

Para 'V'

F.No. 4/20/2013-AIS
Union Public Service Commission
Dholpur House, Shahjahan Road, New Delhi-110069
Fax-2378 2049 & 2307 3406

Dated: 02.09.2013

To

The Chief Secretary,
All States

Subject:-Guidelines for dealing with the SCM proposals received from State Govt. ---Introduction of Single Window System reg.

Sir,

The Commission has decided to introduce Single Window System for acceptance of SCM proposals from the State Governments with the objective to ensure receipt of proposals in complete shape, proper scrutiny in time bound manner, and expeditious scheduling of Selection Committee Meetings.

2. The need for review of existing system of accepting SCM proposals by post/ courier, special messenger etc. was being felt since some time as it was found that a number of proposals sent by the State Governments were often deficient and considerable time was lost in getting the same rectified resulting in delay in convening of the Selection Committee Meetings.

3. Common deficiencies/shortcomings which are normally noticed while examining the SCM proposals are as follows:-

- (i) Details relating to changes in Seniority List on account of voluntary retirement/ death/dismissal/removal etc. not reflected in the Seniority List or complete details not intimated.
- (ii) Particulars given in the Eligibility List are found to be at variance vis--vis particulars given in the Seniority List and number of officials included in Eligibility List is not as per the guidelines.
- (iii) The spelling of names of officers in the Eligibility List is at variance with the corresponding spelling in the Seniority List.
- (iv) ACRs are sometimes found to be either incomplete or missing for full year/ part periods.
- (v) Integrity Certificate is not in accordance with the GoI, DoP&T instructions issued in this regard.
- (vi) Non-implementation of Court directions and non-intimation of details of such Court directions which are still pending for implementation in respect of eligible officers.

4. The matter was examined in the Commission keeping in view the identified common deficiencies and it has been decided to ensure scrutiny of SCM proposal at the submission stage itself by adopting the Single Window System and accept only such proposals which do not contain any major deficiency. The existing check list has also been modified suitably.

The operational guidelines of the new Single Window System for acceptance of SCM proposals are as follows:-

- (i) SCM proposals will be sent by the State Government through an officer who is well conversant with the details of the proposal.
- (ii) Officer bringing the proposal may be required to stay up to 1 day or more in Delhi for required clarifications/discussions depending on the size of the proposal and issues involved therein.
- (iii) The State Government will send the officer concerned with the proposal in the **forenoon of Monday/ Tuesday/ Wednesday with prior appointment** with the concerned Under Secretary in the AIS Branch of the Commission. (The list of Under Secretaries concerned and their contact details is enclosed as Annexure-A)
- (iv) SCM proposals complete in all respects will be sent as per the enclosed Revised Checklist and related proforma (Annexure-B).
- (v) All proposals will be received by the Under Secretary concerned, who will ensure complete examination of proposal and discuss the deficiencies with the officer who has brought the proposal.
- (vi) Proposals having Major deficiencies will be returned immediately.
- (vii) Proposals with the Minor deficiencies will be retained with the condition that the State Government will rectify the same within 15 days, failing which proposal will be returned as incomplete, and the State Government will be required to resubmit the same subsequently as a fresh proposal. Identified Major/Minor deficiencies are indicated in Annexure-C.
- (viii) SCM proposals will be examined as per the enclosed revised guidelines (Annexure-C).
- (ix) SCM proposals under the Single Window System will be accepted only up to 31st October of the year.

5. New Single Window System will be implemented with immediate effect. The revised check list and guidelines will be available at the Commission's website at www.upsc.gov.in.

6. It is requested that suitable instructions may kindly be issued to all concerned Departments in the State Government responsible for sending proposals for promotion to IAS/IPS/IFS to ensure submission of all proposals in future as per the revised guidelines prescribed for the Single Window System.

