

Chapter 36

Guidelines for maintenance of Personal Files/Service Books

Personal Files

36.1 Personal files should essentially be a collection of authenticated copies of orders and other papers relating to important events in the official career of an individual government servant . Normally no matter should be processed in this file .

36.2 No paper should be placed on a personal file unless it -

- (a) concerns the Government servant;
- (b) relates to an important event concerning his official career or has a direct bearing on it;
- (c) is likely to be required for future reference;
- (d) merits retention for a long period, if not throughout the official career of the Government servant; and
- (e) either dispenses with the need retaining the concerned subject file for long, or facilitates its retrieval.

36.3 An illustrative list of papers that could, with advantage be placed on a personal file is given below:-

1. Application for initial appointment (original)
2. Appointment order/notification
3. Orders regarding relaxation of age or educational qualifications or condonation of break in service.
4. Orders regarding change in date of birth.
5. Orders regarding retirement, quasi-permanency, confirmation, deputation, transfer, promotion, reversion and training .
6. Orders regarding grant of study leave or extraordinary leave.
7. Results of departmental and other tests/examinations.
8. Orders regarding fixation of pay, advance increments, crossing of efficiency bar, awards and prizes.
9. Sanction of house building and car/scooter advances and final withdrawals from G.P. Fund.
10. Letter guaranteeing payment by Government servant of electricity and water charges to appropriate local authority. (Original) surety to C.S. Library and similar guarantee given on behalf of a Government servant



11. Letters sponsoring a Government servant for membership of the Central Secretariat Library (Original).
 12. Court decree regarding attachment of pay (Original)
 13. Orders imposing penalties under CCS (CCA) Rules.(Copies of these orders will also continue to be placed on confidential report dossier).
 14. Warning (Copies will also be placed on the CR Dossier where the warning is the result of regular departmental proceedings or where there is a specific direction to that effect).
 15. Termination or service under CCS (Temporary Service) Rules.
 16. Resignation.
 17. Retirement.
 18. Extension of service.
 19. Re-employment.
- 36.4 As envisaged in the functional file index for establishment and house-keeping sections, personal files will be opened under the primary heading 'personal files' i.e. A-19 for gazetted officers and A-20 for non-gazetted staff and not under any specific subject or functional heading. These personal files will be kept open throughout the official career of the government servant although there would be no objection to a fresh volume being opened as and when the previous volume reaches a size, say, 100 pages requiring to be stitched for keeping it tidy.
- 36.5 The personal file should be distinguished from files opened under the Primary subject/functional heading "movable/immovable property" to deal with property returns and intimations and sanctions regarding financial transactions under the Central Civil Service (Conduct Rules) Although the functional file index visualizes separate files being opened each year to deal with such matters concerning all employees within a particular class, it would be more convenient to deal with such matters on separate files for each official and to keep them open throughout the official career of the government servant. To avoid mix-up of periodical property returns with papers concerning individual financial transactions, each file should consist of the two volumes to store/deal with these two types of papers separately.
- 36.6 Personal files (other than those maintained by cadre authorities) should normally move with the officials concerned on their transfer from office to office.
- 36.7 The documents mentioned against Sl. Nos. 1, 10, 11 and 12 should be transferred in original from the relevant subject files to personal files. In other cases, it should be ensured that the copies of orders being placed on the personal files are properly authenticated (i.e., signed by the Competent Officer). Where spare copies available are not so signed, they should be got attested by the Section Officer.

[G.I. D.P. & A.R. O.M. 28034/35/76-Estt.(A), dated the 19th January,1977]



Service Books:

36.8 A service Book in the prescribed form must be maintained for every Gazetted and non-Gazetted Government servant holding a substantive post on a permanent establishment or officiating in a post or holding a temporary post from the date of his first appointment except in the case of those officiating in posts or holding temporary posts, who are recruited for purely temporary or officiating vacancies not likely to last for more than one year and are not eligible for permanent appointment.

36.8.1 The Service Book must be kept in the custody of the Head of the Office in which the Government servant is serving and transferred with him from office to office

(SR 196, 197)

36.8.2 The Service Book of a Government servant shall be maintained in duplicate. First copy shall be retained and maintained by the Head of office and the second copy should be given to the Government servant for safe custody as indicted below:-

(a) To the existing employees- within six months of the date on which these rules become effective (i.e. 1-7-2005).

