Scheduled Tribes, Most Backward Classes and Denotified Communities and Backward Classes and the appointments filled by General Turns showing all the appointments made to the service up-to-date should also be sent.

II. Preparation of Panels:

(i) Particulars/Documents to be sent to Government for preparation of panels:- Particulars/documents to be sent to Government by the Heads of Department for preparation of panel should be as shown in the Proforma in Annexure-IV.

Consequently, all panel files should contain particulars/documents as required under the columns in the Proforma given in Annexure-IV. The panel files should also contain seniority list as per instructions contained in Annexure-V.

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(ii) Opening of sectional notes for preparation of panels:-

The cases of persons to be considered for inclusion in the panel should be examined by opening sectional notes in the Proforma given in Annexure-VI. There should be an index for the sectional notes in the following proforma:-

Serial No.	Name of Person	Page No. of sectional Note
(1)	(2)	(3)

(iii) Preparation of temporary panels to be avoided:-

According to explanation-III under General Rule 4, no temporary panel shall be prepared in respect of posts for which consultation with the Tamil Nadu Public Service Commission is not required. Only regular panels in accordance with the rules will have to be drawn. If, for valid reasons like non-regularisation of services in feeder category, etc., a temporary panel for promotion has to be drawn, the fact should be clearly indicated in the panel file and the panel has to be drawn in relaxation of the said explanation under General Rule 4. In respect of appointment to the posts for which consultation with the Commission is necessary, temporary lists may be drawn and published following the procedures prescribed for drawing regular panels in order to meet exigencies of service and to avoid administrative delay.

(iv) Consideration of persons against whom enquiries are pending and specific charges have been framed or charge sheet has been filed in criminal cases:-

(1) In the case of pending enquiries including Vigilance enquiries and in cases where specific charges have not been framed, promotions and appointments shall be considered on the basis of the performance of the officers coming under the zone of selection as on the date of consideration for promotion/appointment as revealed through the Personal Files/Record Sheets and of the punishments, if any previously imposed. In cases where specific charges have been framed or charge sheet has been filed in criminal case promotion/appointment of such persons shall be deferred till the proceedings are concluded. The Government servants whose promotions etc. are deferred on account of pending charges etc. should be informed of the fact as per the specimen letter given in Annexure-VII. They must, however, be considered for promotion if they are exonerated or acquitted from the charges. If found suitable with reference to all relevant criteria, they shall then be given the promotion with retrospective effect from the date on which their juniors were promoted.

(2) The "specific charges" referred to are those framed under Rule 17(b) of the Tamil Nadu Civil Services (Discipline and Appeal) Rules or its equivalent. Mere calling for the explanation of a Government servant under Rule 17(a) of the said rules need not be treated as a bar for promotion on that score alone. This would equally apply to promotion to ordinate posts and "Selection Category" posts, as well as to recruitment by transfer from one service to another.

(3) The case of a Government servant whose promotion, etc., has been deferred should be reopened after disposal of the charges and appropriate orders should be passed on merits, i.e., (a) giving him his promotion as aforesaid if he was proved innocent and exonerated or acquitted of the charges and if there are no other adverse factors to be reckoned; or (b) denying him the promotion or giving the promotion from a later date depending upon the nature of punishment and other factors to be reckoned, in other cases. In all such cases, the Heads of Department must take suo-moto action within 15 days from the date of issue of final orders in the departmental disciplinary case/criminal case.

(4) Wherever the disciplinary proceedings under rule 17(b) of the Tamil Nadu Civil Services (Discipline & Appeal) Rules against Government Employees are merely stayed by a court/Tribunal, their cases shall be deferred till the proceedings are concluded, unless a contrary order is passed by the Court/Tribunal and it is decided not to challenge the same. If on the other hand, the Court/Tribunal quashes the charge memo, then the name of the Government employee concerned should be considered for inclusion in the panel for appointment to the higher post by promotion/recruitment by transfer, if he is otherwise qualified.

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(5) If specific charges are framed or charge sheet is filed in the criminal case before actual promotion, the person concerned shall not be promoted notwithstanding the fact that his name has been included in the panel. The instructions in para (3) above will apply in such cases thereafter.

(v) 1. Effect of pendency of vigilance enquiry/charges on inclusion in a panel for promotion and recruitment by transfer.

