

CIRCULAR NO. 11/2016

Sub: Confidential Records- Preparation of Performance appraisals of Government Servants working in Commercial Taxes Department- Preparation and Maintenance- Instructions issued.

- Ref:
1. G.O (P) No. 344/66/PD dated 22.08.1966 of Public (Rules) Department
 2. G.O (P) No.234/74/PD dated 24.09.1974 of Public (Miscellaneous) Department
 3. Circular Memorandum No. 157069/M1/74/PD dated 03.01.1975
 4. Circular Memorandum No. 26406/M1/76/PD dated 13.03.1976
 5. Circular Memorandum No. 69265/M1/76/PD dated 08.07.1976
 6. Circular Memorandum No. 111246/M1/76/PD dated 15.10.1976
 7. Circular No. 14673/Adv.C2/98/P&ARD dated 17.10.1998
 8. Circular No. 3900/Adv.C2/2014/P&ARD dated 15.02.2014

Attention of all Reporting, Reviewing, Custodian and Reportee Officers of Confidential Reports in the Commercial Taxes Department is invited to the Government Orders and instructions issued vide Circulars/ Circular Memorandums cited above, regarding the preparation and maintenance of Confidential Reports of Government Servants. In spite of these instructions, it has come to the notice that adequate attention is not paid by the Reportee/ Reporting/ Reviewing Officers in the preparation of performance appraisals. It is noticed that several Reporting Officers are preparing the Confidential Reports only at a distant date and that too when the same is required to be placed before the Departmental Promotion Committee and hence the Departmental Promotion Committees could not be convened in time, in order to prepare the Select Lists of Officers. It is unfortunate that in spite of clear and detailed instructions issued by the Government and Department, Confidential Reports are not being properly prepared and maintained.

In para 1 of G.O (P) 344/66/PD dated 22.08.1966, Government have described the objects of preparing the Confidential Reports which are to achieve an objective assessments of the capacities of the individual Officer in the performance of his duties and to forecast his capacity for different and more responsible works and also aims at making the employee do his present job better, which is essential for increasing the general efficiency of administration. According to para 14 of the above Government Order, the Reporting Officer has to prepare and forward the Annual Confidential Reports on each of his subordinates by the first February of the succeeding year to which the report relates to.

It has come to the notice of this Office that the Confidential Reports are being forwarded to the Reportee Officer directly for noting, which results in showing Part II (Secret) of the Performance appraisal of the Reportee. It is also noticed that in certain cases the Confidential Reports are forwarded to the Commissionerate by the Reporting/ Reviewing Officers without showing them to the Reportees. This causes difficulty to this Office in preparing and sending correspondence with the Reporting/ Reviewing Officers. Often by that time, the Reporting/ Reviewing Officers might have left the service/place on superannuation/ transfer. To avoid such situations the Reporting / Reviewing Officers are directed to follow scrupulously the standing instructions in this regard and ensure that the Confidential Reports are shown to the Reportees in time.

There were certain instances where the Report was shown to the Reportees before the Reports were reviewed. This is not correct and is against the procedure laid down in G.O (P) 242 Public (Misc) dated 29.07.1968. It is also noticed that the receipts and despatch of the Confidential Reports are not properly monitored especially when the Reportee and the Reporting Officers are transferred to another stations. In such cases the availability of the Confidential Reports are seen verified only at the time when they are required in connection with the Departmental Promotion Committee.

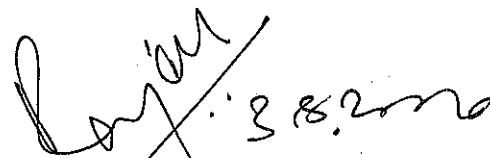
In order to ensure the promptness with regard to the maintenance and custody of the Confidential Reports and for the timely convening of Departmental Promotion Committee Meetings, following instructions are issued for strict compliance:

1. The report on Gazetted Officers should be recorded in Form-II (B) and the report on Non-Gazetted Officers should be recorded in Form – II (A).
2. The reports should cover the period from 1st January to 31st December of each year (Calendar Year) in case of all Officers in normal case. If any of the Reportee/ Reporting Officer/ Reviewing Officer is transferred in the middle of the Calendar year, it is the duty of the Reporting Officer to ensure that the Confidential Reports of all his subordinate Officers upto the period were prepared before the Officer concerned relieved.
3. All the Reportee Officers of the Confidential Reports are requested to furnish their self appraisals to the Reporting Officers for preparing the Performance appraisals before 15th January of the preceding Calendar Year. The Reporting Officer should prepare the Confidential Report in respect of the Reportee Officer and to forward the same to the Reviewing Officer before 30th of January. The Reviewing Officer should review the Confidential Reports received before 15th of February.
4. If any of the Reportee Officer fail to furnish their Self Appraisal as above, it is the duty of the Reporting Officer to prepare the Confidential Report of the said Officer based on the available details and to forward the same to the Reviewing Officer.
5. The Reporting Officers and the Reviewing Officers will in particular ensure that the period under report is noted promptly in the space provided and that their signatures are 'dated' in the forms for reporting/ reviewing.
6. The report should be written or typed by the Officer himself; if typewritten, the officer should certify that he typed the report by himself. The name of the Officer writing the report should be written in **block letters** below his signature. His designation should also be indicated. The Office Designation Stamp should also be affixed.
7. The name and designation of the officer reported upon must be given in full and in the same manner as shown in the Service Book.
8. The name and designation of the Reporting/Reviewing officer should be noted in Block Letters in the Confidential Report.
9. The Reporting Officers should write the Confidential Reports impartially and honestly taking in to account the Reported Officer's capability in work, punctuality, ability to supervise and control the staff working under him and the capacity to handle his subordinate in getting their duties discharged.

10. As far as possible, Reporting officers should try to advance specific instances or reasons to justify their observations.
11. All the Reporting and Reviewing Officers are instructed to ensure interalia that in all cases where five or more 'A' grades are assigned, specific noteworthy or outstanding work done by the officer should invariably be noted in the comments column. Conversely, where 'C' or 'D' grades are assigned, again specific instances of inadequate or below par performance should be noted as instructed by Government vide Circular cited as 8th above.
12. Expression of displeasure conveyed to an officer or orders regarding any disciplinary action should be recorded in the Confidential Reports quoting the number and date of order or other communications.
13. The Reporting/Reviewing Officers are directed to ensure that they show the Confidential Reports to the Reportee before the reports are forwarded to the Custodian Officers.
14. It shall not be competent for the Reporting Authority, the Reviewing Authority or the Accepting Authority, as the case may be, to write a Confidential Report;
 - (a) where the authority writing the Confidential Report is a Government servant after he retired from service; and
 - (b) in other cases, after he demits office.
15. All Deputy Commissioners should ensure that all officers due to retire should write up /review all the Confidential Reports that are due to be written up / reviewed by them before they actually retire. In cases where the Reporting Officers has not prepared the Confidential Reports during the relevant period and has demitted office, the Reviewing Officer or Accepting Authority who remains in office may write the Confidential Records of the Officers concerned and forward the same to the next higher Authority.
16. All Inspecting Officers shall, at the time of inspection of subordinate offices by them, verify the concerned records and satisfy themselves that the instructions contained in this circular had been complied with. For the effective implementation of the directions issued from time to time all concerned are directed that as provided in para 3 of Government order read as first paper above, the default on the part of the officer in the preparation and maintenance of the Confidential reports on his subordinates should be mentioned in the Confidential reports on the Reporting Officers as a point of failure in his duty.
17. All the Reportee Officers of the Confidential Reports are requested to furnish their self Appraisals for the period upto 31.12.2015 (if not furnished till date) to the Reporting Officers for preparing the Performance appraisals for the period up to 31-12-2015 on or before 31.08.2016.
18. All Deputy Commissioners should obtain a Certificate from all the Reporting/ Reviewing Officers under their administrative control to the effect that they have prepared / reviewed the entire Performance Appraisals in respect of their subordinates for the period ended upto 31.12.2015. After obtaining the said certificates, the Deputy Commissioners shall furnish a Certificate to the Commissionerate to the above effect.

19. A List showing the details of Reportee/ Reporting/ Reviewing Officers in the Department is attached as Annexure to this Circular.

The receipt of this Circular should be acknowledged.