Yours faithfully,

(Shailendra Singh)
Joint Secretary (AIS)
Ph No 011-2338 1439

Copy to:

1. Concerned officers in states for IAS/IPS/IFS
2. The Secretary, DoP&T/MHA/MoE&F
3. OSD to Hon'ble Chairman
4. PSO/Sr. PPS/PPS to Hon'ble Members
5. Staff officer to secretary
6. PPS to Additional Secretary
7. PS to JS (AIS)
8. All officers in AIS division
9. Precedent book

(Shailendra Singh)
Joint Secretary (AIS)

Annexure -A

AIS BRANCH
UPSC

S. No.	Name of the officer	States(for SCM proposals)
1	Sh. Mrityunjay Jha, US. 011-23382724 Sh. D.P Arora, SO. 011-23383877	Himachal Pradesh, Haryana, West Bengal, Policy,
2	Sh. Mrityunjay Jha, US. 011-23382724 Sh. Gautam K., ASO. 011-23383877	Gujarat, Andhra Pradesh, Telangana, Madhya Pradesh, Chhattisgarh
3.	Sh. Shankar Lal, US 011-23070048 Sh. Madhur Bhaskar, ASO 011-23383877	Assam, Kerala, Odisha, Arunachal Pradesh, Goa, UT segment
4.	Sh. Shankar Lal , US 011-23070048 Sh. Pankaj Gupta, ASO. 011-23383877	Meghalaya, Nagaland, Sikkim, Mizoram
5.	Sh. G.C. Saha, US 011-23382724 Sh. Uttam Kumar, ASO 011-23383877	Jharkhand, Karnataka, J&K, Maharashtra
6.	Sh. G.C. Saha, US 011-23382724 Sh. K. Jayarajan, SO 011-23383877	Uttar Pradesh, Uttarakhand, Manipur

S. No.	Name of the officer	States(for SCM proposals)
7	Sh. M.B.R. Nair, US 011-23073406 Sh. Anil Dubey, ASO 011-23383877	Punjab, Rajasthan, Tamil Nadu
8	Sh. M.B.R. Nair, US 011-23073406 Miss. Karishma , ASO 011-23383877	Tripura, Bihar

Annexure -C

Guidelines for dealing with the proposals received from State Governments for promotion of officers of the State Governments to All India Services- Single Window System-reg.

To streamline the processing of proposals received from State Governments for promotion of officers of the State Governments to All India Services the Commission have decided to introduce Single Window System under which the proposals will be dealt in the following manner:

(A) Proposals received under the Single Window System up to 31st October

- (i) SCM proposals will be received from the State Government only through an officer who is well conversant with the details of the proposal.
- (ii) Officer bringing the proposal may be required to stay up to 1 day or more in Delhi for required clarifications/discussions depending on the size of the proposal and issues involved therein.
- (iii) The State Government will send the officer concerned with the proposal in the forenoon of Monday/ Tuesday/ Wednesday with prior appointment with the concerned Under Secretary in the AIS Branch of the Commission.
- (iv) Complete SCM proposals in all respects will be submitted as per the Revised Checklist and related proformae(Annex-I).
- (v) All proposals will be received by the Under Secretary concerned who will ensure complete examination of proposal and discuss the deficiencies with the officer who has brought the proposal.
- (vi) Proposals having Major deficiencies will be returned immediately.
- (vii) Proposals with Minor deficiencies will be retained with the condition that the State Government will rectify the same within 7 days, failing which, proposal will be returned as incomplete and the State Government will be required to resubmit the same in future as a fresh proposal.
- (viii) SCM proposals under the new single window system will be accepted only during 1st January to 31st October of the year and during November/December, proposals will be accepted and processed as per Para 'B' below.

(B) Proposals received during November and December

- (i) The incomplete proposals as per check lists will be returned to the State Governments within three working days.
- (ii) If a proposal received from the State Government is complete as per check list but subsequently found to be deficient on account of major deficiencies viz. documents/information which are crucial and without which the proposal cannot be processed, the same will be returned to the State Government within 15 days of its receipt in the Commission with the request to resolve the deficiencies and submit a fresh proposal thereafter.
- (iii) The proposals which are complete as per check list but subsequently found to be deficient due to minor deficiencies/clarifications, will not be returned but such deficiencies will be brought to the notice of the State Governments within 15 days of receipt of proposal in the Commission and they would be required to furnish clarifications/make up the deficiencies within 15 days of receipt of letter from UPSC. If the clarifications are not received/deficiencies are not made up within the prescribed time limit, the proposals could be returned to the State Governments.