(b) To new appointees – within one month of the date of appointment

36.8.3 In January each year, the Government servant shall hand over his copy of the service book to his office for updation. The office shall update and return it to the Government servant within thirty days of its receipt.

36.8.4 In case the Government servant's copy is lost by the Government servant, it shall be replaced on payment of a sum of Rs. 500.

(Rule 257(2), (3) and (4) General Financial Rules, 2005.)

36.8.5. Certificate to be recorded in the Service Book

1. Employee has been medically examined and found fit.
2. His/her character and antecedents have been verified.
3. He/she has furnished declaration of his/her not having contracted bigamous marriage.
4. He/she has taken the oath of allegiance/affirmation to the Constitution
5. He/she has furnished the declaration of home town which has been accepted.
6. The correctness of the entries against the following items of Part-I "Bio-data" has been verified from original certificate furnished as valid documentary evidence for the respective purposes:-
 - (i) Whether a member of Schedule Caste/Tribe?
 - (ii) Date of birth in by Christian era and wherever possible also in saka era (both in words and figures).



- (iii) Educational qualifications:
 - (a) at the time of appointment.
 - (b) subsequently acquired.
- (iv) Professional and technical qualifications not covered by (iii) above

Entries regarding the above will be made at the time of first appointment and attested by the Head of Office or any other officer duly authorized in the behalf. Additions and alterations will also be similarly attested.

- 7. He/she has filed nomination for GPF and the related notices have been forwarded to the Accounts Officer on various dates.
- 8. He/she has furnished details of the family members.
- 9. He/she has filed nomination for Death/Retirement Gratuity.

(G.I. M.F. O.M> No. 3(2)-E IV (A) dated the 14th March, 1976)

- 10. CGEGIS form to be pasted in the Service Book– It has been decided that sufficient copies in Form No. 13, as in the proforma appended should invariably be included in the Service Books of all the existing members as well as the new members admitted to the Scheme hereafter. Every year, in the month of January and at the time of transfer of the members of the Scheme, the Head of Office shall record a certificate as given below, in the Remarks Column (Col. No. (7) of the Form No. 13 over his dated signatures–

“Subscription at the rate of Rs.appropriate to Groupof the Scheme recovered from pay and allowance for the period from January.....to December.....

All other events in the nature of promotion, transfer on deputation/foreign service, absorption in Public Sector Undertakings/Autonomous Bodies, retirement, etc., occurring during the service career of the member of the Scheme, shall also be recorded in the appropriate column (Column No. 6) of Form No. 13 and duly attested by the appropriate authority over his dated signatures.

(G.I. M.F.O.M. No. F.7(17)-E V/89, dated the 26th February, 1990)

Form No. 13

CENTRAL GOVERNMENT EMPLOYEES GROUP INSURANCE SCHEME, 1980

Date of joining Govt. Service	Date of admission to the CGEGI Scheme	Group to which admitted	Rate of monthly contribution	Period		Events with exact date affecting Cols. (3) and (4)	Remarks
				From	To		
1	2	3	4	5	6	7	8



4. Entries to be recorded in the Service Book–
 1. At the time of initial appointment
 2. Occurrence of events involving a change in the post, office, station, scale of pay or nature of appointment, which will include appointment, promotion, reversion, deputation, transfer (including transfer on foreign service), increment, leave, suspension and other forms of interruption in service.
 3. Events like stoppage of increment, enforcement of Efficiency Bar.
 4. Facts of availing Leave Concession either by Government servant or members of his family.

(G.I. M.F. O.M.No. 3(2)-E IV (A), dated the 11th March, 1976)

5. Documents to be placed in Volume-II of the Service Book in the Safe custody of the Head of Office –
 1. Relaxation of age, educational qualifications (authenticated/attested copy).
 2. Report regarding verification of character and antecedents (original).
 3. Medical certificate of fitness (original).
 4. Attested copies of certificates of age and educational qualifications.
 5. Declaration regarding marital status (original).
 6. Oath/affirmation of allegiance to the Constitution (original).
 7. Declaration and acceptance of home town (signed/attested copy).
 8. Nomination for GPF (signed/attested copy).
 9. Nomination for retirement/death gratuity.
 10. Details of family (signed/attested copy).
 11. Exercise of options in service matters (signed/attested copy).
 12. Condonation of break in service (authenticated/attested copy).
 13. Order regarding change of date of birth (authenticated /attested).
 14. Collateral evidence in respect of past service (original).
 15. Change of name (original).

