

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

Memo. No. – 3076/ P.R.O

To

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

Bhubaneswar, dated the 19th May 04

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

The Rules of Business have been already amended to whereby maintenance of Confidential Character Rolls of all Group-B Officers of the Govt. shall be henceforth dealt by the respective Administrative Departments or the Heads of Departments (in respect of whom they are appointing authority). Govt. have also been pleased to direct that formulation of policy and interpretation of rules in respect of matters relating to collection and maintenance of Confidential Character Rolls of all Groups of officers including the officers of All India Services serving under the State Govt. shall be dealt in the G.A(SE) Department. To streamline recording of the CCRs, their maintenance, communication of adverse remarks and disposal of the representation if any, it has been decided that the following instructions shall be followed-

1.The C.C.Rs. of all Group-B Government servants shall be maintained in concerned Administrative Departments/Heads of Departments to which they belong in quadruplicate. The original copy should not be removed from the office having custody of it except when specifically required by the Orissa Public Service Commission /Union Public Service Commission /Courts. The other copies may be used by the concerned Administrative Department/Heads of Department for purpose of promotion, selection, crossing of E.B., etc. No Copies of the C.C.Rs or original shall be kept or retained else where.

2. The C.C.Rs. shall be recorded for each financial year or part thereof in the forms prescribed by the Government for the purpose from time to time. C.C.Rs for two or three years should not be recorded in one form. Separate forms should be used for each financial year or part thereof.

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/her remarks about a subordinate's work unless he/she 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.(i) Each Head of Office will collect the requisite CCR formats from the Director, Printing, Stationery and Publication, Orissa, Cuttack in the month of February every year and send these to the Group-B Officers working under his/her control after filling part-I of the CCR formats with instructions to re-submit the same after duly filling in his/her self assessment in all columns in part-II by 30th April each year. The Officer reported upon, may also initiate his/her Self Assessment, in case he/she does not receive the blank form from the Head of the Office by end of March each year. He/she may use the photocopies of the concerned blank form or may download the concerned ACR format from the website of the G.A Department (www.orissagov.nic.in/ga/gamain.htm). Reporting Officer thereafter shall initiate the CCRs in part-III &IV immediately and submit it in quadruplicate to the Countersigning Officer by 30th June . The Countersigning Officer will record his/her countersigning remarks in part-V of the format and send to the Accepting Authority by the end of July. The Accepting Authority will record his/her remarks in part-VI and send the complete CCR to the concerned Administrative Departments/Heads of Departments to which the Officer reported upon belongs by the end of August positively. Where no Accepting Authority has been prescribed it is the responsibility of the Countersigning Officer to send the CCR to concerned Administrative Departments/Heads of Departments . It is the responsibility of the Reporting Officer, Countersigning Officer and Accepting Authority to ensure that the columns have been duly filled in by the officer below. Each transmission of CCR from the officer Reported Upon to the Accepting Authority shall be accompanied by a forwarding letter with a copy to the Section/Branch responsible for maintenance of CCRs in the Administrative Departments/Heads of Departments . This will ensure that the Administrative Departments/Heads of Departments is able to track the movement of CCRs across the recording chain.

(ii) The officer reported upon, Reporting Officer and Countersigning Officer shall be personally responsible for receipt of CCRs by the respective Reporting Officer, Countersigning Officer and Accepting Authority within the above time schedule. In case the Officer Reported Upon fails to submit his/her Self – Assessment by 30th April, the Reporting Officer will initiate the ACR in a blank

format without waiting for the Self-Assessment to reach him. Similarly, if the Reporting Officer does not submit the ACR by 30th June to the Countersigning Officer, the latter, without waiting for the remarks of the Reporting Authority, will fill up the details in Part III & IV (meant normally for Reporting Officer) & simply sign in Part V (meant normally for Countersigning Officer) and submit the CCR to the next higher level. If the ACR formats are not received by 30th July by the Accepting Authority, the latter will have the liberty of recording final remarks in Part VI of the format without waiting for the ACR format from the Countersigning Officer.

(iii) Reporting Officer/Countersigning Officer/Accepting Authority shall be competent to write the CCRs of his/her subordinate officers within one month after his/her retirement from service, if he/she is a Government servant and in other case within one month from the date on which he demits office.

