

Book Circular No. 46
GOVERNMENT OF ORISSA
GENERAL ADMINISTRATION(S.E) DEPARTMENT

Memo. No. 741-PRO-11/81-(SE)

To

ALL DEPARTMENT OF GOVERNMENT
ALL HEADS OF DEPARTMENT
ALL COLLECTORS

Dated the 5th February 1982

Subject:- Confidential Character Rolls of non-gazetted employees of the Government-Procedure 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 non-gazetted officers of the State Government has been under the consideration of Government for a long time. Certain instructions have been issued by Government in the past, but they do not cover all aspects of the matter. In supersession of these instructions, it has now been decided that the following procedure will be followed for the record, and maintenance of C.C.Rs of non-gazetted Government servants and for communication of adverse remarks and disposal of representations against them.

- For whom needed (i) Confidential Character Rolls shall be maintained for all non-gazetted Government Servants other than the Class IV employees. These shall be maintained in duplicate. The original copy should not be removed from the office having custody of it and the duplicate copy is meant for circulation for purposes of promotion, selection, crossing of E.B., etc.
- Custody of C.Rs. (ii) The C.C.Rs. will be maintained in the office of the appointing authority. A responsible officer under him should be put in charge of the C.C.Rs. by the appointing authority. It will be the responsibility of that officer to ensure their safe custody, timely receipt and review. He will also be responsible for communicating adverse remarks in time, processing representations and communicating final decisions.
- Report Period (iii) Character Rolls will be maintained financial year wise and the report period will be from 1st April to the 31st March. No remarks should be recorded in the C.C.Rs. before 31st March except in the event of transfer of the officer recording the comments or the employee himself.
- Levels of assessment (iv) There shall ordinarily be three levels of assessment-Reporting Authority, Countersigning Authority and Accepting Authority. The reporting authority is the officer who is in immediate supervision and control of the employee and he will initiate the C.C.Rs. The supervisory officers above him who have occasion to observe and inspect the work of the employee will function as countersigning authorities and the accepting authority will be the Head of the Department or office as the case may be. In the case of non-gazetted staff working in the Secretariat, the Section Officers under

whose immediate supervision they function, will be the reporting authorities and the countersigning authorities will be the Assistant Secretary/Under-Secretary or Deputy Secretary/Joint Secretary as the case may be. The accepting authority will be Secretary of the Department. For each category of non-gazetted staff working in other offices these authorities will be defined and listed out in a schedule by the Heads of Department and circulated to all officers under their control. The levels of assessments may not be less than two or more than three.

Date lines or submission of C.Rs.

(v) The reporting authority shall initiate the C.C.R. immediately after 31st March and submit it in duplicate to the countersigning authority by 30th April. The countersigning authority will record his own assessment and forward it by 15th May to the accepting authority. The accepting authority will record his assessment and forward the C.C.Rs to the appointing authority by 31st May. When the C.C.Rs are written in the midst of the report period as a result of transfer, it is expected that the C.C.Rs. will reach the office of the appointing authority within two months from the date of transfer.

Deployment List of staff.

(vi) In order to ensure that the above time-limits are strictly adhered to and to facilitate collection of C.C.Rs from all sources, it shall be the duty of the appointing authority to maintain a deployment list of staff working under his control and circulate it to all officers under his control. This list should be updated every year before 31st March and changes which are ordered in between should be intimated to all concerned.

Certificate of reasons for not recording remarks.

(vii) If for any reason, the C.C.R. of an employee is not recorded for a certain period due to leave, suspension, training etc., the reporting officer should record a certificate to that effect and forward it to the appointing authority under intimation to the countersigning authority and accepting authority.

Forms

(viii) Confidential remarks should be recorded in the forms prescribed for this purpose. For Assistants of the Secretariat and for other non-gazetted employees of the Secretariat, two forms were prescribed earlier in Book Circular No.37 issued under the Home Department Memo No.922(9)/C, dated the 20th April 1962 and Home Department, Special Section Letter No.1733(21), dated the 21st March 1963. These forms need some modifications. Forms I and II appended to this Circular will be used for Assistants and other non-ministerial staff (other than Personal Assistants and Stenographers) of the Secretariat respectively. For Stenographers and Personal Assistants, the forms prescribed in the Home Department Special Section Memo. No.3438(77)/C., dated the 21st March 1964 may continue to be used. These forms may adopted with slight modifications as may be necessary for non-gazetted office staff in other offices also. As regards to non-gazetted field staff, suitable forms will be prescribed by the Heads of Departments having regard to the nature of duties assigned to each category of employees.

