

**GOVERNMENT OF ORISSA**  
**GENERAL ADMINISTRATION (S.E.) DEPARTMENT**

**Memo. No. 10918(110)-P.R.O**

To

**All Departments of Government**  
**All Heads of Departments**  
**All Collectors.**

Bhubaneswar, dated the 23 rd November 1987

**Subject** :-Confidential Character Rolls of Gazetted employees of the Government procedures for their record, maintenance, communication of adverse remarks and disposal of representations.

The question of prescribing a set of instructions for maintenance of the Confidential Character Rolls of the Gazetted Officers of the State Government has been under the consideration of the Government for a long time. Various administrative instructions have been issued by the Government from time to time in the past. In supersession of all previous instructions, it has now been decided that the following procedure will be followed for the record and maintenance of the confidential character rolls of gazetted Government servants, for communication of the adverse remarks and disposal of representations against them.

1.The C.C.Rs. Will be maintained in General Administration (S.E) Department for all gazetted Government servants in quadruplicate. The original copy should not be removed from the office having custody of it except when required by the Orissa Public Service Commission/Union Public Service Commission. The other copies may be used by the concerned Departments for purposes of promotion, selection crossing of E.B., etc., when specifically so required.

2. The C.Rs. shall be recorded in the forms prescribed by the Government for the purpose from time to time.

3. The minimum period for recording remarks in the C.C.R. of an officer shall be three months in a year. A superior officer or authority should not record his marks about a subordinate's work unless he has seen it for a minimum period of three months.

4. There shall ordinarily be three levels of assessment by the officers/authorities designated by Government from time to time.

5. The Reporting Officer shall initiate the C.C.Rs immediately after the close of the year to which the C.R relates and submit it in quadruplicate to the Countersigning Officer by 30<sup>th</sup> April. The Countersigning Officer will record his assessment of the Officer, reported upon, and send it to the Accepting Authority; In case no Accepting Authority prescribed it should be sent to the Deputy Secretary in G.A.(S.E) Department by the end of May. The Accepting Authority will record his remarks and send the C.Rs. to the Deputy Secretary, G.A (S.E) Department by end of June positively.

6. It shall be the responsibility of the Accepting Authority to despatch the complete reports of the officers under his control direct to the G.A (S.E.) Department. In case no Accepting Authority has been prescribed, this responsibility will be of the Countersigning Officer.

7. All Departments/Heads of the Departments will review the progress and ensure that the Confidential Character Rolls, complete in all respects, are sent by the respective Accepting Authorities to G.A.(S.E.) Department in time so as to avoid delay in promotion, crossing of E.B. and other service benefits.

8. The C.C.R should comment generally on the way in which the officer has carried out his various duties during the period and should give an assessment of his personality, character and abilities, making particular mention of his relations with his fellow officers and general public. It should also contain an assessment of performance and abilities briefly and intelligently, as required in the form.

9. While recording the remarks, the following points may be kept in view:

- (i.) A clear mention should be made of the period or periods, with dates, to which the report of the Reporting Officer and the Countersigning Officer relates. The period should not be mentioned as six months, eight months etc.
- (ii.) The name of the officer reported upon should be correctly written in full, with number if any assigned to him. It should not be written in an abbreviated manner leaving scope for confusion.
- (iii.) The designation of the officer reported upon, the date of appointment to the post held, and the place of posting should be indicated.
- (iv.) The name and designation of the Reporting and Countersigning Officers should be indicated legibly in block letters or with a rubber stamp below their signatures on the reports.
- (v.) In case where the report is not to be recorded as the officer reported upon was on leave, under suspension or worked for less than three months under the officer concerned, a suitable certificate to that effect may be recorded in the C.C.R folder with "No remarks" and sent to the G.A.(S.E.) Department for completion of the C.C. Roll dossier.
- (vi.) Where for any reason it is not possible to obtain remarks of any designated officer on account of his retirement, death, etc., the reasons may be recorded briefly on the report itself to avoid further correspondence. It is not necessary to mention this in the forwarding letter.
- (vii.) Where, for any reason, it is not possible to have the remarks of the reporting officer because of his retirement, death or transfer without seeing the work of the officer reported upon for three months or more, the remarks may be recorded by the Countersigning Officer direct. In such cases, period served under the Countersigning Officer direct, In such cases, period served under the Countersigning Officer should be clearly mentioned.
- (viii.) At times the remarks are written either in pencil or illegibly. This must be avoided. The remarks should be recorded in ink legibly and as far as possible type-written.