2. The Commission have also defined the major and minor deficiencies as under:-

Major deficiencies	Minor deficiencies
(i) All the columns of the checklist & attached proforma are not filled completely.	(i) Spelling of names of Officers in the Eligibility List is at variance with the spelling in the Seniority List.
(ii) Certificates as per Annexure 3.1, 3.2, 3.3 and 7 are not furnished.	(ii) Any clarifications/additional information required for the proposal.
(iii) In respect of any of the eligible officers, ACRs for one year or more are missing and no certificates indicating valid reasons for their unavailability have been furnished.	
(iv) In respect of any of the eligible officers, part ACRs for one or more than one year are missing and also no certificates indicating valid reasons for their unavailability have been furnished.	
(v) The proposal is deficient due to non-availability of documents/information which are crucial and without which the proposal cannot be processed.	

Para 'VI'

Statement of information/documents required to be furnished to the Commission with the proposal for convening the SCMs for promotion to the IAS/IPS/IFS

1. **Vacancies:** A copy of order of the Govt. of India clearly determining the vacancies for the years for which the Select Lists are required to be prepared.
2. **Seniority List:** A complete and published seniority list of State Civil/Police/Forest Service officers from amongst the promotions are to be made to the IAS/IPS/IFS indicating the date of birth, date of confirmation, status of SC/ST, date of continuous appointment in the qualifying grade of SCS/SPS/SFS etc.
3. **Eligibility List:** Eligibility list (year-wise eligibility lists where applicable) of officers required to be considered by the Selection Committee as per Annexure 3.1 (SCS), 3.2 (SPS) & 3.3. (SFS). Bio Data in respect of Non-SCS officers as per the format in Annexure 3.4. A consolidated statement of Non-SCS officers proposed for consideration of the Selection Committee as per the format in Annexure 3.4-A.
4. **Statement of disciplinary cases/penalties etc:** The latest position of disciplinary/criminal proceedings pending against the eligible officers indicating the brief facts and nature of charges as well as the date of issue of charge-sheet to the officer concerned/date of filing the charge-sheet in the court of law as per the format in Annexure 4.1. In case any of the DE/DP etc. has resulted in the imposition of penalty, the details of such penalties may also be provided as per the format in Annexure 4.2.
5. **Integrity Certificate:** The integrity certificate certifying/ withholding the integrity of the eligible officers duly signed by the Chief Secretary. The reasons for withholding the integrity of the eligible officers may also be indicated alongwith brief details thereto as per the format in Annexure 5.

6. **Adverse remarks/entries in ACRs:** A statement of communication of adverse remarks in the ACRs of the State Service officers and representations against such remarks as per DPAR OM dated 07.07.1981 as per the format in Annexure-6.

7. **ACR dossiers:** Complete ACR dossiers of the eligible officers together with a statement giving the year-wise availability of ACRs to be furnished with the proposal. If some of the ACRs/Part ACRs are not available, a certificate indicating the valid reasons as contained in Govt. of India (DOPT) OM dated July, 1988 may be added in the respective ACR dossiers. A consolidated statement giving the status of Non-availability of ACRs and the reasons thereof may also be furnished to the Commission as per the format in Annexure 7.

8. **Court directions:** A statement of court cases and court orders (interim or final) having a bearing on the Select List indicating the brief facts and the relevance of the court case to the Select List be furnished as per Annexure 8.

9. **Composition of SCM** At the time of meeting a certificate may also be furnished to the effect that the officers of the State Govt. attending the SCM are exactly in accordance with the revised composition of Selection Committee specified in the Regulations of the IAS/IPS/IFS promotion Regulation and these officer are members of an All India Services as per Annexure 9.

10. **No Relation Certificate:** Before the start of the Selection Committee Meeting, the members of the Selection Committee are required to sign a No Relation Certificate certifying that none of his/her close relatives are being considered by the Selection Committee and that he is otherwise also not interested in any particular candidate. The Members of the Selection Committee representing the State Government may be informed of this requirement and a certificate to this effect may also be obtained from them in advance and furnished to the Commission as per Annexure-10.

11. **Contact details:** The name, designation, telephone numbers of the members of the Selection Committee representing the State Govt.

12. **In case of Non-SCS officers** in addition to paras 1, 3 to 10 above, a certificate may also be furnished to the effect that the Non-SCS officers recommended by the State Govt. are of outstanding merit and ability, hold gazetted post in substantive capacity and have completed not less than 8 years of continuous service under the State Govt. on the 1st day of January of the year of the Select List in any post which has been declared equivalent to the post of Deputy Collector in the State Civil Service as per the format in Annexure 11. A copy of the order declaring the equivalence of Non-SCS posts under the State to the post of Deputy Collector may also be furnished.

For all checklists and Performae, please visit 'Forms and Downloads'.