**(G.I. Dept. of Per. & A.R. O.M. No. 28034/35/76-Estt.(A), dated the 19th
January 1977]**

6. Inspection of Service Book by the Government servant–

It shall be the duty of every Head of Office to initiate action to show the Service Book of the Government servant concerned every year and to obtain their signature therein in token of their having inspected the Service Book. A certificate to the effect that he has done so in respect of the preceding financial year should be submitted by him to his next superior officer by the end of every September.

[SR 202]



7. Attestation of entries in the Service Books–

- (i) The Head of the Officer must see that all entries are duly made and attested, and that the book contains no erasure or overwriting, all corrections being neatly made and properly attested. However, the Heads of the Offices are permitted to delegate to subordinate Gazetted Officers under them powers to attest entries in the service Books of all Gazetted Officers (except their own Service Books) for the maintenance of which the Heads of Offices are responsible and to keep these documents in their custody, and to attest entries in the leave accounts. The Head of the Office should scrutinize at least ten per cent of these documents every year and initial the same in token of having done so.

(SR 199 and G.I. M.F. O.M. No. 3(3)-E IV(A)/76, dated the 25th November 1976)

8. Annual verification of service –

At a fixed time early in the year the Service Books shall be taken up for verification by the Head of the Office who after satisfying himself that the services of the Government servants concerned are correctly recorded in each of the Service Books shall record in each cases a certificate in the following form over his signature:-

“Service verified from(date from which the verification is made).....up to(date).

The annual verification of service is intended to ensure that the Head of the Office has satisfied himself that the Government servant’s entire service as recorded in the Service Book, is completely borne out by actual facts. No certificate of verification need be recorded by the Head of the Office in respect of periods of foreign service, if any. The entries made in the Service Book by the Accounts Officer under the provisions of SR 203 will be sufficient for this purpose.

(Rule 257 (i) of General Financial Rules, 2005)

9. Service verification entries to be recorded before transferring Service Book– When a Government servant is transferred from one office to another, the Head of the Office under whom he was originally employed should record in the Service Book under his signature the result to verification of service in respect of the whole period during which the Government servant was employed under him before forwarding the Service Book to the office to which the Government servant has been transferred

If a Government servant is relieved on transfer to another office in the middle of a month and his pay and allowance are drawn in the former office to the end of the previous month, the verification of service should be done only in respect of that period for which the Government servant was paid in the ‘Office in which he was originally employed’ and the verification of service for the remaining period should be done in the office to which he is transferred.



10. Procedure for making entries of foreign service– If a Government servant is transferred on foreign service, the Head of his office, or Department must send his service book to the Accounts Officer concerned. The Accounts Officer (now Pay and Accounts Officer) will return it to the Head of the Office after noting in it, under his signature, the order sanctioning the transfer, the effect or the transfer in regard to leave admissible during foreign service and any other particulars which he may consider to be necessary. On the Government servant's re-transfer to Government service, his Service Book must again be sent to the Accounts Officer, who will then note in it, over his signature, all necessary particulars connected with the foreign service including the fact of recovery of leave and pension contributions. No entry relating to the time spent in foreign service may be attested by any authority other than the Accounts Officer.

(SR 203)

11. Procedure to be followed when benefit of past service is allowed for pension. Under Rule 26(2) of CCS (Pension) Rules 1972, resignation of an appointment to take up, with proper permission, another appointment, whether permanent or temporary service in which counts in full or in part, is not resignation from public service. In such cases, the order accepting the resignation should clearly indicate that the employee is resigning to join another appointment with proper permission and that the benefits under Rule 26(2) will be admissible to him. The contents of the above order should also be noted in the Service Books of the individuals concerned under proper attestation.

(G.I.D. (4) below Rules 26, CCS (Pension) Rules, 1972- Swami's Compilation)

12. Leave Account – A leave account shall be maintained in the prescribed form for each Government servant by the Head of the Office.

(Rule 15, CCS (Leave) Rules, 1972)