भारत सरकार GOVERNMENT OF INDIA
वित्त मंत्रालय MINISTRY OF FINANCE
राजस्व विभाग DEPARTMENT OF REVENUE
प्रधान आयुक्त का कार्यालय
OFFICE OF THE PRINCIPAL COMMISSIONER
केन्द्रीय उत्पाद शुल्क, सीमा शुल्क और सेवा कर
CENTRAL EXCISE, CUSTOMS & SERVICE TAX
कोच्चीन, COCHIN
केन्द्रीय राजस्व भवन, CENTRAL REVENUE BUILDING
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C.No.II/9/1/2017-Conf. **Date :16.03.2017**

Sub: **APAR for year 2016-17 – Regarding.**

The APAR forms for the year 2016-17 in respect of Group 'B' and 'C' officers are enclosed herewith for distribution to the concerned Officers for necessary action.

2. If any officer's name is missing in the list, the same may be brought to the notice of this office, immediately. The instructions for preparation of APARs are available on this Commissionerate website "**www.cenexcisekochi.gov.in**".

3. APARs have to be initiated in respect of all Group 'B' and 'C' officers who are on the rolls of the respective formation as on **31.03.2017** and who have worked in the formation for a minimum period of 3(three) months during the reporting period 2016-17.

4. If any officer, who is on the rolls of the formation as on 31.03.2017, has not worked for the requisite period of 3(three) months, the APAR should be got initiated from the office where he worked for more than 3(three) months during 2016-17.

5. In order to avoid unnecessary delay and to facilitate proper maintenance of APARs, Ministry vide Office Memorandum No. 50050/4/2014-Per/Hq dated 4th April, 2014 had issued the following instructions. All officers are requested to strictly adhere to the same:

i. All APARs should be initiated and should be moved at all levels through a Movement Register to be maintained by the concerned Administration.
ii. Submission of APARs by hand or personally is to be strictly discouraged.
iii. All officers are equally responsible for adhering to the APAR Schedule prescribed by the DOP&T vide O.M. No. 21011/01/2005-Estt (A) (Pt.II) dated 23.07.2009 & O.M. No. 21011/02/2009-Estt (A) dated 16.02.2009.

Non adherence to time schedule shall attract disciplinary proceedings against the defaulting officer/official.

iv. The Officer Reported upon should not wait till the expiry of the time-limit for submission of self-appraisal to the Reporting officer.

v. If self-appraisal is not received even after the expiry of 1(one) week, the Reporting Officer should take it upon himself to remind the officer to be reported upon to submit the self-appraisal by the stipulated date. It should also be made clear in the reminder that if the officer to be reported upon fails to submit the self-appraisal by the stipulated date, the report will be written without self-appraisal.

vi. If no self-appraisal is received by the stipulated date, the Reporting Officer can obtain another blank APAR form and proceed to write the report on the basis of his experience of the work and conduct of the officer reported upon.

vii. In case the APAR is not initiated by the Reporting Officer for any reason beyond **30th June** of the year in which the financial year ended, he shall forfeit his right to enter any remarks in the APAR of the officer to be reported upon and he shall submit all APARs held by him for reporting to the Reviewing Officer on the next working day.

viii. Similarly, the Reviewing Officer shall also forfeit his right to enter any remark in the APAR beyond **31st August** of the year in which the financial year ended.

ix. All officers shall have to issue a certificate as per **Annexure-I** stating that he/she has submitted/ reported/ reviewed the APAR of his/her/ own/ subordinates and also shall ensure that such certificates are forwarded to this office within the prescribed time schedule.

6. All the APARs **reviewed by the Divisional Deputy / Assistant Commissioners of Cochin Commissionerate should be communicated to the concerned officers under due acknowledgement by the respective Deputy/Assistant Commissioners** and the representation against the remarks received from the officers, if any, be forwarded to this office along with the original APARs **as per time Schedule attached** for further necessary action.

7. The representation should be restricted to the specific factual observations contained in the report leading to assessment of the officer in terms of attributes, work output etc., and should be submitted within a period of 15(fifteen) days from the date of communication of APAR in light of DOP&T's O.M. No. 21011/1/2005-Estt.(A) (Pt-II) dated 14/05/2009.

8. The APARs in respect of those officers which are to be reviewed by Additional/Joint Commissioners of Headquarters Office, Cochin may be forwarded to the concerned Additional/Joint Commissioner **as per Time Schedule attached.**

9. The APARs of all the officers enclosed with this letter should be returned to this office after reporting and reviewing along with a certificate stating that "*I have written / reviewed the APARs of all the officers (name) to be reported/reviewed by me.*"

10. The completed APARs of Headquarters Office should be submitted to the Confidential Section **as per Time Schedule attached.**

11. In this regard, DGHRD's letter F.No.8/B/65//HRD(HRM)/APAR/Missing APAR/2015 dated 20.02.2017 and CBEC's letter F.No. C-50/10/2017-Ad-II dated 13.02.2017 are enclosed herewith for information and strict compliance.