- (ix.) Report on each officer is to be furnished in quadruplicate. In some cases, it is found that the Countersigning Officers record their remarks in one copy only. In such cases remarks may be furnished duly attested in other copies.
- (x.) While recording remarks on the work of the Officers for a year ( or a part there of subject to the minimum period of three months) the Reporting Officers should confine themselves to the facts within their knowledge or base their remarks on reliable reports relating to that year/period only.

10.(i.)The Reporting Officers and Countersigning Officers may recorded their specific remarks relating to disposal of audit objections and paras, on the work of such officers as are entrusted with disposal of audit objections etc. Good work done to clear up audit objections and back-log of D.C. bills may be specially reported in the respective column under the head “disposal” and “general remarks”.

(ii)Reports like “remarks for the previous years hold good” should be avoided. Specific remarks on the work of an officer for a particular period should be recorded instead of mentioning that remarks for the previous year hold good for the said period.

(iii) While recording remarks some officers quote instances of defects from inspection notes and other reports, and the remarks so recorded tend to become stereotyped. Government lay emphasis on the desirability of recording general remarks in the C.C.R. briefly and intelligently which should contain a just, balanced and objective appreciation of the performance of an officer during the period. Therefore-

- (a) General remarks touching on the qualities for defects of an officer should be brief, unambiguous, precise and based on personal knowledge and reliable data;
- (b) Instances of good or bad work need not be quoted in general report unless in any particular case it is considered necessary to do so;
- (c) Vague and sweeping criticism about the Officers’ conduct and performance should be avoided while recording general remarks as this serves no really useful purpose;
- (d) The Reporting/Countersigning/Accepting Authorities should avoid use of such extreme expressions in the C.C.R. as illustrated below:-

A dangerous officer, a deed work’ a headache to administration; an useless officer, A jewel, an asset, a gem.

11. An entry should be made in the Character Roll of a Government Servant in respect of approved courses of study or training undergone by him at institutions in India or abroad. It is desirable that the Character Roll of an officer should contain a complete record of his experience and accomplishment.

The following procedure should, therefore, be adopted in such cases:

- (i) When an officer attends an approved course of study or training, the fact of his having done so should be entered in his Character Roll.
- (ii) The reports received from the Heads of the institutions should be placed in the character roll.

- (iii) An entry about the report submitted by the officer on his work abroad should also find mention in the character roll if it is outstandingly good or his of poor quality indicating that the officer has not made good use of his period of study or training.
- (iv) Awarding of a medal for meritorious and distinguished service should be recorded the C.C.R in order to indicate his capabilities and achievements.
- (v) No letters of appreciation from persons who, in the normal course, have access to the C.C.R of the officers should be issued. In such cases the Ministers or officers concerned may keep a note of the good work done and enter it in the C.C.Rs. at the time of recording annual remarks.
- (vi) Letters of appreciation issued by Special bodies such as Commissions or Committees may be taken into account, but each one must be judged on individual merit. This cannot, however, be made a general instruction for all Commissions or Committees. It must apply only to Commissions or Committees appointed by the Government. Opinion and views of non-official are not to be recorded.
- (vii) All punishments awarded on any delinquent Government servants duly proceeded against, whenever the punishment is one of the penalties specified in Rule 13 of the Orissa Civil Service (Classification, Appeal and Control) Rules, 1962 should be placed in the C.C.R. of the Officer concerned.
- (viii) A warning is issued to an officer mainly to help him to remove any defects of faults which may have come to notice. If the matter ends merely with the issue of a warning-verbal or written-such warning will not be placed in the C.C.R.
- (ix) The Reporting Authorities, however, may mention any particular faults or defects in the annual confidential report for which a warning was given, as the annual report is a general assessment of the whole year's or minimum period's work.
- (x) The reporting authorities should mention the date of suspension and proceedings, the progress of proceedings and suspension in the confidential report of the officer while forwarding their C.C. Rs at the end of each year. When the officers are acquitted and proceedings are disposed of otherwise, the fact may also be brought on record in the C.C.Rs. at the appropriate time, That is, soon after the conclusion/disposal of the proceedings.
- (xi) The Orissa Ex-Servicemen (Recruitment to State Civil Services and Posts) Rules, 1985 stipulates reservation of 15 percent of vacancies for S.Cs., 23 percent for S.Ts, 3 percent for physically handicapped persons and 3 percent for Ex-Servicemen Resolution, dated the 18<sup>th</sup> November 1985 stipulates reservation of 1 percent of vacancies arising in a year in each of the categories of Class II, Class III Services posts and in Class IV posts filled by direct recruitment for sports men. It is observed that the above reservations are often honored in breach than in adherence. Significant deviations from the above stipulation by any officer should be reflected in the C.R. of the Officer concerned.
- (xii) It is observed that there has been inordinate delay in disposal of disciplinary proceedings. Those who delay enquires will render themselves liable to adverse entry in the C.R.

