

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

Memo. No. 1200/ P.R.O Bhubaneswar, Date.26.04.2006

To

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

Subject: Guidelines for recording of Performance Appraisal Report for Group 'B' Officers of State Government replacing the current system of Confidential Character Rolls(CCRs).

The current system of management of Confidential Character Rolls (CCR) faces a number of problems. Long formats requiring appraisal from different authorities, system of recording and communicating adverse remarks and monitoring of transmission of CCRs at various levels have been identified as major weaknesses resulting in large pendencies in the CCRs affecting effective performance appraisal and timely promotions. Considering these problems the Government has decided to introduce wide ranging reforms in the CCR management system. The main object of the reform measure is to improve the capacity of the administrative machinery to better measure performance of the civil servant. Accordingly, detail guidelines are issued as follows:-

1. The nomenclature of the report will be changed from Confidential Character Roll(CCR) to Performance Appraisal Report(PAR in short). The PAR will be a Confidential document.

2. Custody of PARs:

The PARs of Group B Government Officers shall be maintained in concerned Administrative Department/Head of Department (in respect of whom they are appointing authority). The original copy should not be taken away from the office having custody of it except when specifically required by the Orissa Public Service Commission /Union Public Service Commission /Courts. The attested photo copies may be used by the concerned Administrative Department/Heads of Department for purpose of promotion, selection, etc and returned to the PAR branch of the concerned Administrative Department/Head of Department at the earliest possible.

3. Report Period:

- (i). The PARs shall be recorded for each financial year or part thereof in the forms prescribed by the Government (**Annexure-A**). PARs for two or more years should not be recorded in one form. Separate forms should be used for each financial year or part thereof (Please also refer to 6 below)
- (ii) The minimum period for recording remarks in the PAR of an officer shall be four months in a year. The higher authority should not record her/his remarks about a subordinates' work unless she/he has seen it for a minimum period of four months.

Explanation:-

- (i) For computing the period of four months, leave taken or training program attended for a continuous duration of less than thirty days shall be ignored.

4. Level of Assessment

There shall ordinarily be three levels of assessment (excluding self assessment) the appraiser by the authorities designated by Government from time to time – the Reporting Authority, Reviewing Authority & Accepting Authority as given in the schedule of instruction.

5. Initiation of PAR recording process by Appraiser / Reporting Authority Reviewing Authority /Accepting Authority.

- (i) PAR will be initiated by the appraiser [she/he may download the form from the website (www.orissa.gov.in/ga/ccr/ccr.htm) or may use photocopy] within one month of the conclusion of the financial year, or the change of Reporting Authority due to either the transfer of the appraiser or of the Reporting Authority. The appraiser shall send PAR form filling up self appraisal portion (Part I & Part II) to the Reporting Authority with a copy to the PAR branch of the concerned Administrative Department/Head of Department. (Please also refer to para 6 and 7)
- (ii) In case of default by the appraiser, the PAR (with Part-I filled up and Part-II blank) will be sent to the Reporting Authority by PAR branch of the concerned Administrative Department/Head of Department. On the margin of Part III of PAR remarks "Appraiser did not submit PAR on time" should be recorded.
- (iii) Reporting Authority after recording his remarks within the time prescribed, will send the PAR to the Reviewing Authority with a copy of the filled up PAR to the PAR branch of the concerned Administrative Department/Head of Department.
- (iv) In case the Reporting Authority does not send the PAR to the Reviewing Authority within time prescribed, PAR (with or without self assessment as the case may be) shall be sent to the Reviewing Authority by PAR branch of the concerned Administrative Department/Head of Department. Remarks on margin of Part III "Reporting Authority did not submit PAR on time" will be recorded by the PAR branch of the concerned Administrative Department/Head of Department. The Reviewing Authority will record his remarks within one month without awaiting the remarks of the Reporting Authority. In case Reviewing Authority receives the filled up PAR from the Reporting Authority after having received a copy of the PAR from the PAR branch of the concerned Administrative Department/Head of Department, and after having recorded his remarks on the PAR, the remarks of the Reporting Authority will be disregarded. The Reviewing Authority will send the concerned copy of PAR received from the Reporting Authority to the PAR branch of the concerned Administrative Department/Head of Department. The PAR branch of the concerned Administrative Department/Head of Department will destroy the concerned copy of PAR belatedly filled up by Reporting Authority.
- (v) On receipt of PAR from Reporting Authority, within the specified time Reviewing Authority will record his remarks within the time prescribed. He will send the PAR to the Accepting Authority with a copy to the PAR branch of the concerned Administrative Department/Head of Department.
- (vi) In the case of Reviewing Authority not submitting PAR on time, the PAR branch of the concerned Administrative Department/Head of Department will send the copy of (with or without assessment of appraiser or Reporting Authority) PAR to the Accepting Authority.

