



## JODHPUR VIDYUT VITRAN NIGAM LTD.

Corporate Identity Number (CIN) -U40109RJ2000SGC016483

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No. JdVVNL/MD/Secy.(Admn.)/Ju/S.Estt./F. /OO. 898 /D. 1513 dated 30/03/19

### ORDER

**Sub: - Adoption of APAR instruction issued by Department of personnel, GoR vide No. F.13(51)DOP/A-1/ACR/08 dated 05.06.2008**

The Board of Directors, JdVVNL, in its 251<sup>st</sup> meeting held on 29.03.2019 has accorded its approval to adopt APAR instructions issued by the Department of Personnel (A-1/ACR), GoR vide order No.F.13(51)/DOP/A-1/ACR/08 dated 05.06.2008 and Key Performance Indicator(KPI) for the officers/employees of pay matrix level -10 and above including feeder incharge. Accordingly, new Jodhpur Vidyut Vitran Nigam Limited APAR instructions,2019 is enclosed herewith.

Encl. New JdVVNL APAR Instructions,2019  
along with KPI Order.

By order

*[Handwritten signature]*  
30.3.19

(R.D. Barath) RAS  
Secretary (Admn.)  
Jodhpur Discom, Jodhpur.

Copy to the following for information and necessary action:

1. The Chief Engineer ( ), JdVVNL,
2. The Addl./Zonal Chief Engineer ( ), JdVVNL,
3. The Chief Controller of Accounts, JdVVNL, Jodhpur.
4. The Addl. Superintendent of Police (Vig.), JdVVNL, Jodhpur.
5. The Company Secretary, JdVVNL, Jodhpur.
6. The Chief Accounts Officer ( ), JdVVNL,
7. The Superintending Engineer ( ), JdVVNL,
8. The T.A. to Managing Director, JdVVNL, Jodhpur/Jaipur.
9. The Joint Director Personnel, JdVVNL, Jodhpur.
10. The Dy. Director Personnel ( ), JdVVNL,
11. The Sr. Accounts Officer ( ), JdVVNL,
12. The T.A./P.A. to Director (Technical/Finance), JdVVNL, Jodhpur.

*[Handwritten signature]*

Secretary (Admn.)  
Jodhpur Discom, Jodhpur.

# **JODHPUR VIDYUT VITRAN NIGAM LIMITED**

## **APAR INSTRUCTIONS, 2019**

### **Background:**

The Jodhpur Vidyut Vitran Nigam limited, hereinafter may be referred as Discom, was established on 19th June, 2000 by Government of Rajasthan under the provisions of the Rajasthan Power Sector Reforms Act, 1999 as one of the successor companies of RSEB. The Discom vide Circular No. D. 281 dated 07.07.2001 & No. 628 dated 20.09.2002 respectively has first issued the channel for submission of ACRs of HODs and the officers of Technical, Administration & Police Wing effective from the year 2000-2001 and onwards. Further vide order No. 162 dated 27.07.2001, instructions with respect to timelines and procedure to be adopted at Discom while writing Annual Confidential Reports (ACR) were prescribed.

Since the Discom has devised Key Performance Indicators (KPIs) for all of its department, it has been decided to bring more objectivity to the process of appraising employee through linking it with the scores obtained under devised KPI system.

Therefore, these instructions are now issued for writing the APAR linking it with the score under KPI system issued vide No.897/1512 dated 30.03.19. The various instructions/circulars/orders issued regarding this subject matter shall hereby repeal to the extent as specified in the "Repeal and Saving" clause of these instructions.

### **Preamble:**

The Annual Performance Appraisal Reports (APAR) is an important document. The performance of every employee is assessed annually through his/ her APAR. The work, conduct, character and capabilities of the officer are recorded in the APAR.

It is important for every employee that he/ she knows how well or otherwise, he / she is performing the job assigned to him/ her. It is imperative that he/ she knows his/ her achievements and shortcomings, which could affect his/ her career advancement in the long run. The performance appraisal system aims to achieve this objective.

Another objective of the APAR system is to provide information about the qualities, traits, strengths and weaknesses of the employees to the superior officers so that they can be placed at posts where their services can be utilized most fruitfully.

The APAR system also provides data for judging the merits of employees when questions relating to confirmation, promotion and grade selection arise. The APAR(s), thus, provide the basic and vital inputs for various purposes. Therefore, all the employees should undertake the duty of filling out the APAR forms with a high sense of responsibility.

### **INSTRUCTIONS**

- 1. Short title, commencement and application-**
  - (i) These instructions may be called the JdVVNL (Performance Appraisal Report) instructions, 2019.
  - (ii) They shall come into force from the financial year 2019-20 (to be filled during financial year 2020-21 and onwards).
- 2 Applicability-** These instructions shall apply to all employees of JdVVNL:-
  - (i) Engineering wing

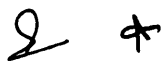


- (ii) Accounts wing
- (iii) Admn. & Personnel wing
- (iv) Persons on deputation to other department and BBMB.
- (v) Persons on deputation from other department.

