



KERALA STATE ELECTRICITY BOARD LIMITED

(Incorporated under the Companies Act, 1956)

Reg. Office: Vidyuthi Bhavanam, Pattom, Thiruvananthapuram – 695 004, Kerala

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Abstract

APAR – Additional Instructions – Sanctioned – Orders – Issued.

CORPORATE OFFICE (ADMINISTRATION)

B.O. (DB) No. 455/2019 (Est.III/APAR/Instruction) Dated, Thiruvananthapuram, 14.06.2019.

- Read:-
1. B.O.(DB)No.1898/2018 (Estt.III/APAR/Instruction/2017) dated 31-10-2018.
 2. B.O.(FTD) No.161/2019 (Estt.III/APAR/Instructions/2017) dated 23-02-2019.
 3. Proceedings of the 46th Meeting of the Board of Directors held on 26-04-2019 (Agenda 12-04/19)

ORDER

The Board of Directors in the meeting held on 15.11.2017 had authorised the Chairman & Managing Director, Kerala State Electricity Board Limited to issue detailed instructions for the preparation and submission of APAR to all officers including fixing bench mark grading system for considering promotion.

Accordingly, the Board of Directors in the meeting held on 26.09.2018 examined the proposal in detail and resolved to approve the proposal for introducing benchmark grading system for considering promotion of officers of and above the rank of Assistant Accounts Officer/Assistant Finance Officer/Assistant Executive Engineer.

Kerala State Electricity Board Limited has introduced the new APAR with benchmark grading system and detailed instructions for preparation and submission of APAR has been issued vide B.O read as (1).

A Video conference with the officers of and above the rank of Accounts Officer/Finance Officer/Executive Engineer was convened in this regard, on 26th, 27th and 28th of December 2018, chaired by the Chairman and Managing Director, KSE Board Limited. The Chairman and Managing Director elaborated on the importance of APAR and replied to the queries which arose regarding the preparation of APAR. Based on this, a few modifications in the APAR Form and certain clarifications have to be made regarding the preparation of APAR as detailed below:

1. To modify the Clause 12 and 13 of Form – I of APAR as follows:
 - (12) Awards/ Accolades etc, if any, received in the current year/ during the period of reporting
 - (13) Disciplinary action, if any, faced in the current year/during the period of reporting, with details
2. If there is more than one reporting officer for one official, the officer under whom the officer reported upon has worked for the maximum period shall do the reporting. In this case, other officers shall give a report of performance to the Reporting Officer. The Reporting Officer shall make the report after taking into account the report from other officers also.
3. If the Reporting Officer is holding the additional charge of the Reviewing Authority, review shall not be done by that officer; it shall be done by the immediate superior of the Reviewing Authority.
4. If there is more than one Reviewing Officer in a reporting period (without change of office) the Reviewing Officer who was the Reviewing Authority for a longer period shall review.
5. APAR is not required for making temporary promotion. However, it is a must at the time of regularisation. Without APAR no regularisation would be done.

6. Promotion from Assistant Engineer to Assistant Executive Engineer and Senior Superintendent to Assistant Accounts Officer and Divisional Accounts Officer to Assistant Finance Officer shall also be based on the new APAR. The Benchmark shall be the same as that for promotion from Assistant Executive Engineer to Executive Engineer/Assistant Finance Officer to Finance Officer / Assistant Accounts Officer to Accounts Officer.
7. Even if there is no promotion prospect for an officer or an officer has reached the highest post where from there is no further promotion, APAR is mandatory. A review of grading obtained by these officers for the last three years would be made, once they cross the age of 50 years and if they are below the benchmark grading, action would be initiated for compulsory retirement with full benefits / demotion / Voluntary Retirement Scheme etc.

As ordered by the Chairman and Managing Director the matter was placed before the Full Time Directors to take a decision in this regard. The Full Time Directors in its meeting held on 13.02.2019 discussed the matter in detail and resolved to approve the additional instructions as above regarding the preparation and submission of APAR and also resolved to accord sanction to issue the modified APAR Form and further resolved to place the matter to the Board of Directors of KSEBL for ratification.