Minimum report period

(ix) Confidential remarks should be based on the assessing authority's personal knowledge of the employee's work and conduct. A minimum observation period of four months would be required for an officer to form a reliable opinion about the work of a subordinate. It is, therefore, expected that an officer should not normally record his assessment unless he has watched the performance of the employee for at least four months. However, if some specially good work has been done in a shorter period, there is no bar to mentioning it in the C.R.

What C.R should cover

(x) In the case of all employees, confidential remarks should cover the employee's physical and mental fitness; knowledge of rules and procedure pertaining to the work entrusted to him; promptness in carrying out instructions; sense of discipline;

responsibility and devotion to duty; official conduct; relation with colleagues and superiors; fitness for promotion or other assignments and over-all rating. In the case of ministerial officers, the quality of drafting and noting, maintenance of routine and ability to handle cases should be commented upon. In the case of non-ministerial office staff, the assessment should be with regard to the quality and outturn of the work assigned to them. In the case of non-gazetted field staff, the assessment should cover the quality and effectiveness of touring and relations with the public, particularly the ability to deal with their complaints and demands with tact and promptness.

Integrity

(xi) All Government servants are expected to maintain a high standard of integrity and controlling authorities are expected to ensure that their subordinates measure up to this expectation. Reporting Officers should, therefore, keep special watch on the integrity of their subordinates and record the result of their observation in the column meant for the purpose. The tendency to leave this column blank should be avoided. If any criminal prosecution has been started against the employee or he has been proceeded against departmentally for lapses which raise doubts about his integrity the brief facts leading to such action, together with the outcome, should also be given against this column.

Ephemeral
C.R

(xii) In order to ensure that the assessment is factual and unbiased, the reporting authorities may maintain an ephemeral character roll in which instances of both good and bad work/conduct may be noted as and when they come to their notice together with the remedial measures taken by them in case of defects. Supervisory officers are expected to acquaint their staff with any shortcoming as soon as they become aware of it, so that it is rectified at the earliest. The aim should be to get the defects rectified during the report period itself instead of enumerating them in the C.R. at the end of the report period. The action taken in this regard will be noted against the appropriate column in the C.R. form.

Assessment
by C.O. and
higher
authority

(xiii) The countersigning authorities should clearly indicate in their assessment whether they agree with the remarks and rating given by the R.O. If they feel that the R.O.'s remarks should be modified or toned down, a clear indication to that effect should be given. These instructions would apply to the accepting authorities also. If the R.O. and C.O have given conflicting assessments, the accepting authority has to indicate clearly with whom he agrees.

Communic
ation of
adverse
remarks

(xiv) The C.Rs on receipt, will be scrutinized in the office of the appointing authority and all adverse remarks will be communicated to the employee by the officer entrusted with the maintenance of C.Rs. The purpose of communication is to ensure that the employee rectifies the defects at the earliest. Hence, the utmost priority should be given to communication of adverse remarks. All such communications should normally issue before 31 st December immediately following the report period.

Representation
against adverse
remarks

(xv) The employees are expected to profit by the communication of adverse remarks and should not regard them as matters of argument. Hence representations against adverse remarks should not ordinarily be entertained. But in cases where the impugned remark is obviously the result of a mistake on the part of the assessing authority, the representation may be entertained and considered. Representations should be factual and courteously worded and should not be argumentative.

Authority
competent to
entertain
representations

(xvi) The representations will be generally disposed of by the appointing authority. Where, however, the representation is against the remarks of the appointing

authority himself, it will be disposed of by the next higher authority. In such cases, the representations should be forwarded to the authorities as indicated below:-

Author of adverse remarks

Authority competent to dispose of the representations.

District Officer
Divisional/Range Officer
Head of Department
Secretary of a Department

Divisional/Range Officer
Head of Department
Secretary of the Department
Chief Secretary or
Additional Chief Secretary in
charge of the Department

Consultation with the author of adverse remarks

(xvii) The authority competent to dispose of representations may consult the officer, who recorded the adverse comments and ask him to substantiate his remarks, but he is not expected to wait indefinitely for his opinion. Only a month need be allowed. When substantiation reports are called for from an officer, copies of the C.R in question and the representation will be forwarded to him.