- (vii) Accepting Authority will record his remarks within the time prescribed and send it to the PAR branch of the concerned Administrative Department/Head of Department. In case the Accepting Authority receives the filled up PAR from the Reviewing Authority after having received the copy of PAR from PAR branch of the concerned Administrative Department/Head of Department, and after having recorded his remarks, the provisions of foregoing clauses (iv) of Para 5 will *mutatis mutandis*, apply.
- (viii) If as per the Schedule of Instruction, there are more than one Reporting Authority/Reviewing Authority (called Co-Reporting/Co-Reviewing Authorities), then the appraiser will submit the PAR to the 1st Reporting Authority within the time prescribed who will transmit the PAR after recording his remarks to 2nd Reporting Authority within 30 days of the receipt. The 2nd Reporting Authority will attach additional copy of only part-III of PAR format following the 1st Reporting remarks and then write his remarks in the attached sheet within 30 days of receipt of PAR. Thereafter she/he will send the PAR to the Reviewing Authority. The same process shall be followed *mutatis mutandis*, if there are more than one Reviewing Authority except that normally remarks should be made within 15 days of the receipt of the PAR.
- (ix) When Reporting Authority/Reviewing Authority (any or all) are not available to record remarks on the ground of suspension / long leave / retirement / demitting office / death / invalidation/ long term training/for not having seen the work of the appraiser for four months or more, the appraiser shall submit the PAR(with part I & II filled up) direct to the Reviewing Authority/Accepting Authority with a copy to the concerned PAR branch of the Administrative Department/Head of the Department.

6. Time table for transmission of PAR

The time table for writing of PAR in different situations will be as follows:-

Time table for PAR recording

Sl. No	Type of case	By Appraiser (in Part I & II of PAR)	By Reporting Authority (in Part III of the PAR)	By Reviewing Authority (in Part IV of the PAR)	By Accepting Authority (in Part V of the PAR)
1	2	3	4	5	6
1.	PAR at the end of financial year	30 th April	30 th June	31 st July	31 st August
2.	PAR in the event of transfer of the appraiser or transfer of the Reporting Authority	Within 30days of the relinquishment of charge by appraiser or the Reporting Authority	Within 60 days of the receipt of the PAR from appraiser	Within 30 days of the receipt of the PAR from Reporting Authority	Within 30 days of the receipt of the PAR from Reviewing Authority
3.	PAR in the event of retirement of appraiser	During the last month before her/his retirement.	-do-	-do-	-do-