(Letter (Ms) No. 248, Personnel and Administrative Reforms (S) Department, dated 20.10.1997)

Nature of Enquiry/Charge	Effect
1) Preliminary or detailed enquiry undertaken by Directorate of Vigilance and Anti-Corruption.	Need not be held against the Officer for inclusion in the Panel.
2) Regular cases/Registered cases by Directorate of Vigilance and Anti-corruption	Mere registration of cases in Courts need not be held against the Officer. But if charge sheet has been filed in the Criminal case it should be held against the Officer.
3) Trap and Arrest made under the Prevention of Corruption Act by Director of Vigilance and Anti Corruption.	It should be treated as a serious offence and held against the Officer.
4) Enquiry by Tribunal for Disciplinary proceedings undertaken by the department or on the recommendation of the Vigilance Commissioner.	This will be equivalent to charges framed under Rule 17(b) of Tamil Nadu Civil Services (D&A) Rules. Hence, it should be held against the Officer.
5) Remittal orders issued by the Government directing the appropriate authority to initiate disciplinary action on receipt of the report.	Unless specific charges have been framed under Rule 17(b) of Tamil Nadu Civil Services (D&A) Rules, the remittal orders issued by the Government need not be held against the Officer. If charges are framed under Rule 17(b) as a result of remittal orders, the name need not be included in the panel. Even if the name has been included in the panel, the name should be deleted from such a panel, if charges under rule 17(b) are framed before actual promotion
6) Pendency of charges framed under Rule 17(a) of Tamil Nadu Civil Services (D&A) Rules	Need not be held against the Officer, irrespective of the seriousness of the delinquency.
7) Pendency of charges framed under Rule 17(b) of Tamil Nadu Civil Services (D&A) Rules.	It should be against the Officer and inclusion deferred until finalisation of the disciplinary proceedings.
8) Suspension	If the Officer is placed under suspension on the date of consideration, inclusion may be deferred till finalisation of disciplinary proceedings.

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(b) II. Effect of punishments on inclusion in the panel

1) As warning or severe warning is not a statutory punishment and since there is no provision for appeal, it need not be held against the Officer, whether it was awarded after framing of charges under Rule 17(a) or 17(b) of Tamil Nadu Civil Services (D&A) Rules.

2) Any punishment, other than 'Censure' imposed on an Officer within a period of Five Years prior to the crucial date and a punishment of "Censure" within a period of one year prior to the crucial date *(or censure imposed after the crucial date, but before actual promotion) should be held against the Officer. In such a case the Officer's name should be passed over.

*(added in Letter No.67652/S/2000-6, Personnel & Administrative Reforms (S) Department dated 27.8.2003)

** Provided that if the officer was imposed with any of the punishments within the check period as mentioned above for irregularities/delinquencies which occurred five years prior to the crucial date, such punishment need not be held against him, if such penalty is not in currency on the crucial date and also on the date of consideration of the panel".

** (Substituted in Letter No.4992/S/2000-10, Personnel & Administrative Reforms (S) Department dated 19.10.2001)

Provided that an Officer passed over once, need not be passed over for the second time on account of the same punishment at the time of subsequent consideration for the next panel.

Since the punishment of censure is one of the codified punishments, the aforesaid provisos will apply to censure also. The punishment of censure imposed within one year prior to the crucial date or the punishment of censure imposed after the crucial date but before actual promotion, should be held against the Officer. However, the punishment of censure imposed with a period of one year proceeding the crucial date need not be held against the officer if the delinquency had occurred prior to 5 years preceding the crucial date. I am also to clarify that the same censure need not be held against an officer more than once as per the aforesaid second proviso in para 411(2) of the Government letter first cited.

(Letter No.50543/S/2003-4 Personnel & Administrative Reforms (S) Department dated 17.3.2004)

(3) Currency of Punishment:

\$ Whenever an Officer is undergoing any punishment, other than Censure, on the crucial date or on the date of consideration, then irrespective of the time of occurrence of the irregularity, his name should be passed over for that panel. If the currency of punishment continues at the time of subsequent consideration for the next panel (s), he should still be passed over on the grounds that an officer should not be considered for promotion or promoted during the currency of any punishment. After the completion of its currency, no punishment should be held, once again, against an official even it falls within the check period of any panel, if it has already been held against the official on any earlier occasion.

\$ (Substituted in Letter No. 52716/S/99-1, Personnel & Administrative Reforms (S) Department dated 1.10.1999).