Disposal of representations

(xviii) If on examination of the representation, it is found that the remarks should be expunged, modified toned down, necessary corrections to that effect will be made in C.R. under proper attestation. If it is found that the representation has no merit, it should be rejected. The decision in either case will be intimated to the representationist.

Time-limits for receipt and disposal of representations

(xix) All representations must be filed within a period of six months from the date of receipt of communication. In exceptional cases, however, where the reasons for delay are explained to his satisfaction, the competent authority may extent this period, which in no case should exceed one year. Representations should ordinarily be disposed of within three months from the date of receipt.

Memorials against decisions on representations

(xx) Not more than one memorial to Government will lie against any decision on a representation against adverse entries in the C.R. Such memorial must be filed within six months from the date of decision appealed against.

Cancellation of earlier orders

2. The following circulars issued in the past are hereby rescinded.

- (i) Home Department G.O. No. 5103-10-A, dated 13-7-1937
- (ii) Home Department G.O. No. 5353-59-A., dated 1/13-8-1940
- (iii) Home Department Memo. No. 11235(67)/A., dated 23-7-1953
- (iv) Home (Appointment) Department G.O.No.3759/C., dated 18-12-1958
- (v) Home Department(Special Section) G.O. No. 672 (59)/C., dated.17-3-1962
- (vi) Book Circular No.37 issued in Home Department (Special Section) Memo. No.922 (19)/C., dated 29-4-1962.
- (vii) Home Department (Special Section) Memo. No. 1912 (19)/C, dated 19-7-1962
- (viii) Home Department (Special Section) G.O.No. 3826 (13)/C., dated 14-12-1962

- (ix) Home Department (Special Section) G.O.No. 1733 (21)/C., dated 21-03-1963
(x) Home Department(Special Section) G.O. No. 3817 (21)/C., dated 10-6-1963.

3. These instructions may be brought to the notice of all Officers under your control.

C. NARAYANSWAMY

Special Secretary to Government
General Administration Department

Memo. No. 742-SE

Dated the 5th February 1982

Copy forwarded to the Principal of all Educational Institutions/all S.Es./all Settlement Officers/
all District Veterinary Officers/all District Inspector of Schools/ all District Agriculture Officers/
Principal of all Medical Colleges/ all C.D.M.Os/ all S.D.Os (civil)/all D.I.Gs. Of Police/ Managing
Director and Chairman of all Corporations and Boards for information and necessary action.

Receipt of this Book Circular may kindly be acknowledged.

A. N. Das

Deputy Secretary to Government

CHARACTER ROLL OF SECRETARIAT ASSISTANTS

Name :
 Designation :
 Department :
 Branch :
 Section :
 Date of joining in the present grade :
 Date of joining in the Section :
 Year :

I. Itemised Report by Section Officer :

- (a) State of Health :
- (b) Attendance and discipline :
- (c) Clearance of routine :
- (d) Noting :
- (e) Drafting :
- (f) Disposal :
- (g) Knowledge of rules and procedures :
- (h) Ability to deal with cases :
- (i) Integrity :

II Steps taken to point out defects, if any, with result.

III General Remarks (official conduct, fitness for promotion or other assignments overall rating etc).

Signature.....

Date.....

IV. Remarks by Assistant Secretary/Under-Secretary or other superior officer.

Signature.....

Designation.....

Date.....

V. Remarks by the Secretary :

Signature.....

Date.....

VI . Date of communication of adverse remarks, if any (with initials of communicating officer).

CHARACTER ROLL OF NON-MINISTERIAL STAFF(OTHER THAN P. As./ STENOGRAPHERS) OF THE SECRETARIAT

Name..... :
Designation..... :
Department..... Branch..... Section.....
Date of joining in the present grade.....:
Date of joining in the present post :

- I. Itemised report by Section Officer :
(a) State of health :
(b) Attendance and discipline :
(c) Promptness in carrying out instructions.....
(d) Maintenance of routine (with reference to the work allotted).....
(e) Knowledge of rules (with reference to the work allotted).....
(f) Outturn and quality of disposal (with reference to the work allotted).....
(g) Integrity.....

II. Steps taken to point out defects, if any, with results.....

III. General remarks (official conduct, fitness for promotion or other assignments, over-all rating).....

Signature.....
Date.....

IV. Remarks by Assistant Secretary/Under-Secretary or other superior officer.....

Signature.....
Designation.....
Date.....

V. Remarks by Secretary.....

Signature.....
Date.....

VI. Date of communication of adverse remarks if any, with initials of communicating officer.