Sl. No	Type of case	By Appraiser (in Part I & II of PAR)	By Reporting Authority (in Part III of the PAR)	By Reviewing Authority (in Part IV of the PAR)	By Accepting Authority (in Part V of PAR)
1	2	3	4	5	6
4.	PAR in the event of retirement of Reporting Authority	-do-	Within 30 days of retirement	-do-	-do-
5.	PAR in the event of demitting of office by Reporting Authority	During the last month before her/his demitting.	Within 30 days of demitting office	-do-	-do-
6.	PAR in the event of retirement of Reviewing/Accepting Authority	No special PAR other than those mentioned for cases 1-5 above needs to be initiated in this case	No special PAR other than those mentioned for cases 1-5 above needs to be initiated in this case	Within 30 days of retirement of Reviewing Authority only on the PARs usually due as in 1-5 above	Within 30 days of retirement of Accepting Authority only on the PARs usually due as in 1-5 above
7.	PAR in the event of demitting of office by either Reviewing Authority or Accepting Authority	No special PAR other than those mentioned for cases 1-5 above needs to be initiated in this case	No special PAR other than those mentioned for cases 1-5 above needs to be initiated in this case	Within 30 days of demitting of Reviewing Authority only on the PARs usually due as in 1-5 above	Within 30 days of demitting of Accepting Authority only on the PARs usually due as in 1-5 above
8.	Default by appraiser (Not submitting PAR within time prescribed)	--	Within 30 days of receipt of PAR from PAR branch of concerned Admn.Deptt/HOD.	Within 30 days of receipt from Reporting Authority.	Within 30 days of receipt from Reviewing Authority
9.	Default by Reporting Authority (Not submitting PAR within time prescribed)	--	--	To write Part IV of PAR within 15 days of receipt of PAR from PAR branch of concerned Admn.Deptt/HOD	Within 15 days of receipt from Reviewing Authority
10.	Default by Reviewing Authority (Not submitting PAR within time prescribed)	--	--	--	To write Part V of PAR within 15 days of receipt of PAR from PAR branch of concerned Admn.Deptt/HOD
11.	In case of Co-Reporting/Co-Reviewing Authority as per the Schedule of Instruction	Please follow instruction as given in Para 5(viii) above			

Explanation :-

- (i) A minister will not be deemed to have demitted office if he continues in the same Council of Ministers holding a different portfolio as a result of a reshuffle of the Council of Ministers or if the Council of Ministers resigns and another Council of Ministers take over in which the same Minister, if included, holding the same or a different portfolio.

- (ii) However, the Minister will be deemed to have demitted office if the Council of Ministers is reconstituted as a result of fresh elections, even if the Minister who was in the earlier Council of Ministers finds a place in the new Council of Ministers with the same or a different portfolio.

7. Monitoring of PAR movement.

- (i) In the transmission record of the PAR, which is the integral part of the PAR format(first two pages), details of transmission of PAR form at different levels – Appraiser, Reporting Authority, Reviewing Authority, Accepting Authority(including Co-Reporting Authority/Co-Reviewing Authority) will be noted .
- (ii) The persons handling the PARs in the office of the appraiser (or appraiser on her/his own), Reporting Authority, Reviewing Authority will record the transmission details in the Transmission Record page of the PAR(page 1 & 2 of the PAR).Before the PAR in original is sent to the next level, photocopy of the PAR completed till date(including the first two pages) will be sent to the PAR branch of the concerned Administrative Department/Head of the Department along with a covering letter (appended as **Annexure-B**). Such persons will be liable to ensure that the PARs are filled up by the concerned Authority within the prescribed time limit.
- (iii) The Accepting Authority after recording his remarks in the relevant part will send the PAR to PAR branch of the concerned Administrative Department/Head of the Department. In case the Accepting Authority does not submit the PAR by 31st March of the following year, the remarks of the lower authority will be accepted as final. If the completed PAR with the remarks of the Accepting Authority is received in the PAR branch of the concerned Administrative Department/Head of the Department after remarks of lower authority has been accepted as final, the same will be ignored and destroyed.
- (iv) The PAR branch of the concerned Administrative Department/Head of the Department will make necessary entries in the computer-based PAR System so that the monitoring is possible at all stages of transmission . The photocopies of the completed PARs (till date of transmission) will be preserved so that they can be used to build up PARs in case of default in writing and submission of PARs on time by any of the authorities in the PAR chain.
- (v) After the original PAR has been received complete in all respect , the photocopies received at different stages, if not used will be destroyed by the PAR branch of the concerned Administrative Department/Head of the Department. retaining the original.
- (vi) The PAR Management System developed by G.A(SE) Department in consultation with N.I.C will be used to effectively monitor the PARs.
- (vii) A list of chronic defaulters among the appraisees and the authorities may be prepared every year for suitable correctional measures.

