

GOVERNMENT OF ASSAM  
DEPARTMENT OF WELFARE OF PLAINS TRIBES AND BACKWARD CLASSES  
DISPUR : : : : : ASSAM

No TAD/BC/68/2011/Pt-I/146

Dated Dispur 29<sup>th</sup> December, 2014

OFFICE MEMORANDUM

**SUBJECT: IMPLEMENTATION OF POST BASED RESERVATION**

Consequent upon the amendments made in the Assam Scheduled Castes and Scheduled Tribes (Reservation in Vacancies and Posts) 1978 and acceptance of recommendations of One Man commission constituted by Govt of Assam vide notification no TAD/BC/68/2011/Pt-I/135 dated 24<sup>th</sup> October, 2013 with Sri Harish Sonowal IAS (Retd) as the Commission to study and acquire quantifiable data on backwardness of Scheduled Castes and Scheduled Tribes, their inadequacy of representation in Govt services and Posts and impact in overall efficiency in public administration, following guidelines have been prescribed in order to implement the post based roster reservation in matter of reservation of posts for Scheduled Castes and Scheduled Tribes (Plains) and Scheduled Tribes (Hills) in direct recruitment and promotions.

**PREPARATION OF ROSTERS**

- 1.1 The Appointing authority shall prepare the respective rosters based on the principles elaborated below and notify the same with the concurrence of Personnel and Welfare of Plains Tribes and Backward Classes Department.
- 1.2 All vacancy based rosters shall now be replaced by Post based rosters. The appointing authority shall prepare a Post based roster for each cadre. While preparing the rosters, the appointing authority shall give effect to the reservation of posts for the Scheduled Castes, Scheduled Tribes (Plains) Scheduled Tribes (Hills) as per the prescribed percentage of reservation as provided in Section 5 (a) of the Act.
- 1.3 The prescribed percentage of reservation as per Section 5(a) ten (10) percent to the STP, seven (7) percent to SC and five (5) percent to STH.
- 1.4 Each category of posts shall be treated as a separate cadre.
- 1.5 The roster shall be prepared for each cadre depending upon the number of posts in the cadre as per the principles underlying the Model 100-point Roster given in the Schedule-I of the Act. A format for preparing roster Register for cadre having more than 13 posts is placed at Annexure-1
- 1.6 In case of small cadres up to 13 posts, the post based roster shall be prepared on the basis of Model 13 Point Roster provided in the Schedule II of the Act. A format for preparing roster Register for cadre having less than 13 posts is placed at Annexure II
- 1.7 There shall be no reservation in single cadre post.
- 1.8 The rosters are to be drawn up by each establishment keeping in mind two fundamental principles - that the reservation for the entitled categories is maintained as per the prescribed percentage of reservation and the total reservation should be for STP, SC and STH in no case exceed 22% of the cadre.
- 1.9 The number of points in each roster Register shall be equal to the number of posts in a cadre.
- 1.10 There shall be separate roster Registers for direct recruitment and for promotions.
- 1.11 These rosters are an aid to determine the entitlement of different categories with regard to the quota reserved for them in matters of appointment and promotion. They are not intended to determine seniority in the cadre.

- 1.12 While a cadre is generally to be constructed as the number of posts in particular grade, for the purpose of preparation of roster, it shall comprise posts required to be filled by a particular mode of recruitment in terms of the applicable recruitment rules. To illustrate, in a cadre comprising 100 posts, where the recruitment rules prescribed a ratio of 50: 50 for direct recruitment and promotions, the roster for direct recruitment shall have 50 points and that for promotion shall have 50 points- thus making a total of 100.
- 1.13 Since reservation does not apply to transfer or transfer on deputation, where recruitment rules prescribe a percentage of posts to be filled by this method, such posts shall be excluded while preparing up the rosters.
- 1.14 At the end of the roster, "squeezing" may have to be done for the reserved categories to reach the respective number of posts to be reserved for them without violating the 22% for SC, STP and STH limit in any cadre or group.
- 1.15 Whenever there is any increase or decrease in the cadre strength, the roster shall be correspondingly expanded or contracted through Govt Notification with the approval of Personnel and WPT & BC Department. The same shall also apply whenever there is a change in recruitment rules which affects the proportion of posts to be filled by a particular mode of recruitment.