6. All Administrative Departments and Heads of Departments shall track the recording and submission of CCRs across the recording chain and ensure that the Confidential Character Rolls, complete in all respects, are sent by the respective Accepting Authorities to the concerned Administrative Departments/Heads of Departments to which the officer Reported Upon belongs in time so as to avoid delay in promotion, crossing of E.B. and other service benefits. In order to bring discipline in recording, they must keep reminding the concerned Officer/Authority to record remarks by the scheduled date. The section/branch of the Administration Departments/Heads of Departments responsible for maintenance of CCRs will send blank forms of the concerned officers to the Reporting Officer/Countersigning Officer/Accepting Authority, as the case may be, if the CCR format are not received by the scheduled date from the lower level in the recording chain. They would be able to track this through the forwarding letters being sent to them.

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

8. 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.

(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 Officer 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” by the section/branch responsible for CCRs in the Administrative Departments/Heads of Departments 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/her 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/Countersigning Officer because of their retirement, death or transfer without seeing the work of the officer reported upon for three months or more, the CCR may be initiated by the Countersigning Officer/Accepting Authority as the case may be directly. In such case, period served under the Countersigning Officer/Accepting Authority 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 be type-written.

(ix)Report on each officer is to be furnished in quadruplicate. If Countersigning Officers/Accepting Authority 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 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.

9. (i.) The Reporting Officers and Countersigning Officers may record 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) General remarks touching on the qualities for defects of an officer should be brief, unambiguous, precise and based on personal knowledge and reliable data;

(iv) 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.

(v) Vague and sweeping criticism about the Officers’ conduct and performance should be avoided while recording general remarks as this serves no really useful purpose.

(vi) The Reporting/Countersigning/Accepting Authorities should avoid use of such extreme expressions in the C.C.R. as illustrated below:-

A dangerous officer, a dead wood, a headache to administration; an useless officer, a jewel, an asset, a gem.

10. 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/her 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/her having done so should be entered in his/her Character Roll.

(ii) The reports received from the Heads of the institutions should be placed in the character roll.

(iii) Awarding of a medal for meritorious and distinguished service should be recorded in the C.C.R in order to indicate his/her capabilities and achievements.

(iv) 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.

(v) 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.

(vi) Oral warning shall not be placed in the CCR. Written warning or communication of displeasure shall be placed in the CCR if there is a specific order to that effect, such order should be of the Appointing Authority or Authorities above him.

(vii) 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.

(viii) 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.

11.1 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/her 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 suspicion regarding the officers integrity should be recorded simultaneously and followed up.

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

(iii) If, as a result of the follow up action an officer is exonerated his/her integrity should be certified and entry made in the character roll. If suspicions regarding

his/her integrity are confirmed, this fact can also be recorded and communicated to the officer concerned.

(iv) There are occasions when a Reporting Officer cannot, in fairness to himself and to the officer reported upon, either certify integrity or make an adverse 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 occasion to watch his/her 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/she 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 judgment 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 meantime, he/she should, as far as practicable be kept away from positions in which there are opportunities for indulging in corrupt practices.

11.2. Reporting Officer/Countersigning Officer/Accepting Authority while recording remarks in the C.C.Rs. 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.

11.3. The Countersigning Officer should clearly indicate in their assessment whether they agree with the remarks and rating given by the Reporting Officer. If they feel that Reporting Officers remarks should be modified or toned down, a clear indication to that effect should be given along with the reasons for such modification or toning down. These instructions would apply to the Accepting Authority also. If the Reporting Officer and Countersigning Officer have given conflicting assessments Accepting Authority has to indicate clearly with whom he/she agrees.

12. Incomplete reports containing only the remarks of the Reporting Officers without the observations of the Countersigning Officer or the Accepting Authority will not be accepted. Confidential reports complete in all respects are to be sent to the concerned Administrative Departments/Heads of Departments .

13. Administrative Departments/Heads of Departments shall bring out an annual list of pending C.C.Rs, which have not been received by 30th September every year. A copy of the annual list of pending CCRs should be transmitted to G.A (SE) Department by 31st October each year. The pending list prepared by the Administrative Departments should be sent to the concerned Heads of Departments for immediate cross-check. On receipt of the list from the Administrative Departments, Heads of Departments shall immediately intimate Administrative 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 concerned Administrative Department within a specified time frame.