8. Points to be kept in view while recording remarks.

- (i) Reporting Authority /Reviewing Authority while recording remarks in the PARs in the relevant parts (Part-III,IV as the case may be). 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 PAR.
- (ii) The Accepting Authority in his remarks may agree or disagree with the comments of the Reporting Authority / Reviewing Authority . Adverse remarks , if any, shall be recorded in the specific box /space provided. These remarks include justifications of integrity "not certified" or the remarks to justify "below average" grading if awarded to appraisee. The Accepting Authority may however make adverse remarks in the box provided for her/his remarks.
- (iii) The PAR is based on the scaling principle wherein the work output, attributes and functional competencies are graded on a scale of 1 to 5 with 1 referring to the lowest and 5 to the highest. The overall grading is also based on the same principle.
- (iv) Reporting Authority / Reviewing Authority/Accepting Authority should abstain from writing the PAR of the appraisee who is her/his close relative and in such cases for other remarks PAR should be forwarded to other level of assessments.

Explanation :- Close relation means own parents, spouse, son, daughter, own brother and sister, spouse's parent, brothers and sisters

9. Documents to be kept in PAR folder

- (i) Awarding of a medal for meritorious and distinguished service should be kept in the PAR folder in order to indicate his/her capabilities and achievements.
- (ii) Letters of appreciation issued by Special bodies such as Commissions or Committees for which specific or general orders of the Government are obtained in G.A(SE) Department for keeping such letters in the PAR folder.
- (iii) No letters of appreciation from persons who in the normal course have access to the PARs of officers should be issued. In such cases, the authority concerned may keep a note of the good work done and enter it in the PARs at the time of recording annual remarks.
- (iv) All punishments finally awarded (after O.P.S.C consultation if any and after appeal /review is over) 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 PAR folder of the Officer concerned. However such punishment need not be reflected in the PAR format of a particular year.
- (v) Oral warning shall not be placed in the PAR folder. Written warning or communication of displeasure shall be placed in the PAR folder if there is a

specific order to that effect, such order should be of the appointing authority or authorities above him.

- (vi) Remarks in respect of probationers given by the Head of the training institute shall form a part of the PAR folder.
- (vii) 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 PAR. The reports received from the Heads of the institution should also be placed in the PAR folder.

10. Procedure for writing integrity column.

- (i) The report about integrity of an officer should be invariably made in the PAR at the relevant space. 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 her/his control and authority. She/he should keep note of instances which create doubts about the integrity of a subordinate and make plausible inquiries directly or indirectly. Such action may enable her/him to write remarks about the appraisee's integrity. In case Reporting Authority finds integrity doubtful or adverse he should write "Not Certified" in the remarks box in Part-III of PAR and provide justifications in adverse remarks box 3-B of the PAR.
- (ii) There may be occasions when a Reporting Authority 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 Authority has not had occasion to watch his/her work closely or when an officer has worked under the Reporting Authority only for a brief period or has been on long leave, etc. In all such cases the Reporting Authority 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.
- (iii) Reviewing Authority/Accepting Authority based on their knowledge about integrity of the appraisee may append adverse remarks about integrity even if Reporting Authority has certified the integrity of the appraisee. However in such cases they should write their remarks in the relevant place in Part-IV/V as the case may be with due justification.

11. Issue of No Remarks Certificate

No Remarks Certificate (NRC) will be recorded by the PAR branch of the concerned Administrative Department/Head of the Department under the following circumstances.

- (a) Suspension/ long leave/long term training/ retirement/ demitting office/ death / invalidation of the authorities at all the three levels of PAR recording chain when PAR formats are transmitted to these levels by the lower authority in the PAR chain or by the PAR branch of the concerned Administrative Department/Head of the Department.

- (b) Where the appraisee works for less than four months under each of the author in the recording chain (for computing four months, leave/training for less than days will be ignored).
- (c) Where the appraisee is on long leave(four months or more) 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 international organization or NGOs.
- (e) If no remarks are received within one year from the last date of the financial year to which the PAR relates it will be presumed no remarks are to be recorded and a note "No Remarks Certificate" will be kept in the PAR folder of the respective officers by the PAR branch of the concerned Administrative Department/Head of the Department.