### OPERATION OF ROSTERS

- 2.1 At the point of initial operation of the roster, it will be necessary to determine the actual representation of the incumbents belonging to different categories in a cadre vis-a-vis the points earmarked for each category viz. SC/ST/OBC and General in the roster. This may be done by plotting the appointments made against each point of roster starting with the earliest appointee. If the earlier appointee in the cadre happens to be a candidate belonging to the Scheduled Castes against point No. 1 of the roster, the remark "initialised by SC" shall be entered. If the next appointee is a general category candidate, the remark "utilised by general category" shall be made against point No. 2 and so on and so forth till all appointments are adjusted in the respective rosters. In making these adjustments, SC/ST candidates adopted on merit shall be treated as general category candidates.
- 2.2 ✓ In case of small cadres (up to 13 posts), all the posts shall be earmarked on the same pattern as in the post based rosters. Initial recruitment/promotion against these points shall be by the category for which the point is earmarked. Replacement of incumbents of posts shall be by rotation as shown horizontally against the cadre strength as applicable in the Model 13 Point Roster provided in the Schedule-II. While operating the relevant roster, utmost care shall have to be taken to ensure that on no occasion prescribed percentage of reservation of 22% is exceeded. If such a situation occurs at any time that prescribed percentage of reservation exceeds 22%, then the relevant reserved/unreserved point occupying as a result of rotation shall be skipped.
- 2.3 While operating the roster, persons belonging to communities for whom reservation has been made, but who are appointed on merit and not owing to reservation, should not be shown against reserved points. They shall occupy the unreserved points.
- 2.4 After completing the adjustment as indicated above, a tally should be made to determine the actual percentages of representation of appointees belonging to the different categories in the cadre and determine if there is any shortfall of reservation in the cadre.
- 2.5 (i) Shortfall of reservation of a particular reserved category in a cadre means the difference between "the total number of reserved posts for that category in the cadre" and "the number of persons of that category appointed by reservation and holding the posts in the cadre."

- (ii) Backlog reserved vacancies of a category are those vacancies which were earmarked reserved for that category in an earlier recruitment year but remained unfulfilled in the previous recruitment attempt on account of non availability of suitable candidates belonging to that category and still lying unfulfilled.
- 2.6 The appointing authority shall calculate the shortfall of reservation as well as backlog in every cadre and initiate action for filling up the same first before filling up current vacancies of posts.
- 2.7 After all the shortfall and backlogs of reserved posts being filled up, the post based roster shall operate on the principle of replacement and not as a running account as hitherto. In other words, the points at which reservation to different categories applies are fixed as per the roster and vacancies caused by retirement, etc. of persons occupying those points shall be filled by appointment of persons of the respective categories. To illustrate, if a vacancy caused by retirement or promotion to the point occupied by STP, the same shall be filled up by STP candidate.
- 2.8 The existing backlog vacancies shall be considered as vacancies released by recruitment, resignation, promotion etc. of the persons belonging in the reserved categories and the same are to be filled by appointment through direct recruitment or promotion, as the case may be, from the respective categories by special drive so that prescribed percentage of reservation is maintained.
- 2.9 Excess, if any, would be adjusted through future appointments and the existing appointments would not be disturbed.

### SC/ST CANDIDATES APPOINTED ON MERIT:

- 3.1 In case of direct recruitment and promotions, SC, STP and STH who have been appointed on their merit and owing not to reservation should not be shown against reserved quota. They are to be adjusted against unreserved quota.
- 3.2 If any unreserved vacancy arises in a cadre and there is SC, STP and STH candidate within the common zone of consideration in the feeder cadre, such candidate cannot be denied promotion on the plea that the post is not reserved. Such candidate shall be considered for promotion along with other candidates treating him as if he belongs to the general category. In case he is selected, he shall be appointed to the post and shall be adjusted against the unreserved post.
- 3.3 Similarly, SC, ST(P) and ST(H) candidates appointed on their own merit by direct recruitment or promotion and adjusted against unreserved points shall continue to retain their status as SC/ST(P)/ST(H) and shall be eligible to get benefit of reservation in the next or future promotions if any.
- 3.4 Limit of 22% on reservation for SC/ST shall be computed by excluding such reserved category candidates who are appointed promoted on their own merit.