16.03.2017

(Pullela Nageswara Rao)
Principal Commissioner

Encl : **As above.**

To

All Deputy/Assistant Commissioners in charge of Divisions, Cochin Commissionerate.
The Chief Accounts Officer, Central Excise Hqrs. Office, Cochin-18.
The Deputy Director (Commn.), Central Excise Bhavan, Cochin-17.
The Joint Commissioners, Dy./Asst. Commissioners, Hqrs. Office, Cochin.
All Supervisory Officers of Hqrs. Cochin Commissionerate/CC's Office, Cochin.

Copy submitted to :

The Chief Commissioner of Central Excise, Customs & Service Tax, Kerala Zone, Cochin, for information.

Copy to :-

The Addl./Joint Commissioner (P&V), Calicut Commissionerate/ Trivandrum Commissionerate/ Audit Commissionerate, Cochin/ Cus. (Prev.) Commissionerate, Cochin for information.
PS to Principal Commissioner, Cochin.
Steno to Additional Commissioner (CCO), CC's Office, Cochin.

Annexure-I

Central Excise, Customs & Service Tax, Kerala Zone Slip - III
(To be filled by the Reviewing Officer)

APAR of Shri/Ms. _____

Designation _____ for the period/year _____ duly reported upon by the Reporting Officer and reviewed by the undersigned is forwarded herewith.

Signature .....
Name .....
To Designation .....
The Confidential Section Tele No.: .....
(concerned). Date : .....

Slip - I

Central Excise, Customs & Service Tax, Kerala Zone
(To be filled by the Reporting Officer)

The undersigned has forwarded the APAR of Shri/Ms. _____ Designation _____ for the period/year _____ to the Reviewing Officer, namely, Shri./Ms. _____ Designation _____ on _____ after recording my comments as Reporting Officer.

Signature .....
Name .....
To Designation .....
The Confidential Section Tele No.: .....
(concerned). Date : .....

Slip - II

Central Excise, Customs & Service Tax, Kerala Zone
(To be filled by the Officer reported upon)

I _____ Designation _____ have submitted my APAR form for the the period/year _____ to the Reporting Officer, namely, Shri/Ms. _____ Designation _____ (Tele:_____) on _____ after completing Part-II of the APAR Form.

Signature .....
Name .....
To Designation .....
The Confidential Section Tele No.: .....
(concerned). Date : .....

INSTRUCTIONS

1) APAR of an officer should be initiated by the immediate superior officer and should be reviewed by the officer superior to the reporting officer.

2) In the case of Havaldar and Head Havaldar, APARs should be written by the Section in-charge with gazetted rank and should be reviewed by the next superior authority.

3) Only an officer having at least 3(three) months experience during the reporting year should initiate the APAR of an officer. If no reporting officer has requisite experience of 3(three) months or more, the reviewing officer himself should initiate the report as a reporting officer. The APAR thus initiated should be reviewed by the officer above the reviewing officer.

4) The APARs of all Group 'B' gazetted officers have to be prepared in duplicate. In the case of Group 'B' officers, 'self-appraisal' of not more than 300 words and in all other cases 'self-appraisal' of not more than 100 words, may be obtained and considered while writing the APARs. The self-appraisal should be confined to the space allotted and usage of extra sheets should be avoided.

5) All Group 'B' officers should state, in their resume, whether the **annual return on Immovable Property** for the preceding calendar year was filed within the prescribed time limit i.e., before **31st January, 2017**. If not, the date of filing the return should be given. The reporting officers are therefore required to ensure that all officers to be reported upon have duly furnished this information in their resume.

6) No officer under suspension should be allowed to write/review the APARs of his subordinates if during the major part of writing/reviewing he is under suspension as he might not have full opportunity to supervise the work of his subordinates.

7) The APAR of an officer placed under suspension/ expired during the reporting year may be endorsed with a remark "Officer is under suspension with effect from ..... (date) as per order No. ....." / "Officer expired on ..... (date) and hence APAR not initiated.", as the case may be.

8) APARs should give full particulars of the officer reported upon such as his name, designation and the office in which he works. The name and date of birth as recorded in the service book should only be shown in the APAR. ***The name and designation of the officer should be written in capital letters on right hand top corner of every facing page of the APAR form (i.e, on pages 1, 3, 5, etc.).***

9) Officers writing the APARs should carefully observe the work and conduct of those under control and provide required training and guidance where ever necessary. The APARs should be based upon the results of such observations as well as the periodical inspection.

10) The APAR should contain general assessment of the officer reported upon and he should be graded according to his performance. Entries should be based on established facts and not on mere suspicion. Remarks like **"doubtful character", "complaint about his taking illegal gratification"** are not permissible.