12.1 The report about integrity of an officer should be invariably made in the C.C.R. while filling in the column "assessment of integrity". Every Government Servant holding a supervisory post shall take all possible steps to ensure integrity and devotion to duty of all Government servants serving under his control and authority. He should keep note of instances which create suspicion about the integrity of a subordinate and action to verify the truth of such suspicions should be taken expeditiously by making confidential enquiries departmentally or by referring the matter to the Head of Department or Secretary of the Department for inquiry by vigilance or any other authority. At the time of recording the annual confidential report, such materials may be utilized for filling the column about integrity. If the column is not filled on account of the unconfirmed nature of the suspicion, further action should be taken in accordance with the following Sub-paragraphs:

(i) The column pertaining to integrity in the Character Roll should be left blank and a separate secret note about the doubts and suspicions regarding the officers integrity should be recorded simultaneously and followed up.

(ii) A copy of the secret note should be sent together with the Character Roll to the next superior officer who should ensure that the follow up action is taken with due expedition.

(iii) If, as result of the follow up action an officer exonerated his integrity should be certified and entry made in the character roll. If suspicions regarding his integrity are confirmed, this fact can also be recorded and communicated to the officer concerned.

(iv) There are occasions when a Reporting Officer can not, in fairness to himself and to the officer reported upon, either certify integrity to make an average entry, or even be in possession of any information which would enable him to make a secret report to the Head of the Department. Such instances can occur when an officer is serving in a remote station and the reporting officer has not had the occasion to watch his work closely, or when an officer has worked under the Reporting Officer only for a brief period or has been on long leave, etc. In all such cases the Reporting Officer should make an entry in the integrity column to the effect that he has not watched the officer's integrity. This would be a factual statement to which there can be no objection. But it is desirable that a superior officer should make all reasonable efforts to form definite judgement about the integrity of those working under him as early as possible.

(v) There may be cases in which after a secret report/note has been recorded expressing suspicion about an officer's integrity, the inquiries that follow do not disclose sufficient material to remove the suspicion or to confirm it. In such a case the officer's conduct should be watched for a further period and in the mean time, he should, as far as practicable be kept away from positions in which there are opportunities for indulging in corrupt practices.

12.2. "Authorities while recording remarks in the C.C.Rs. do not sum up their overall assessment of the officers reported upon. As a result, comparison of their inter se merit by Selection Committees becomes all the more difficult. It is, therefore, essential that while recording remarks the Reporting/Reviewing/Accepting Authority should sum up their assessment on the work of the officer into one of the following grades, "outstanding", "very good", "good", "average", "below average". An Officer should not be graded outstanding unless exceptional qualities and performances have been noticed. Grounds for giving such a grade should be clearly brought out in the C.C.R".

13. C.C.Rs. of all gazetted Government servants under all Heads of Departments of State Government shall be maintained in G.A.(S.E.) Department.

No. copies of the C.C.Rs. or originals shall be kept or retained elsewhere.

14. In complete reports containing only the remarks of the Reporting Officers without the observations of the C.O. or the A.O. are often received in G.A.(S.E) Department. Considerable delay

occurs in the process of obtaining remarks of the concerned Countersigning Officers. Such incomplete reports will not be accepted henceforth in the G.A.(S.E.) Department. Confidential reports complete in all respects are to be sent to the G.A.(S.E.) Department.

15. All Departments should send the names of officers immediately on fresh appointment or retirement to the G.A.(S.E.) Department. Names of officers who have resigned or have been discharged from service should also be reported.

16. Special Establishment Branch, G.A Department shall bring out an annual list of Department-wise pending C.C.Rs. which have not been received. The pending list should be sent to concerned departments and Heads of Departments for immediate cross-check. On receipt of the list from the Special Establishment Branch, Administrative Heads of Department shall immediately intimate G.A.(S.E.) Department the source from which the wanting remarks are to be collected along with the names of the Reporting and Countersigning Officers. They shall also cause the wanting C.C.Rs. to be furnished to the G.A.(S.E.) Department within a specified time frame.