COMMISSIONER

To

All concerned

ANNEXURE

SlNo.	Designation	Reporting Authority	Reviewing Authority
1	Joint Commissioner-1/ General/ Law/A&I	Commissioner	Govt. Secretary (Taxes)
2	Deputy Commissioner (General)	Commissioner	Govt. Secretary (Taxes)
3	District Deputy Commissioners	Commissioner	Govt. Secretary (Taxes)
4	Deputy Commissioners (Intelligence)	Commissioner	Govt. Secretary (Taxes)
5	Deputy Commissioner (Law)	Commissioner	Govt. Secretary (Taxes)
6	Deputy Commissioners (Appeal)	Commissioner	Govt. Secretary (Taxes)
7	Deputy Commissioner (IA)	Commissioner	Govt. Secretary (Taxes)
8	Departmental Members (KVAT, AIT&ST AT)	Chairman, KVAT, AIT&ST AT	Govt. Secretary (Taxes)
9	Assistant Commissioner-1	Joint Commissioner-1	Commissioner
10	Assistant Commissioner-2	Joint Commissioner(General)	Commissioner
11	Assistant Commissioner(ITMC)	Joint Commissioner-1	Commissioner
12	Assistant Commissioner(A&I)	Joint Commissioner(A&I)	Commissioner
13	Assistant Commissioner(LW)	Joint Commissioner(Law)	Commissioner
14	Assistant Commissioners(EIW)	Joint Commissioner-G	Commissioner
15	Assistant Commissioner(CI Wing)	Joint Commissioner-1	Commissioner
16	Assistant Commissioners (IA)	Deputy Commissioner(IA)	Commissioner

17	Assistant Commissioner(Training)	Joint Commissioner-1	Commissioner
18	Assistant Commissioner(AA)	District Deputy Commissioner concerned	Commissioner
19	Assistant Commissioner (Assmt)	District Deputy Commissioner concerned	Commissioner
20	Assistant Commissioner (WC)	District Deputy Commissioner concerned	Commissioner
21	Assistant Commissioners(Law), Ekm	Deputy Commissioner(Law), Ekm	Commissioner
22	Inspecting Assistant Commissioners	District Deputy Commissioner concerned	Commissioner
23	Inspecting Assistant Commissioners(Intelligence)	Deputy Commissioner(Int) concerned	Commissioner
24	Inspecting Assistant Commissioners(IB)	Deputy Commissioner(Int) concerned	Commissioner
25	Inspecting Assistant Commissioner (Amaravila)	Deputy Commissioner, Tvm	Commissioner
26	Inspecting Assistant Commissioner (Walayar)	Deputy Commissioner, Palakkad	Commissioner
27	Inspecting Assistant Commissioner (Manjeswaram)	Deputy Commissioner, Kasaragod	Commissioner
28	Law Officers	District Deputy Commissioner concerned	Commissioner
29	Secretary, KVAT, AIT&ST AT, Ernakulam	Chairman, KVAT, AIT&ST AT	Commissioner
30	Senior Superintendents, O/o CCT	Assistant Commissioner concerned O/o CCT	Joint Commissioner concerned
31	CTO (IA)	Deputy Commissioner (IA)	Joint Commissioner-1
32	CTO(AA)	District Deputy Commissioner concerned	Joint Commissioner-1
33	CTO(EIW)	Deputy Commissioner (General)	Joint Commissioner-G
34	CTO (Data Mining)	Assistant Commissioner(ITMC)	Joint Commissioner-1