Accordingly, Board Order read as (2) has been issued and the matter was placed before the Board of Directors for ratification.

The Board of Directors in the meeting held on 26-04-2019 examined the proposal in detail and has resolved to ratify the action of the Full Time Directors vide B.O.(FTD)No.161/2019 (Estt.III/APAR/Instructions/2017) dated 23-02-2019 in according sanction to issue additional instructions regarding the preparation of APAR and to issue the modified APAR form.

Orders are issued accordingly.

By Order of the Director Board
Sd/-
LEKHA.G
COMPANY SECRETARY
IN CHARGE

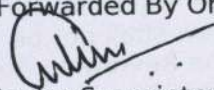
To

The Secretary (Administration), KSE Board Limited

Copy to:-

1. The Financial Adviser.
2. The Chief Internal Auditor.
3. The Chief Engineer (IT).
4. The Company Secretary-in charge.
5. The TA to Chairman and Managing Director/Director (Distn. & IT)/ Director (Trans. & System Opn.)/Director (Gen. - Civil & HRM)/ Director (Corporate Planning, Gen. - Ele., SCM & Safety).
6. The PA to Director (Finance).
7. The Legal Adviser and Disciplinary Enquiry Officer, Kerala State Electricity Board Limited, Vydyuthi Bhavanam, Pattom, Thiruvananthapuram.
8. The Senior CA to Secretary (Administration).
9. Library/Stock file.

Forwarded By Order


Senior Superintendent

FORM-I

KERALA STATE ELECTRICITY BOARD LIMITED

ANNUAL PERFORMANCE APPRAISAL REPORT (APAR)

(For Officers of and above the cadre of Assistant Executive Engineer / Assistant Accounts Officer)

Performance Appraisal Report for the period from ----- to -----

PART-I

PERSONAL DATA

1. Name of the Officer :
2. Employee Code :
3. Date of birth :
4. Place of Domicile :
5. Present Grade and Pay Scale :
6. Date of appointment to the present Grade :
7. Present post :
8. Date of appointment to the present post :
9. Districts where served for KSEBL :

Name of District	Period

10. Period of absence on leave/training during the period under appraisal
(a) Details of leave

Type of leave	Period of leave

(b) Details of training programmes

Institute	Subject/Programme	Date from	Date to

11. Date of filing the property return for the year ending December :
12. Awards/Accolades etc, if any, received in the current year/during the period of reporting :
13. Disciplinary action, if any, faced in In the current year/during the period of reporting with details :

PART-II : Self Appraisal by the Officer Reported upon

1. Brief description of duties (no additional sheets are to be used)

2. Targets and achievements (please specify the quantitative/physical targets/objectives, 8 to 10 items priority wise/in orders of importance set for yourself or that were set for you and your achievement against each target.

Item No.	Targets	Achievements
1		
2		
3		
4		
5		
6		
7		

8		
9		
10		

3. Please state briefly, the short falls with reference to the targets/objectives/goals referred to in item 2. Please specify constraints, if any, in achieving targets.

4. During the period under report, do you believe that you have made any exceptional contribution? If so, please mention. Also comment on your own assessment of the quality of work done by you. What are the factors that hindered your performance?

5. Please indicate specific areas in which you feel the need to upgrade your skills through training programmes

(Signature of the Officer Reported upon)

Date :

Place :

PART III : Remarks of the Reporting Authority

1. Please state whether you have verified the personal data in Part I furnished by the officer reported upon and found correct. If not furnish details.
2. Please state whether you agree with the self – appraisal of the officer reported upon as filled out in Part-II. If not please furnish the factual details.

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3. **Assessment of work output** (This assessment should rate the officer vis-a-vis his peers and not the general population. Grades should be assigned on a scale of 1-10, in whole numbers, with 1 referring to the lowest grade and 10 to the best grade. Weightage to this section will be 40%).