17. While sending the charge reports at the time of transfer the officers should clearly give their full name in bold letters below their signature in the charge reports. A copy of the charge report of all gazetted Officers shall be sent to the G.A (S.E) Department.

18. C.C.Rs. of officers on deputation to foreign service are to be written by their foreign employers and such other authorities, as prescribed.

19. Remarks in respect of probationers given by the Head of the training institute shall form a part of the C.C.R.

20(i.) Reporting Officers should not write the confidential reports on his subordinate who happens to be his close relative. The administrative authority may take care that, to the extent possible, a close relative of an official is not placed under the direct charge of that official where the latter has to write the C.R of the former.

(ii) Should such a situation become inescapable, it should not be allowed to continue beyond the barest minimum time possible.

(iii) In such a situation, the employee should abstain from writing the annual confidential report of the employee who is his close relative and instead, the countersigning officer should take on the role of the reporting officer also.

(iv) If a similar relationship exists between the countersigning officer on one hand and the officer reported upon on the other, the same would apply in respect of the countersigning officer and the role of the countersigning officer also would be transferred to the Accepting Authority.

(v) In a case of this nature, where there is any doubt, it would be incumbent upon the reporting officer to consult the next higher authority before he writes the confidential report.

21. If no remarks are received within two years from the last date of the year to which the C.C.R. relates it will be presumed no remarks are to be recorded and a note of "No remarks" will be kept in the C.C.R folder of the respective officers.

22. (a) Even though different dates have been prescribed for recording of remarks at different levels and for their submission to proper quarters, the time schedule is not adhered to with the result that in several cases the reporting authorities retire without recording remarks on the work of officers working under them.

(b) Delay in recording remarks defeats the main purpose of annual appraisal. On the other hand, it is likely to give an incorrect picture of the work and conduct of the officer. This may also give rise to

serious complications and even cause miss-carriage of justice. In view of the importance of the maintenance of up-to-date confidential reports for proper personnel administration. C.C.Rs. of all gazetted Officers should be recorded and sent to the G.A.(S.E.) Department by the end of June every year without fail.

© Non-submission of C.C.Rs. in time would result in entry to that effect in the C.C.Rs. of such officers, who may also be liable for displeasure of Government.

23(i.) The C.C.Rs. after their receipt in the Special Establishment Branch shall be subject to scrutiny by the end of December and all adverse remarks including those on integrity and morality should be communicated directly to the officer concerned by the Special Establishment Branch.

(ii) It is, however, not necessary to communicate the defects to an officer on the verge of retirement as he is not expected to rectify them at the fag end of his career.

(iii) The question whether a particular remarks is an adverse remark or not shall be decided by G.A.(S.E.) Department.

(iv) Remarks of the Countersigning Officer shall prevail over that of the Reporting Officer. Similarly the remarks of the Accepting Authority shall prevail over those of the Countersigning Officer. Adverse remarks recorded by the Reporting Officer are wiped away if these remarks have been counterbalanced by the Countersigning Officer. Ordinarily remarks like 'a good officer', a very good officer, 'an excellent officer', or 'an outstanding officer', recorded by a higher officer shall be deemed to counterbalance the adverse remarks recorded by reporting/countersigning officer; in such cases, therefore, the question of communication of any remarks will not arise. General remarks like 'Work Satisfactory' and 'average officer' would not, however, counterbalance specific adverse remarks recorded by Reporting Officer/Countersigning Officer.

(v) Where there are remarks of more than one Countersigning Officer and there is divergent assessment, the remarks of the Countersigning Officer, who is more senior of higher in position, shall prevail.

(vi) Experience shows that the remarks of the previous year do not reach the Special Establishment Branch even by December. Due to delay in receipt there is delay in review and there is corresponding delay in communication of adverse remarks if any, to the concerned officer. The intension of communication of adverse remarks is to benefit the officer before he is reported upon for the succeeding year. This will again cause the delay in the representation, if any, by the concerned officer. Thus all such delay would have a snow-balling effect, it is, therefore, emphasized that C.Rs should be sent according to prescribed time schedule.

24. For communication of adverse remarks:-

(i.) In respect of Heads of Departments. D.O. Letters communicating adverse remarks should be signed by an officer not below the rank of Additional Secretary to Government.

(ii) In respect of other Class I officers, D.O. letters communicating adverse remarks should be signed by an officer not below the rank of Deputy Secretary to Government.