35	Manager, O/o Deputy Commissioner	District Deputy Commissioner concerned	Joint Commissioner-1
36	Manager, O/o Deputy Commissioner (Int.)	Deputy Commissioner(Int) concerned	Joint Commissioner-1
37	Manager, O/o Deputy Commissioner (Law)	Deputy Commissioner(Law)	Joint Commissioner- 1
38	CTO Enquiry	District Deputy Commissioner concerned	Joint Commissioner-1
39	CTO, Rapid Action	Deputy Commissioner(Int) concerned	Joint Commissioner-1
40	CTO (LT)	District Deputy Commissioner concerned	Joint Commissioner-1
41	CTO (WC)	District Deputy Commissioner concerned	Joint Commissioner-1
42	CTO (Assmt.Wing)	Inspecting Assistant Commissioner concerned	District Deputy Commissioner concerned
43	AIT & CTO	Inspecting Assistant Commissioner concerned	District Deputy Commissioner concerned
44	CTO s in Check Posts/ Facilitation Centres	Inspecting Assistant Commissioner in charge of the Check Post/ Facilitation Centre	District Deputy Commissioner concerned
45	Intelligence Officer, Intelligence Squad	Inspecting Assistant Commissioner (Int.) concerned	Deputy Commissioner(Int) concerned
46	Intelligence Officer(IB)	Inspecting Assistant Commissioner (IB)	Deputy Commissioner(Int) concerned
47	Assistant Secretary, KVAT, AIT & ST AT	Secretary, KVAT, AIT & ST AT, Ekm	Chairman, KVAT, AIT&ST AT
48	Additional Law Officers	Law Officer concerned	District Deputy Commissioner concerned
49	ACTO/JS/CTI, O/o CCT	Senior Superintendent concerned, O/o CCT	Assistant Commissioner concerned, O/o CCT
50	ACTO/JS/CTI, Finance Wing, O/o CCT	Finance Officer	Joint Commissioner-1
51	ACTO/JS/CTI, ITMC	Assistant Commissioner (ITMC)	Joint Commissioner-1

52	ACTO/JS/CTI, Data Mining	Assistant Commissioner (ITMC)	Joint Commissioner-1
53	ACTO/JS/CTI, EIW	Assistant Commissioner(EIW)	Joint Commissioner-1
54	ACTO/JS/CTI, Call Center	Assistant Commissioner (ITMC)	Joint Commissioner-1
55	ACTO/JS/CTI, O/o Deputy Commissioner	Manager, O/o concerned Deputy Commissioner	District Deputy Commissioner concerned
56	JS/CTI, LT	Principal CTO, LT	District Deputy Commissioner concerned
57	JS/CTI, WC	Assistant Commissioner, WC	District Deputy Commissioner concerned
58	JS/CTI, O/o Inspecting Assistant Commissioner	Inspecting Assistant Commissioner concerned	District Deputy Commissioner concerned
59	JS/CTI, Commercial Tax Special Circle Offices	Principal Officer of Special Circle Office concerned	District Deputy Commissioner concerned
60	JS/CTI, Commercial Tax Offies/Circles	Principal Officer of Commercial Tax Offices/ Circles, concerned	Inspecting Assistant Commissioner concerned
61	JS/CTI, AIT&ST Office	Principal Officers of Office concerned	Inspecting Assistant Commissioner concerned
62	ACTO/JS/CTI, O/o Deputy Commissioner (int)	Manager, O/o Deputy Commissioner(Int.) concerned	Deputy Commissioner(Int) concerned
63	ACTO/JS/CTI, O/o Inspecting Assistant Commissioner (Int.)	Inspecting Assistant Commissioner (Int.) concerned	Deputy Commissioner(Int) concerned
64	ACTO/JS/CTI, O/o Inspecting Assistant Commissioner (IB)	Inspecting Assistant Commissioner(IB) concerned	Deputy Commissioner(Int) concerned
65	Intelligence Inspector, Intelligence Squad	Intelligence Officer, Intelligence Squad concerned	Inspecting Assistant Commisisoner (Int.) concerned
66	Intelligence Inspector (IB)	Intelligence Officer (IB) concerned	Inspecting Assistant Commisisoner (IB) concerned

67	CTI, CTCPs/ Facilitation Centres	Principal/Admin CTO/ IAC in charge of CTCP/Facilitation Centres	IAC in charge of CTCP or Facilitation Centres/ District Deputy Commissioner concerned
68	ACTO/JS/CTI, O/o DC (Law)	Manager, O/o Deputy Commissioner (Law)	Deputy Commissioner(Law)
69	ACTO/JS/CTI, O/o DC (Appeals)	Deputy Commissioner (Appeals) concerned	Joint Commissioner -1
70	ACTO/JS/CTI, Law Office	Law Officer	District Deputy Commissioner concerned
71	JS, KVAT, AIT&ST AT, Ekm	Secretary, KVAT,AIT & STAT, Ekm	Chairman, KVAT,AIT&ST AT
72	JS, KVAT, AIT&ST AT, Addl. Benches	Assistant Secretary, KVAT,AIT & ST AT, Addl. Bench concerned	Secretary, KVAT,AIT & ST AT, Ekm