4. \$\$ It is further clarified that charges framed under rule 17(b) of Tamil Nadu Civil Services (Discipline & Appeal) Rules and any of the punishments awarded after the crucial date and before actual promotion shall also be held against the officer.

\$\$ (Substituted in Letter 67652/S/2002-6 Personnel & Administrative Reforms (S) Department dated 27.8.2003).

5. The currency of punishment imposed in the form of recovery of loss will continue till the loss so caused is recovered in full. As such, in cases where punishment of recovery of loss is ordered the name of that individual should not be included in the panel until the entire recovery of loss is effected.

(Letter No. 52132/S/2000-14, Personnel & Administrative Reforms (S) Department dated 3.3.2003)

6. An order imposing any punishment including withholding of increment takes effect from the date on which the said order is communicated to the concerned Government servant.

Letter No. 28790/S/2001-1, Personnel & Administrative Reforms (S) Department dated 5.7.2001)

(vi) Consideration of adverse remarks:

The performance of the Officer should be assessed as revealed through the Personal File/ Confidential Report over a period of 5 years prior to the crucial date. Any adverse remark relating to a period of 3 years or more during the check period of five years which have not been shown to and acknowledged by the Officer reported upon shall be ignored. Other adverse remarks which have been shown to the Officer and acknowledged by him but not represented against/not expunged on representation should be considered (with reference to subsequent reports, if any) for taking a decision.

(vii) Consideration of persons outside the general line:-

According to the proviso to Rule 9 of the General Rules, a member of a service who has been appointed to another service outside his regular line shall not be permitted to hold membership in the second service beyond five years, if he is to be considered for promotion or for appointment by recruitment by transfer to a higher post in his regular line eventhough he is otherwise qualified under the rules for such promotion or appointment, unless he puts in a fresh services or a minimum period for one year in his post in the former service on reversion from the second service. This should be borne in mind while considering the cases of those outside the regular line.

(viii) Consideration of appoints to posts as per existing statutory rules:-

When temporary posts are newly created and 'ad hoc' rules are yet to be framed for the posts, appointment to such posts can be made on 'ad hoc' basis. However, in the case of posts governed by rules, when any amendments to the existing rules are to be issued promotion or appointment should not be made on 'ad hoc' basis with reference to the proposed amendment to rules but shall be made only with reference to the existing published (notified) rules. Promotion or appointment cannot also be made on the basis of the executive orders seeking to modify the rules, as rules framed under the proviso to Article 309 of the Constitution cannot be modified by an executive order. Any modification to rules should be by amendment to rules, and they will come into effect only when published by notification in the Tamil Nadu Government Gazette. Therefore while selecting candidates for appointment, the claims of contesting candidates have to be weighed with reference to the notified rules and not with reference to executive orders or contemplated changes in rules.

(ix) Appointment of a member to a higher category not to be considered if he had been on leave for three years or more continuously:-

(1) A member of a service who had been on leave for a period of three years continuously for any reason except higher studies or for a period of four years continuously for higher studies shall not be considered for appointment to a higher category either by promotion or by recruitment by transfer unless he has completed service for a period of one year from the date on which he joins duty on return from leave. – vide rule 36(c) of the General Rules for the Tamil Nadu State and Subordinate Services.

(2) All the above aspects shall be considered while weighing the merits and fitness of the officer concerned coming in the zone of selection for appointment to higher posts.

(x) only the terminologies viz. Fit. Not Fit. Deferred should be used while offering their remarks in the proposals for preparation of panels.

(Letter No.31189/S/98-1, Personnel and Administrative Reforms (S) Department, dated 13.7.2000)

(xi) Validity period of Panel:-

According to the provisions contained in Rule 4 of the General Rules, all lists (Panels) prepared for a year shall be displayed in the Notice Board in the Office of the appointing authority.

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The list should also be communicated by Registered Post to all persons concerned whose names are found in the list as well as to persons senior to the junior most person included in the list whose names have not been included in the list. The list so published shall be valid for a period of one year from the date of approval by the competent authority. It shall lapse at the expiry of one year. If the estimate of vacancy for any particular year is nil, a 'Nil' list should also be displayed in the aforesaid manner.