### DERESERVATION:

#### In Direct Recruitment

- 4.1 There shall be no de-reservation of posts belonging to reserved category posts in direct recruitment. If a vacancy to a post belonging to reserved category arises in a particular year and the same cannot be filled up due to non availability of reserved category candidate, the same shall remain unfilled and the post shall be carried over to the next year or till such time the same is filled up by respective categories.

#### In Promotions

- 4.2 If sufficient number of eligible candidates of SC, STP and STH category are not available for promotion against reserved vacancies in a particular year, the vacancies shall remain unfulfilled and shall be treated as backlog vacancies and shall be filled up in the next year.

### RESERVATION IN DIRECT RECRUITMENT AND IN PROMOTIONS IN SMALL CADRES:

- 5.1 When the number of posts in a cadre is 13 or less, the reservation shall be given by rotation and the number of reserved vacancies shall be determined as per L shaped rosters prescribed in Schedule-II of the Act. These L-shaped rosters are nothing but 13- Point rosters wherein reservation shall be provided by rotations.
- 5.2 Appointing authority therefore shall prepare their rosters on the basis of the L shaped reservation points pertaining to the number of posts in the cadre and give effect to appointment by direct recruitment and promotions accordingly.

### DEPARTMENTAL SELECTION/PROMOTION COMMITTEE:

6. Appointing authority shall include a representative of the Department of Welfare of Plains Tribes and Backward Classes not below the rank of Deputy Secretary as a member of the Departmental Selection/Promotion Committee.
7. All administrative departments are requested to initiate immediate action to prepare rosters Registers and operate them according to these guidelines.
8. All existing orders on the subject are deemed to have been amended to the extent herein.
9. These guidelines shall deem to come into effect from the date of issuance of this OM.

### MAINTENANCE OF ROSTER REGISTER OF APPOINTMENT:

10. Appointing authority shall maintain the Roster Register as mentioned in Section 5A (i) of the Amendment Act and as per of the Schedule I and II of the Act in respect of every year beginning on the first January and ending the last day of the December of the year in the proforma furnished in Appendix-I&II separately for direct recruitment and promotion.

### SUBMISSION OF ANNUAL REPORTS:

11. An Annual report showing the position of appointment of candidates belonging to Scheduled Castes, Scheduled Tribes (Plains) and Scheduled Tribes (Hills) both by direct recruitment and by promotion shall be submitted by each administrative Department to the Department of Welfare of Plain Tribes and Backward Classes in the manner herein below:-

- (1) The annual report shall be for the period from first day of January to the last day of December.
- (2) Appointing authority shall send report by the end of February (lates) every year in the proforma showing the total number of Government employees and the number of Scheduled Castes, Scheduled Tribes (Plains) and Scheduled Tribes (Hills) amongst them as on first January of the year and the number of appointments made during the preceding calendar year. The Appointing authority shall report showing the representation of Scheduled Castes, Scheduled Tribes (Plains) and Scheduled Tribes (Hills) in all cadres as on first day of January of the year and particulars of appointment to the various cadres along with the number of Scheduled Castes, Scheduled Tribes (Plains) and Scheduled Tribes (Hills) so appointed during the preceding year.

## LIAISON OFFICERS:

12. The administrative Department shall nominate one Officer not below the rank of Deputy Secretary who shall act as a Liaison officer in respect of matters relating to the representation of Scheduled Castes and Scheduled Tribes (Plains) and Scheduled Tribes (Hills) in all establishments under their administrative control. The Liaison officer shall be responsible for:
- Ensuring compliance by subordinate appointing authorities of the orders and instructions pertaining to the reservation of Scheduled Castes and Scheduled Tribes (Plains) and Scheduled Tribes (Hills) and their benefits admissible to them
  - Ensuring timely submission of Annual reports by each appointing authority under their administrative control and
  - Liaisoning between the respective Department and Department of Welfare of Plains Tribes and Backward classes for furnishing necessary information, answering any queries with regard to matters covered by the reservation Act as and when sought for.
13. All administrative departments are requested to initiate immediate action to prepare rosters and operate them according to these guidelines.
14. All existing orders on the subject are deemed to have been amended to the extent herein.
15. These guidelines shall come into force from the date of issuance of this O.M.