11) In respect of Group B' Gazetted & Non-Gazetted officers, they should submit the APAR for 2016-17 in the revised format. A copy of general guidelines for filling up the form is also enclosed with the format. The reporting and reviewing authority in respect of them is required to record a numerical grade and grades should be assigned on a scale of 1-10, in whole numbers. In respect of Group 'C' officers the reporting officer should give his assessment against each column of the APAR in a descriptive manner and then give overall grading as 'Excellent'/ 'Outstanding', 'Very Good', 'Good', 'Just Adequate'/ 'Average', 'Poor'/ 'Below Average' as the case may be. An officer should not be graded as 'Excellent' unless exceptional qualities and performance has been noticed in him. The reporting/ reviewing officers should not use abbreviations like E /OS /VG /V.Good /G /JA for grading an officer's performance.

12) It is the duty of the reviewing officer to personally know and form his own judgement of the work and conduct of the officer reported upon. He should accordingly exercise positive and independent judgement in the remarks of the reporting officer under the various detailed headings in the form of the report as well as the general assessment and express clearly his agreement or disagreement with those remarks. This is particularly necessary in regard to adverse remarks, if any, where opinion of the higher officer shall be construed as the correct assessment.

13) A reviewing officer can agree or disagree to whatever extent he deems fit with the remark/grading given by the reporting officer, on the basis of his own experience of the officer reported upon, the reviewing officer should not in any circumstances tamper with (strike down or replace etc.) the entries made by the reporting officer.

14) The reviewing officer should invariably write the overall assessment of performance and qualities of the officer reported upon.

15) The reviewing officer is free to make his remarks on points not even mentioned by the reporting officer. Such additional remarks would in fact, are necessary where the report is too vague or cryptic.

16) No authority other than reporting/reviewing authority shall write his remarks/comments about the work and conduct of an officer in his APAR.

17) No employee should be adversely affected by prejudicial reports recorded without fullest consideration. At the same time none should be rewarded by excessively flattering reports which are not based on facts. With a view to checking up such possibilities, the following procedure is prescribed :-

a) the memo of services should invariably be consulted at the time of writing the annual report though the report itself should necessarily be based on the employee's performance during the year as a whole;

b) where an adverse remark is .recorded in respect of an official having consistently good record, some detail regarding the same should invariably be given;

c) the report should give a clear opinion on the main points like character, integrity, industry, etc.;

d) there should be no hesitation on the part of the reporting officers to record adverse remarks in justified cases;

e) Reporting officers should not be in a hurry to write all the reports on one day.

18) The following procedure should be followed in filling up the column relating to integrity.

In consultation with the materials in the diary maintained, the reporting officer shall make one of the three remarks mentioned below against the integrity column of APARs of the officer reported upon.

a) Beyond doubt
b) Since the integrity of the officer is doubtful, a secret note is attached.
c) Not watched the officer's work for sufficient time to form a definite judgement but nothing adverse has been reported to me about the officer.

If the column is not filled on account of the unconfirmed nature of the suspicions, further action should be taken as follows :-

i) The column pertaining to integrity in the character roll should be left blank and a separate secret note about the doubts and the suspicions regarding the officer's integrity should be recorded simultaneously.

ii) A copy of the secret note should be sent together with the APAR to the next superior officers 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 integrity should be certified and an entry made in the character roll. If suspicions regarding his integrity are confirmed, this fact can also be recorded and duly 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 Deptt. Such instances can occur when an officer is serving in a remote station and the reporting officer has not had 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 work for sufficient time to be able to make any definite remark or that he has heard nothing against the officer's integrity as the case may be. This would be a factual statement to which there can be no objection. But it is necessary that a superior officer should make every effort to form a definite judgment about the integrity of those working under him, as early as possible, so that he may be able to make a positive statement.

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 should, as far as practicable, be kept away from positions in which there are opportunities for indulging in corrupt practices.

19) The reporting/reviewing officer should affix dated signature in the APAR and below their signature both their name and designation should be written in capital letters or affix their rubber stamp.

TIME SCHEDULE FOR PREPARATION OF ANNUAL PERFORMANCE ASSESSMENT REPORTS		
Sl.No.	**Nature of action**	**Date by which to be completed**
1.	Distribution of APAR forms to all concerned	31st March.
2.	Submission of self-appraisal to reporting officer by the officer to be reported upon (where applicable)	15th April
3.	Submission of report by Reporting Officer to Reviewing Officer	30th June
4.	Report to be completed by Reviewing Officer and to be sent to Confidential Section.	31st July
5.	Disclosure to the officer reported upon	1st September
6.	Receipt of representation, if any, on APAR	15 days from the receipt of communication
7.	Forwarding of representation to the Competent Authority	21st September