ANNEXURE-II

DEFECTS USUALLY NOTICED CAUSING DELAY IN FINALISATION OF PANELS

1. Non-availability of original papers relating to approval of the previous panels which are required for verifying whether persons overlooked are being considered in the present panel.
2. Non-availability of updated Personal Files. In a particular department, only a certificate for the entire period of service is sometimes put up for consideration to second level post.
3. Non-availability of printed or cyclostyled copy of seniority list communicated/published. In certain departments, typed copy of seniority list alone is furnished. Sometimes only the seniority list of persons in a category one level below the feeder category is furnished.
4. Panels prepared not in accordance with the existing rules but prepared with reference to the amendments proposed but not yet approved by the Government. Panels should be prepared only in accordance with the existing notified rules and not in accordance with the proposed amendments which are yet to be approved by the Government.
5. Non-furnishing of updated Special Rules/Ad-hoc Rules for the posts.
6. Incorrect estimation of vacancies.
7. Inclusion of persons who are outside the regular line for over five years who are not eligible for inclusion in the panel as per proviso to Rule 9 of the General Rules.
8. Furnishing of particulars in obsolete proforma.
9. Incorrect fixation of inter-se-seniority of persons in feeder categories.
All the above defects or irregularities have to be avoided.

ANNEXURE-III

PREPARATION OF ESTIMATES

1. Model form for preparation of estimate of vacancies for promotion/Recruitment by transfer

1.	Total cadre strength	
	(i) Temporary	
	(ii) Permanent	
2.	Number of vacancies on retirements (For 12 months as in para 14 of G.O.Ms.No.603, Personnel and Administrative Reforms (Per.M) Department, Dated 12 th June 1985) (or on the crucial date prescribed in the rules)	
	Note:- If the panel year is over, number of actual retirement vacancies should be taken into account	Note:- As per orders issued in Letter No.67770/2000-1 Personnel and Administrative Reforms (P) Department dated 19.12.2001 and in Letter No.13622/2002-3 Personnel and Administrative Reforms (P) Department dated 22.4.2002 the estimate of vacancies should be for actual vacancies i.e. retirement vacancies and the vacancies caused due to the promotions during the panel period of 12 months.
3.	5 percent leave reserve vacancies with reference to the working strength (Not applicable for direct recruitment.)	
4.	Number of likely promotions	
5.	Number of new posts likely to be sanctioned during the panel period and the Number of posts sanctioned earlier but not included in the previous year estimate	
	Add-	
6.	Number of vacancies to be provided for unexpected contingencies on a staggered scale as indicated in G.O.Ms.No.381, Personnel and Administrative Reforms (Per.S) Dept. Dated 28 th June 1989 (with reference to the actual estimate computing the items from 2 to 5 above) (Not applicable for direct recruitment)	----- -----

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Deduct

7.	Number of posts disbanded during the recruitment year	
8.	Number of vacancies apportioned for direct recruitment	
	Total.	----- -----
9.	Number of persons who have been promoted against leave vacancies and subsequently reverted to the lower cadre from the approved list already drawn-up.	
10.	Number of persons who have been deputed to other posts for a specified period and subsequently revered to the lower cadre for want of vacancy.	

(A copy of the Special Rules relating to the post should be put up in file relating to the estimate of vacancies.)

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2. Model form for preparation of estimate of vacancies for direct recruitment

(The estimate of vacancies should cover a period of one year following the date on which the list of selected candidate is to be communicated by the Commission – vide paragraph 14 of G.O.No.603, Personnel and Administrative Reforms (Per.M) Department, dated 12.6.85. The covering period for the present recruitment is from to.....)

(1)	Total cadre strength (i) Permanent (ii) Temporary	: : :	
(2)	No. of retirement vacancies anticipated to arise	:	
(3)	No. of likely promotions of incumbents of substantive posts	:	
(4)	No. of new posts sanctioned permanent/temporary post retained permanently by obtaining the sanction of the Government from time to time	:	<u>Note:</u> As per the orders issued in Letter No.67770/2000-1, Personnel and Administrative Reforms (P) Department dated 19.12.2001 and in Letter NO.13622/2002-3 Personnel and Administrative Reforms (P) Department dated 22.4.2002 the estimate of vacancies should be for actual vacancies i.e. retirement vacancies and the vacancies caused due to the promotions during the panel period of 12 months.
	<u>Deduct:</u>		
(5)	No. of vacancies to be allocated for appointment on compassionate ground	:	
(6)	No. of posts to be apportioned for other methods with reference to prescribed ratio.	:	
(7)	No. of posts likely to be disbanded	:	
	<u>Actual No. of vacancies apportioned for direct recruitment</u> Col(2)+(3)+(4)+-(5)+(6)+(7)	:	