Sd/-

(A. K. Singh, IAS)

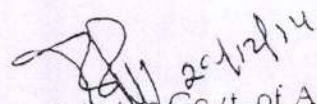
Principal Secretary to the Govt. of Assam,  
WPT & BC Department, Dispur.

Dated Dispur 29<sup>th</sup> December, 2014

Memo. No TAD/BC/68/2011/Pt-L/146-A

Copy to:

- The Chairman, Assam Administrative Tribunal, Guwahati, Assam
- The Chairman, Assam Board of Revenue, Guwahati, Assam
- All Principal Secretaries/Commissioner & Secretaries /Secretaries to the Govt of Assam.
- The Commissioner & Secretary to the Chief Minister of Assam
- The Chief Electoral Officer, Assam, Dispur
- The Resident Commissioner, Govt of Assam, Assam House, New Delhi
- Secretary to His Excellency the Governor of Assam
- All Commissioners of Divisions, Assam
- All Principal Secretaries to the Autonomous Councils
- All Deputy Commissioners
- The Staff Officer to the Chief Secretary of Assam
- All Sub-divisional Officers ( Civil)
- All Heads of Departments /All Departments of the Secretariat
- The Director, Assam Govt Press, Guwahati-21
- P.S to all Ministers/Ministers of State/ Parliamentary Secretaries.
- P.S to all Addl Chief Secretaries to the govt of Assam

  
Deputy Secretary to the Govt. of Assam,  
WPT & BC Department, Dispur

ROSTER REGISTER

1. Name of the post:  
 2. Method of Recruitment: Direct Recruitment / Promotion  
 3. Number of posts in the cadre (Cadre Strength):  
 4. Percentage of Reservation prescribed : SC 7 , ST (P) \_\_\_\_\_ ST (H) \_\_\_\_\_

| Sl. No. | Roster Point No. | Name | Date of appointment | Whether belongs to SC/STP/STH/UR | Filled as UR or as reserved for SC/STP/STH | Remarks |
|---------|------------------|------|---------------------|----------------------------------|--|---------|
| 1       | 2                | 3    | 4                   | 5                                | 6  |         |
| 1.      | UR               |      |                     |                                  |  |         |
| 2.      | UR               |      |                     |                                  |  |         |
| 3.      | UR               |      |                     |                                  |  |         |
| 4.      | UR               |      |                     |                                  |  |         |
| 5.      | ST(P)-1          |      |                     |                                  |  |         |
| 6.      | UR               |      |                     |                                  |  |         |
| 7.      | UR               |      |                     |                                  |  |         |
| 8.      | SC-1             |      |                     |                                  |  |         |
| 9.      | UR               |      |                     |                                  |  |         |
| 10.     | ST(H)-1          |      |                     |                                  |  |         |
| 11.     | UR               |      |                     |                                  |  |         |
| 12.     | UR               |      |                     |                                  |  |         |
| 13.     | UR               |      |                     |                                  |  |         |
| 14.     | UR               |      |                     |                                  |  |         |
| 15.     | ST(P)-2          |      |                     |                                  |  |         |
| 16.     | UR               |      |                     |                                  |  |         |
| 17.     | UR               |      |                     |                                  |  |         |
| 18.     | UR               |      |                     |                                  |  |         |
| 19.     | UR               |      |                     |                                  |  |         |
| 20.     | UR               |      |                     |                                  |  |         |
| 21.     | UR               |      |                     |                                  |  |         |
| 22.     | SC-2             |      |                     |                                  |  |         |
| 23.     | UR               |      |                     |                                  |  |         |
| 24.     | UR               |      |                     |                                  |  |         |
| 25.     | ST(P)-3          |      |                     |                                  |  |         |
| 26.     | UR               |      |                     |                                  |  |         |
| 27.     | UR               |      |                     |                                  |  |         |
| 28.     | UR               |      |                     |                                  |  |         |
| 29.     | UR               |      |                     |                                  |  |         |
| 30.     | ST(H)-2          |      |                     |                                  |  |         |
| 31.     | UR               |      |                     |                                  |  |         |
| 32.     | UR               |      |                     |                                  |  |         |
| 33.     | UR               |      |                     |                                  |  |         |
| 34.     | UR               |      |                     |                                  |  |         |
| 35.     | ST(P)-4          |      |                     |                                  |  |         |
| 36.     | SC-3             |      |                     |                                  |  |         |
| 37.     | UR               |      |                     |                                  |  |         |
| 38.     | UR               |      |                     |                                  |  |         |
| 39.     | UR               |      |                     |                                  |  |         |
| 40.     | UR               |      |                     |                                  |  |         |
| 41.     | UR               |      |                     |                                  |  |         |
| 42.     | UR               |      |                     |                                  |  |         |
| 43.     | UR               |      |                     |                                  |  |         |
| 44.     | UR               |      |                     |                                  |  |         |
| 45.     | ST(P)-5          |      |                     |                                  |  |         |
|         | UR               |      |                     |                                  |  |         |