14. 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 Group-B Officers shall be sent to the C.C.R Section / Branch of the concerned Administrative Departments/Heads Departments.

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

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

17(i.) Reporting Officers should not write the confidential reports on his/her subordinate who happens to be his/her 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/her 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/she writes the confidential report.

18. (i) When Reporting Officer/Countersigning Officer/Accepting Authority(any or all) are not available to record remarks on the ground of suspension / long leave / retirement / demitting office / death / invalidation, the Administrative Departments / Heads of Departments may record a certificate to that effect on the CCR format and transmit the same to the next higher level for recording remarks.

(ii) No Remarks Certificate(NRC) may however be recorded by the Administrative Departments/Heads of Departments as the case may be under the following circumstances.

(a)Suspension/long leave/retirement/demitting office/death/invalidation of the officers/authority in all the three level of recording chain at the time the CCR formats are transmitted to these level by the previous officer/authority in the chain by the Administrative Departments/Heads of Departments .

(b)Where the Officer reported upon works for less than three months under each officer/authority in the recording chain.

(c) Where the Officer reported upon is on leave or under suspension. (In these case NRC will be for the period he is on leave or under suspension)

(d)Where the Officer reported upon is on deputation to Foreign Service such as international organization or NGOs.

19 (i.) The C.C.Rs after their receipt in the concerned Administrative Departments/Heads of Departments shall be subject to scrutiny and all adverse remarks including those on integrity and morality should be communicated directly to the officer concerned by the concerned Administrative Departments/Heads of Departments within two months of the receipt of the CCR in the Administrative Departments/Heads of Departments.

(ii) The question whether a particular remarks is an adverse remark or not shall be decided by the concerned Administrative Departments/Heads of Departments .

(iii) Adverse remarks means a remarks which indicates the defects or deficiencies in the quality of work or performance or conduct of an Officer but does not include any word or words of advisory nature such as “ needs improvement” etc which are in nature of counsel or advise to the Officer. Advisory remarks need not be communicated as they are deemed to have been communicated to the officer during the course of the year.

(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 or the Accepting Authority. Adverse remarks will be treated as counter balanced only if the Countersigning Officer or the Accepting Authority specifically indicates that he/she does not agree with the author of the adverse remarks. However, if the overall grading of the officer is “Very Good” or “Outstanding”, the adverse remarks shall be deemed to have been counterbalanced and they need not be communicated.

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

20. For communication of adverse remarks:-

D.O. Letters communicating adverse remarks should be signed by an officer authorised by the Administrative Department/Heads of Department.

21 (i) 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. Secretary of the Administrative Department) within a period of 45 days of receipt of such communication. For good and sufficient reasons the Government may entertain the representation within 3 months of the expiry of the said period.

The representation against adverse remarks is to be disposed of within 6 months of receipt of such representation.

(ii) 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 Chief Minister within a period of six months from the date of communication of the decision on the representation. The Administrative Department concerned will process the representation/memorial for obtaining order of the competent Authority.

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

(iv) 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.

(v) Representations/Memorials shall not be submitted in bound volumes. This tends to cause delay and confusion. Bulk does not lend weight to merits of a case.

(vi) 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.

(vii) A memorial will be liable to summary rejection if reasonable and satisfactory explanation or delay beyond the period of 6 months is not given in the memorial itself.

(viii) Copy of 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.

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

22. (i) Upon receipt of representation, the author of the adverse remarks may be asked to substantiate or to furnish his/her comment on the representation.

(ii) 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.

(iii) 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. Such communication of displeasure may be kept in the C.C.R. dossier of the author of the adverse remarks.

23. 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

24. 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 Officer not below the rank of Deputy Secretary and a record shall be kept of such destruction.

25. Formulation of policy and interpretation of rules in respect of matter relating collection and maintenance of CCRs shall remain with the G.A(SE) Deptt.

26. Book Circular No-48 regarding procedure for recording Confidential Character Roll of Specially Declared Gazetted Officers and their maintenance issued in G.A(S.E) Department Memo No.7480(120)-SE Dated.31.10.1990 is hereby rescinded .

T. K. Pandey
Special Secretary