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Particulars to be furnished to the Commission along with the estimate of vacancies relating to a post

1. Whether governed by Special Rules or Adhoc Rules. If governed by Adhoc Rules, the G.O.number and date in which rules were issued may be stated.
 2. Age/Educational qualification/Experience if any/preferential qualification, if any, prescribed for the post.
 3. Exemptions/Concessions, if any, allowed.
 4. The scale of pay attached to the post.
 5. Whether rule of reservation of appointments applies or not. If applies, the rotation and turn against which candidate should be selected may be stated.
 6. Form in which the selected candidate should submit his certificate of physical fitness and standard of vision required of the selected candidate. (As per G.O.No.34, Personnel and Administrative Reforms (Per.R) Department dated 12.1.83).
 7. Duties and responsibilities attached to the post (to be specified in brief).
 8. The following declaration:-
 - (i) Certified that the extract of rules sent herewith has been prepared up to date and that no amendment so far issued has been omitted to be taken into account.
 - (ii) Certified that the estimate has been arrived at in accordance with the instructions issued by the Government from time to time.
 - (iii) Certified that other than the vacancies reported, no other vacancy is held by temporary (10(a)(i)) candidate.
3. Coverage of 12 months period for working out the estimate.

1.	For promotion from lower post to higher post within the same service	: 12 months from the crucial date.
2.	For direct recruitment	: 12 months from the date following the date on which the Tamil Nadu Public Service Commission should communicate the approved list to the appointing authority –vide the Programme listed in G.O.Ms.No.603, Personnel and Administrative Reforms (Per.M) Department, Dated 12 th June 1985 and instructions in paragraph 14 thereof
3.	For recruitment by transfer	

ANNEXURE – IV**Particulars/Documents to be sent to Government for preparation of panel**

1. Grade or post to which appointment by promotion or by recruitment by transfer is to be made
2. Whether the post is a selection category post or not and the scale of pay attached to the post
3. Year of the panel.
4. Crucial date for preparation of panel.
5. The estimate of vacancies for the post under reference.
6. Whether the posts are within the purview of the Tamil Nadu Public Service Commission
7. Whether the last panel has been exhausted and the persons, if any, not promoted are considered in this panel If not, the reasons therefor?
8. Whether all the persons overlooked in the previous panel are being considered in the panel?
9. (i) Whether all the persons on O.D have been considered for inclusion in this Panel

ANNEXURE – V**Instructions relating to Seniority List**

1. The seniority list should be printed or cyclostyled one, Published and communicated to all the persons concerned (With No. and date of reference in which the list was Communicated)
2. While furnishing the seniority list in the panel files, the following particulars should also be typed against the name of each individuals:-
 - (i) Date of Birth :
 - (ii) Date of superannuation:
 - (iii) Whether he is now in service or whether he has voluntarily retired, resigned, dismissed or removed from service after publication of the list
 - (iv) The post now held by him
 - (v) If the officer has relinquished his right for appointment to the post, state whether the relinquishment was temporary or permanent. (No and date of order of acceptance to be indicated). In case of temporary relinquishment, the date on which the temporary relinquishment would expire should be indicated.
3. Typed seniority list which has not been published/communicated should not be sent or accepted.
 - ii) Details of the persons who are outside the regular line for over 5 years
10. Whether all the eligible persons in all the feeder categories for the post have been considered for this panel.
11. If there is more than one feeder category indicate the scale of pay of each category.
12. Whether rule of reservation is applicable to the post and, if so, to state whether it has been followed?
13. Original of the order approving the previous panel
14. Updated copy of the Special/Adhoc Rules Governing the post (copy) to be furnished)
15. The seniority list covering all the feeder categories for the post should be furnished. If more than one feeder categories, enclose separate seniority list for each category together with combined seniority list. (Instructions regarding Seniority list are given in Annexure-V)
16. Copies of orders of punishments imposed on officer, in the zone of consideration to be added to Sectional Notes.
17. (a) Updated Personal Files/Record Sheets. Where Personal files could not be written for short periods, a certificate of the Heads of Departments that the persons concerned has not come to adverse notice during the concerned period and that no punishment has been awarded should be furnished.

4. PANEL PREPARATION

ANNEXURE – V

Instructions relating to Seniority List

1. The seniority list should be printed or cyclostyled one, Published and communicated to all the persons concerned (With No. and date of reference in which the list was Communicated)
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 - (iv) The post now held by him
 - (v) If the officer has relinquished his right for appointment to the post, state whether the relinquishment was temporary or permanent. (No and date of order of acceptance to be indicated). In case of temporary relinquishment, the date on which the temporary relinquishment would expire should be indicated.
3. Typed seniority list which has not been published/communicated should not be sent or accepted.