|      |          |  |  |  |  |
|------|----------|--|--|--|--|
| 48.  | UR       |  |  |  |  |
| 49.  | UR       |  |  |  |  |
| 50.  | ST(H)-3  |  |  |  |  |
| 51.  | SC-4     |  |  |  |  |
| 52.  | UR       |  |  |  |  |
| 53.  | UR       |  |  |  |  |
| 54.  | UR       |  |  |  |  |
| 55.  | ST(P)-6  |  |  |  |  |
| 56.  | UR       |  |  |  |  |
| 57.  | UR       |  |  |  |  |
| 58.  | UR       |  |  |  |  |
| 59.  | UR       |  |  |  |  |
| 60.  | UR       |  |  |  |  |
| 61.  | UR       |  |  |  |  |
| 62.  | UR       |  |  |  |  |
| 63.  | UR       |  |  |  |  |
| 64.  | UR       |  |  |  |  |
| 65.  | ST(P)-7  |  |  |  |  |
| 66.  | SC-5     |  |  |  |  |
| 67.  | UR       |  |  |  |  |
| 68.  | UR       |  |  |  |  |
| 69.  | UR       |  |  |  |  |
| 70.  | ST(H)-4  |  |  |  |  |
| 71.  | UR       |  |  |  |  |
| 72.  | UR       |  |  |  |  |
| 73.  | UR       |  |  |  |  |
| 74.  | UR       |  |  |  |  |
| 75.  | ST(P)-8  |  |  |  |  |
| 76.  | UR       |  |  |  |  |
| 77.  | UR       |  |  |  |  |
| 78.  | UR       |  |  |  |  |
| 79.  | SC-6     |  |  |  |  |
| 80.  | UR       |  |  |  |  |
| 81.  | UR       |  |  |  |  |
| 82.  | UR       |  |  |  |  |
| 83.  | UR       |  |  |  |  |
| 84.  | UR       |  |  |  |  |
| 85.  | ST(P)-9  |  |  |  |  |
| 86.  | UR       |  |  |  |  |
| 87.  | UR       |  |  |  |  |
| 88.  | UR       |  |  |  |  |
| 89.  | UR       |  |  |  |  |
| 90.  | ST(H)-5  |  |  |  |  |
| 91.  | UR       |  |  |  |  |
| 92.  | UR       |  |  |  |  |
| 93.  | SC-7     |  |  |  |  |
| 94.  | UR       |  |  |  |  |
| 95.  | ST(P)-10 |  |  |  |  |
| 96.  | UR       |  |  |  |  |
| 97.  | UR       |  |  |  |  |
| 98.  | UR       |  |  |  |  |
| 99.  | UR       |  |  |  |  |
| 100. | UR       |  |  |  |  |

Signature of Appointing Authority or  
other Authorised Officer

**ROSTER REGISTER**

(Cadres having 13 or less than 13 posts)