(iii) In respect of Class II officers, D.O. Letters communicating adverse remarks should be signed by an officer of the rank of Under-Secretary to Government.

25 (i) It is expected that the officers should profit by communication of adverse remarks rather than regard them as matters for argument and dispute.

Representation against adverse remarks will not ordinarily be entertained as the very purpose of such communication is to enable the officer to know his failings, to rectify them and the officer should profit by this. Representations should, therefore, not be encouraged unless there are facts to the contrary to rebut the adverse remarks.

(ii) A representation against adverse remarks should be objective, well reasoned, and couched in decorous language. It should be furnished in quadruplicate addressed to the authority competent to dispose of the representation (i.e. Special Secretary, G.A Department in respect of Class-II officers and the Chief Secretary in respect of Class I officers) within a period of six months from the date of communication. It will be liable to summary rejection if reasonable and satisfactory explanation for delay beyond the period of six months is not given in the representation itself.

(iii) The order passed on the representation shall be final and the officer making the representation shall be informed suitably. However, this will not be a bar for presentation of one memorial addressed to the Governor of the Chief Minister within a period a six months from the date of communication of the decision on the representation.

(iv) A second representation or a second memorial shall not in any circumstances be entertained.

(v) A representation or a memorial shall not be submitted in installments nor shall it be bulky or voluminous. Irrelevant information and copies of notes, correspondences, inspection and audit report, etc. are sometimes attached to representations and memorial. This should not be done.

(vi) Representations/Memorials have also been received in bound volumes. This tends to cause delay and confusion. Bulk does not lend weight to merits of a case.

(vii) Any representation/memorial which is not properly addressed or is illegible or unintelligible or contains language which in the opinion of Government is disloyal,. Disrespectful or improper or casts aspersions on the authorities recording remarks or on authorities deciding the representation, should be summarily rejected.

(viii) A memorial will be liable to summary rejection if it is against an order communicated to the memorialist more than six months before the submission of the memorial without any satisfactory explanation for the delay.

(ix) Copy on any representation/memorial received from any other quarter than those stipulated above will be seriously viewed and construed as an attempt by the representationist/memorialist to exert extraneous pressure and influence for disposal of the representation/memorial.

(x). If a representationist/memorialist has made any allegations in his representation/memorial against any authority recording adverse remarks, he may be called upon to substantiate the same. And in the event of his failure to do so, he would render himself liable to disciplinary proceedings.

26. Upon receipt of representation, the author of the adverse remarks communicated may be asked to substantiate or to furnish his comment on the representation.

It may not be possible to cite specific instances as a proof of the observations or assessment in the C.C.R. recorded by reporting authorities if such observations are of a general nature.

Substantiation reports and comments on the representations are invited to facilitate disposal of representations and it is the duty of the author of the adverse remarks to furnish them. If he does not do so, then displeasure of Government may be communicated by the authorities competent to decide the representation. And such communication of displeasure may be kept in the C.C.R. dossier of the author of the adverse remarks.

27. The representations are referred to the Administrative Departments for comments of the Secretary of that Department on the basis of his over all knowledge of the background in which the representationist and the authors of adverse remarks worked during the relevant period. Whenever comments by the Administrative Departments are sought by G.A. (S.E). Department it is expected that the Secretary of the Administrative Department shall himself deal with the case and give his comments/opinion, if any. Officers other than the Secretary in the Administrative Department shall not examine or comment upon the representations. The Secretary of the Administrative Department shall ensure that nobody else has access to such files or references.

28. (i) While recommending the names of officers to O.P.S.C/U.P.S.C and other institutions and organizations such as Corporations etc. inside or outside the State, the Department concerned may obtain the C.C.R of concerned officers from the G.A(S.E) Department and send those to the said institutions.

(ii) While making reference to the O.P.S.C Form-A (Form for supply of information while making reference to the O.P.S.C. in case of promotion to posts and services) should be used. Item-6 of the form relating to the C.C.R. may be filled up and sent to the O.P.S.C. after required information regarding up-to-date position of the C.C.Rs. collected from the Special Establishment Branch.

29. Confidential character rolls should be preserved for a period of 5 years from the date of retirement, resignation and dismissal or discharge.

In the case of deceased Government servants, the period of preservation shall be one year from the date of death.

Thereafter such C.C.Rs. shall be destroyed under the authority and supervision of the Deputy Secretary (S.E) and a record shall be kept of such destruction.

30. The circulars as noted at Appendix 'A' are hereby rescinded.

**N. K. PANDA**

*Chief Secretary*