ANNEXURE – VI

Brief particulars about the officers to be considered for inclusion in the panel

1. (a) Name and designation of the officer and the scale of pay attached to the post now held
- (b) Classification of Community (S.C/S.T/ B.C/M.B.C/D.N.C/G.T)
- (c) Name of the Community as specified in the General Rules (Except G.T)
(columns (b) and (c) are applicable only for the posts for which rule of reservation is followed for recruitment by transfer to higher posts.)
2. Age and date of birth
3. Date of retirement
4. Educational qualifications, special qualifications if any
5. Training undergone
6. Date of regular appointment, date of completion of probation and total service in the post presently held. If, on O.D Period from which he is on O.D
7. Whether the officer has acquired all the qualifications prescribed in the Special or Ad/hoc Rules for higher posts including previous experience, teaching experience, special training etc on the crucial date.

Crucial Date	Qualifications/ Tests experience etc prescribed	Date of acquiring the qualification/experience etc. and date of passing the test
1	2	3

4. PANEL PREPARATION

8. Whether any charges are pending against the officer and if so indicate the period to which \ charges relate, nature of charges and date from which pending the present stage, Reasons for delay in finalising the disciplinary proceedings stage. whether any appeals are pending and if so the present stage.
 - (a) Extract of charges pending under rules 17 (b) of the Tamil Nadu Civil Services (Discipline and Appeal) rules
 - (i)
 - (ii)
 - (iii)
 - (b) Extract of lapses for which disciplinary action under rule 17 (a) of the Tamil nadu civil Services (Discipline and Appeal) rules have been instituted
9. (a) whether any vigilance or other enquires are pending against the officer and, if so indicate the details thereof nature of irregularities lapses for which he is Proceeded against period to which lapses relate.
 - (b) Present stage of disciplinary Proceedings
10. whether any penalties have been imposed on the officer and, if so, the nature of lapses and penalties imposed and date of imposition of the punishment . Copies of orders imposing punishment should be attached.
 - (a) Whether the penalties have been given effect to, if not, the reasons therefor
 - (b) Whether on suspension or undergoing punishment at the time of consideration.
11. (i) Whether there are any adverse remarks in his personal File and, if so, indicate the details therefor and whether they have been communicated to the individual

4. PANEL PREPARATION

(ii) Resume of Personal file for the last 5 years	From to	Rating	Adverse remarks, if any if there are no adverse remarks put 'nil'; In no case it should be left blank)
	1	2	3

12. Whether the individual has been considered earlier in the last panel, and passed over. If so, the reasons therefore may be indicated.

13. Specific recommendation of the Head of the Department

14. Special remarks of the Secretary to Government of the Administrative Department.

NOTE: - (1) Particulars in respect of persons retired and those whose relinquishment of right for promotion has been accepted and final order accepting such relinquishment have been issued by Government, need not be furnished.

(2) Proforma particulars in respect of persons who have relinquished but whose relinquishment has not been accepted and orders issued by Government should be furnished.

4. PANEL PREPARATION

ANNEXURE – VII

CONFIDENTIAL

Letter No.....Dated:.....

To

Thiru:

(Through Head of Department)

Sir,

Sub: Preparation of panel – Regular / Temporary list for the post of
for 19 – 19 – Non-inclusion of your name – Intimated.

Ref : G.O.Ms.No..... Department,
Dated.....

I am directed to inform you that a regular / temporary panel of officers for the year..... fit for promotion / appointment to the post of..... has been drawn up in the G.O. read above. As specific charges (s) under rule 17 (b) of the Tamil nadu Civil Services (Discipline and Appeal) Rules / its equivalent is / are pending against you / a charge sheet has been filed in a criminal case against you, consideration of your name for inclusion in the panel approved in the G.O read above, has been deferred till the relevant proceedings are concluded. After the disciplinary proceedings / criminal case against you is disposed of, your name will be considered for inclusion of the said panel or otherwise, depending on the result of the disciplinary proceeding / criminal case and the merits of your claim, as per the principles laid down in G.O. (Ms) No.368, Personnel and Administrative Reforms (Per.S) Department, Dated 18.10.93.

Yours faithfully