1. Name of the post:  
 2. Method of Recruitment: Direct Recruitment / Promotion  
 3. Number of posts in the cadre:  
 4. Percentage of Reservation prescribed: SC \_\_\_\_\_, ST(P) \_\_\_\_\_ ST(II) \_\_\_\_\_

| Sl. /<br>Replacement<br>No. | UR or reserved<br>for SC/ STP/<br>STH | Name | Date of<br>appointment | Whether<br>SC/STP/<br>STH/UR | Filled as L R or as<br>reserved for SC<br>STP/STH | Remarks |
|-----------------------------|---------------------------------------|------|------------------------|------------------------------|---|---------|
| 1                           | 2                                     | 3    | 4                      | 5                            | 6   |         |
| 1                           | UR                                    |      |                        |                              |   |         |
| 2                           | UR                                    |      |                        |                              |   |         |
| 3                           | UR                                    |      |                        |                              |   |         |
| 4                           | UR                                    |      |                        |                              |   |         |
| 5                           | STP                                   |      |                        |                              |   |         |
| 6                           | UR                                    |      |                        |                              |   |         |
| 7                           | UR                                    |      |                        |                              |   |         |
| 8                           | SC                                    |      |                        |                              |   |         |
| 9                           | UR                                    |      |                        |                              |   |         |
| 10                          | UR                                    |      |                        |                              |   |         |
| 11                          | UR                                    |      |                        |                              |   |         |
| 12                          | UR                                    |      |                        |                              |   |         |
| 13                          | UR                                    |      |                        |                              |   |         |
| 14                          | STH                                   |      |                        |                              |   |         |

Signature of Appointing Authority or  
any other Authorised Officer.



**ANNUAL STATEMENT SHOWING THE REPRESENTATION OF SCs, STs AS ON FIRST JANUARY OF THE YEAR..... AND NUMBER OF APPOINTMENTS MADE DURING THE PRECEDING CALENDAR YEAR .....**

1. Name of the Administrative Department:
2. Name of the Subordinate Office/Directorate:
3. Name of the Cadre & Total Cadre Strength:
4. Reservation of post as per prescribed percentage: SC ....., STP ....., STH .....
5. Representation of STP/SC/STH as on 1<sup>st</sup> January SC ....., STP ....., STH .....
6. Number of appointments made during the preceding calendar year .....

| By Direct Recruitment   |                           |    |     |     |
|-------------------------|---------------------------|----|-----|-----|
| Name of Cadre and Grade | Total number of Employees | SC | STP | STH |
| 1                       | 2                         | 3  | 4   | 5   |
|                         |                           |    |     |     |
| By Promotion            |                           |    |     |     |
| Name of Cadre and Grade | Total number of Employees | SC | STP | STH |
| 1                       | 2                         | 3  | 4   | 5   |
|                         |                           |    |     |     |

Signature of Appointing Authority or any other Authorised Officer.

CONSOLIDATED ANNUAL STATEMENT SHOWING THE REPRESENTATION OF SC/ST AS ON FIRST JANUARY OF THE YEAR.....AND NUMBER OF APPOINTMENTS MADE DURING THE PRECEDING CALENDAR YEAR .....

1. Name of the Administrative Department:
2. Name of the Appointing Authority:
3. Total No. of post as per prescribed percentage (all cadres): SC ..... ST (P)..... ST(H).....
4. Representation of ST(P)/SC/ ST(H) (all cadres) as on 1<sup>st</sup> January: SC .... ST(P)..... ST(H)
5. Number of appointments made during the preceding calendar year .....

| By Direct Recruitment   |                           |    |      |     |
|-------------------------|---------------------------|----|------|-----|
| Name of Cadre and Grade | Total number of Employees | SC | ST P | STH |
| 1                       | 2                         | 3  | 4    | 5   |
|                         |                           |    |      |     |
| By Promotion            |                           |    |      |     |
| Name of Cadre and Grade | Total number of Employees | SC | ST P | STH |
| 1                       | 2                         | 3  | 4    | 5   |
|                         |                           |    |      |     |

Signature of Liaison Officer  
(not below the rank of Deputy Secretary)