	Reporting Authority	Reviewing Authority	Initial of Reviewing Authority
(i) Accomplishment of planned work/ work allotted/ achievement with respect to targets / Key Performance Indicators			
(ii) Quality of output			
(iii) Analytical ability			
(iv) Accomplishment of exceptional work/unforeseen tasks performed			
Overall Grading on 'Work Output'			

4. **Assessment of Personal Attributes** (on a scale of 1-10, weightage to this section will be 30%)

	Reporting Authority	Reviewing Authority	Initial of Reviewing Authority
(i) Attitude to work			
(ii) Sense of responsibility			
(iii) Maintenance of discipline			
(iv) Communication skills			
(v) Leadership qualities			
(vi) Capacity to work in team spirit			
(vii) Capacity to work in time limit			
(viii) Inter-personal relations			
Overall Grading on 'Personal Attributes'			

5. **Assessment of Functional Competency** (on a scale of 1-10, weightage to this section will be 30%)

	Reporting Authority	Reviewing Authority	Initial of Reviewing Authority
(i) Knowledge of Rules/ Regulations / Procedures in the area of function and ability to apply them correctly			
(ii) Strategic planning ability			
(iii) Decision making ability			
(iv) Co ordination ability			
(v) Ability to motivate and develop subordinates			
Overall Grading on 'Functional Competence'			

6. Integrity :

7. State of Health

8. **Pen picture by the Reporting Officer.** Please comment on the overall qualities of the officer including areas of strength and lesser strength and his/her attitude towards the weaker sections

9. Recommendation relating to possible line of growth and development of the officer in areas like Project Management etc. Also please suggest one or two areas of training that could be useful.

10. **Overall grade on a scale of 1-10 (in figures as well as in words).** For numerical gradings, please see instructions attached with the APAR form

Date :

Place :

(Signature of the Reporting Officer)

(Name in block letters)
Designation during the period of report

PART-IV : Remarks of the Reviewing Authority

1. Do you agree with the assessment by the Reporting Officer with respect to the work output and the various attributes in Part-III ? In case you do not agree with any of the numerical assessments of attributes, please record your assessment in the column provided for you in part-III and initial your entries.

Yes, I agree	No, I do not agree. I have recorded my assessment in Part-III
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(Please strike out whichever is not applicable)

2. In case of difference of opinion, please give details and reasons for the same.

3. Comments, if any, on the pen picture by the Reporting Authority

4. **Overall grade on a scale of 1-10** (in figures as well as in words). For numerical gradings, please see instructions attached with APAR form.

(Signature of the Reviewing Officer)

(Name in block letters)
Designation during the period of report

Date :

Place :

PART-V : Remarks of the Accepting Authority

1. Do you agree with the remarks and assessment by the Reporting/Reviewing Authorities ?

Yes, I agree	No, I do not agree
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(Please strike out whichever is not applicable)

2. In case of difference of opinion, please give details and reasons for the same

3. **Overall grade on a scale of 1-10 (in figures as well as in words).** For numerical gradings, please see instructions attached with the APAR form.

(Signature of the Accepting Officer)

(Name in block letters)
Designation during the period of report

Date :

Place :

INSTRUCTIONS

1. The Annual Performance Appraisal Report is an important document. It provides the basic and vital inputs for assessing the performance of an officer and for his/her further advancement in his/her career. The Officer reported upon, the Reporting Officer, the Reviewing Officer and the Accepting Officer should, therefore, undertake the duty of filling out the form with a high sense of responsibility.
2. Performance appraisal through Annual Performance Appraisal Reports should be used as a tool for human resource development. Reporting Officers should realize that the objective is to develop an officer so that he/she realizes his / her true potential. It is not meant to be a fault-finding process but a developmental one. The Reporting Officer and the Reviewing Officer should not shy away from reporting shortcomings in performance, attitudes or overall personality of the Officer reported upon.
3. The items should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a casual or superficial manner will be easily discernible to higher authorities.
4. Answers shall be given in a narrative form. The space provided indicates the desired length of the answer. Words and phrases should be chosen carefully and should accurately reflect the intention of the Officer recording the answer. Please use unambiguous and simple language. Please do not use omnibus expressions like 'Outstanding', 'Very Good', 'Good' 'Average', 'Below Average' while giving your comments.
5. The Reporting Officer shall, in the beginning of the year set quantitative / physical targets in consultation with each of the officers with respect to whom he is required to report upon. Performance appraisal should be a joint exercise between the officer reported upon and the Reporting Officer. The targets/goals shall be set at the commencement of the reporting year. In the case of an officer taking up a new assignment in the course of the reporting year, such targets/goals shall be set at the time of assumption of the new assignment.