12. Review of PAR

- (i) The PARs after their receipt in the PAR branch of the concerned Administrative Department/Head of the Department shall be subject to scrutiny and all adverse remarks contained in the earmarked box/space in Part-III, IV, V should be communicated directly to the officer concerned by the PAR branch of the concerned Administrative Department/Head of the Department within two months of the receipt of the completed PAR. It is pointed out that only remarks recorded in the space prescribed in the PAR for such recording of adverse remarks shall only be treated as adverse. Remarks recorded outside shall be deemed to be "not adverse".
- (ii) Remarks of the Reviewing Authority shall prevail over that of the Reporting Authority. Similarly the remarks of the Accepting Authority shall prevail over those of the Reviewing Authority. Adverse remarks recorded by the Reporting Authority are wiped away if these remarks have been counterbalanced by the Reviewing Authority or the Accepting Authority. Adverse remarks will be treated as counter balanced only if the Reviewing Authority or the Accepting Authority specifically indicates that he/she does not agree with the author of the adverse remarks.
- (iii) Where there are remarks of Co-Reporting Authority /Co-Reviewing Authority and there is divergent assessment, the remarks of the Reporting or Reviewing Authority, as the case may be who is mentioned later in the Schedule Instructions shall prevail.

13. Communication of Adverse Remark

D.O letters communicating adverse remarks should be signed by an officer authorized by the concerned Administrative Department/Head of the Department.

14. Submission of Representation.

- (i) A representation against adverse remarks should be clear, concise and precise and written in a temperate language. It should be furnished in two copies addressed to the authority competent to dispose of the representation within a period of 30 days of receipt of such communication. If there are sufficient reasons, the representation may be considered by the PAR branch of the concerned

Administrative Department/Head of the Department beyond this period of 45 days but not later than six months of the receipt of communication:

- (ii) A second representation shall not in any circumstances be entertained.
- (iii) Any representation 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 unwarranted aspersions on the authorities recording remarks or on authorities deciding the representation, should be summarily rejected.
- (iv) Copy of any representation received from any other quarter than those stipulated above will be seriously viewed and construed as an attempt by the representationist to exert extraneous pressure and influence for disposal of the representation.
- (v) If a representationist has made any allegations in his/her representation 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.

15. Disposal of Representation

- (i) Upon receipt of representation only the author of the adverse remarks may be asked to substantiate or to furnish her/his comment on the representation. Those higher authorities who have merely agreed to the adverse remarks written by other authorities need not be called upon to substantiate.
- (ii) The Substantiation Report should cover specific facts, figures and instances which are relevant to the adverse remarks.
- (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 unless he has adequately supported the adverse remarks in the PAR itself.
- (iv) Substantiation report may also be sought from authors of adverse remarks who may have retired recently from Govt. service if felt necessary.
- (v) The representation against adverse remarks should be normally disposed within 6 months of receipt of such representation taking into consideration facts stated in the PAR, representation and substantiation report if any. The order passed on the representation shall be informed suitably to the officer concerned. Copy of such communication disposing the representation should be placed in the PAR folder of the officer concerned.

16. Competent Authority

The competent Authority to deal with the representation against the adverse remarks will be Secretary of the concerned Department. In case Secretary of the Department is the author of the adverse remarks then Chief Secretary will be competent to deal with the representation. In case the adverse remarks are given by Chief Secretary/Very Senior Officer in charge of the Department/Minister the competent authority will be the Chief Minister. The order of the competent authority shall be final.

17. Preservation period

PAR should be preserved for a period of 1(one) year from the date of de retirement, resignation and dismissal or discharge unless there is a disciplin proceeding/vigilance case/court case relating to gradation/promotion pen before such retirement/resignation/dismissal or discharge. In latter case the P should be preserved till final disposal.

18. Formulation of Policy & Interpretation of Rules.

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

19. Memo No3076-Pro Dated.19.05.2004 issued by G.A(SE) Deptt. is he rescinded.

T. K. Pandey

Special Secretary