6. The targets should be clearly known and understood by both the officers concerned. While fixing the targets, priority should be assigned item-wise, taking into consideration the nature and the area of the work and any special feature that may be specific to the nature or the area of the work of the officer to be reported upon.
7. Although performance appraisal is a year-end exercise, in order that it may be a tool for human resource development, the Reporting Officer and the Officer reported upon should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.
8. It should be the endeavour of each appraiser to present the truest possible picture of the appraisee in regard and his/her performance, conduct, behaviour and potential.
9. Assessment should be confined to the appraisee's performance during the period of report only.
10. Some post of the same rank may be more exacting than others. The degree of stress and strain in any post may also vary from time to time. These facts should be borne in mind during appraisal and should be commented upon appropriately.
11. Aspects on which an appraisee is to be evaluated on different attributes are delineated below each column. The appraiser should deal with these and other aspects relevant to the attributes.
12. **The following procedure should be followed in filling up the column relating to integrity.**
 - (i) If the officer's integrity is beyond doubt, it may be so stated.
 - (ii) If there is any doubt or suspicion, the column should be left blank and action taken as under:
 - (a) A separate secret note should be recorded and followed up. A copy of the note should also be sent together with the Annual Performance Appraisal Report to the next superior officer who will ensure that the follow up action is taken expeditiously. Where it is not possible either to certify the integrity or to record the secret note, the Reporting Officer should state either that he had not watched the officer's work for

sufficient time to form a definite judgement or that he has heard nothing against the official, as the case may be.

- (b) If as a result of the follow up action, the doubts or suspicions are cleared, the official's integrity should be certified and an entry made accordingly in the Annual Performance Appraisal Report.
- (c) If the doubts or suspicions are confirmed, this fact should also be recorded and duly communicated to the officer concerned.
- (d) If as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the official's conduct should be watched for a further period and thereafter action taken as indicated at (b) and (c) above.

13. Guidelines regarding filling up APAR with numerical grading :

- (i) The columns in the APAR should be filled with due care and attention and after devoting adequate time.
- (ii) It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 9 or 10 would be justified with respect to specific accomplishments. Grades of 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the Reporting and Reviewing Authorities should rate the official against a larger population of his/her peers that may be currently working under them.
- (iii) APARs graded between 8 and 10 will be rated as "Outstanding" and will be given a score of 9 for the purpose of calculating average scores for empanelment/promotion.
- (iv) APARs graded between 6 and short of 8 will be rated as "Very Good" and will be given a score of 7.
- (v) APARs graded between 4 and short of 6 will be rated as "Good" and will be given a score of 5.
- (vi) APARs graded below 4 will be given a score of "Zero".

14. Weightage and Mean :

Weights have been assigned to work output, personal attributes and functional competency. The overall grade will be based on the addition of the mean value of each group of indicators in proportion to weightage assigned.

- 15. If there is more than one reporting officer for one official, the officer under whom the officer reported upon has worked for the maximum period shall do the

reporting. In this case, other officers shall give a report of performance to the Reporting Officer. The Reporting Officer shall make the report after taking into account the report from other officers also.

16. If the Reporting Officer is holding the additional charge of the Reviewing Authority, review shall not be done by that officer; it shall be done by the immediate superior of the Reviewing Authority.
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19. Even if there is no promotion prospect for an officer or an officer has reached the highest post where from there is no further promotion, APAR is mandatory. A review of grading obtained by these officers for the last three years would be made, once they cross the age of 50 years and if they are below the benchmark grading, action would be initiated for compulsory retirement with full benefits / demotion / Voluntary Retirement Scheme etc.