3. **Interpretation-** If any doubt arises relating to the application, interpretation and scope of these instructions, the decision of the M. D., JdVVNL shall be final.
4. **Documents to be maintained In the Performance Appraisal Dossier-** Besides the performance appraisal reports, copies of documents and communications specified below shall be placed in the performance appraisal dossier –
- a. Copies of awards granted by the President/State Government.
  - b. Letters of appreciation issued by the Government.
  - c. Letters of appreciation issued by the Head of Special Bodies or Commissions or Paragraphs of appreciation by Name included in the Reports of such bodies
  - d. Letters of appreciation from individual non-officials if they are related to the appreciation of service rendered beyond the normal duty with the prior approval of the Secretary to Govt./Head of Department.
  - e. Letters of appreciation issued by the Head of Department in respect of an employee belonging to the-subordinate/ministerial service.
  - f. Copies of orders imposing any of the penalties specified in the Employees Conduct Regulations 1976/Employees CCA Regulations, 1962.
  - g. Copies of the communication addressed to employees warning (recorded) him or conveying the displeasure or reprimand by the' appointing authority or higher authorities.
  - h. Record of the approved courses of study or training undertaken by the official concerned.

**5. Maintenance and custody of the performance appraisal dossier:**

- (1) The performance Appraisal dossier of each officers/JENs/Ministerial Staff shall be maintained by and kept in the safe custody of the Secretary (Admn.) JdVVNL & Junior Accountant/AAO-II shall be kept in the safe custody of CAO (B&R), JdVVNL.
- (2) The maintenance of duplicate copies of APAR is not desirable. However, if it is considered necessary to retain copies of the reports, specific approval of the M.D., JdVVNL will have to be obtained.
- (3) The performance appraisal report when received for keeping in the dossier shall be thoroughly examined to know whether it is lacking in some respect. If it is seen that the report is incomplete in some respect, it shall be returned to the concern authority, as the case may be, for getting it completed in all respects
- (4) For confidentiality purposes, officers below the level of **Dy. Secretary/ Assistant Secretary/ Assistant Personnel Officer** should not handle performance appraisal dossiers of the Group A officers.
- (5) The performance dossier relating to a deceased employee may be destroyed after a period of two years from the date of his death and that of a retired Nigam employee five years after his date of retirement or settlement of the pensionary benefits, whichever is later.



**6. Responsibility for drawl of the APARs -**

- (1) The responsibility that the APARs are properly and timely drawn up in respect of all employees, including those who are on deputation to other departments, Central/State Government or are in Foreign Service :-
  - (i) In case of Officers/Sub-ordinate/ministerial staff, shall be that of Secretary (Admn.), JdVVNL.
  - (ii) In case of AAO-II, Junior Accountant shall be that of CAO (B&R), JdVVNL.
- (2) These authorities should review from time to time the pendency of APARs and take necessary remedial action, wherever necessary.

**7. Form of the Performance Appraisal Report-**

1. The employees have been divided into four categories for the purpose of filling up of the APAR. For each of these categories, a separate form has been prescribed and is appended to these instructions as under:

S. No.	Category	Form
1.	Officers	APAR (Form-I)
2.	Junior Engineer	
3.	Ministerial Staff (Level-10 and above)	
4.	Ministerial Staff (level 9 and below)	APAR (Form-II)

**8. Period of Reporting -**

- (1) The performance appraisal report in respect of all the Nigam employees would be drawn up for the period covered by the financial year.
- (2) No APAR shall be drawn up unless the Nigam employee reported upon has worked under a reporting officer for a period of at least three months during the year under report.
- (3) Subject to (2) above, two or more independent reports may be written for the same year by different reporting officers in the event of a change in reporting officer during the course of the year. In such cases each report should indicate precisely the period to which it relates and the report for the earlier part, or parts, of the year should be written at the time of transfer or immediately thereafter and not deferred till the end of the year.
- (4) There is no need to write a separate APAR if the reviewing authority or accepting authority is changed in the middle of the year, provided the reporting officer remains the same. In case for a period under report, there were more than one reviewing authorities, the last officer will review the APAR, provided it has supervised the work of the person for a period of at least three months. In case it has not seen the work of the person reported upon for at least three months, the officer immediately preceding it should review the APAR, provided, again that it has seen the work of the person for at least three months, and so on.
- (5) Where an official (reported/reporting/reviewing/accepting) has taken any kind of leave (Privilege leave/ Half Pay leave etc.) or remains on training for a long period (more than 15 days at a stretch during the period of Report), the total period spent on



leave/training should be deducted from the total period spent on any post, for purpose of computing the period of three months which is relevant for drawing APAR. However, this principle will not be applicable in the case of unauthorized absence where an adverse entry has to be made in the APARs of the Nigam employee concerned for such an absence. Leave/training period of a short duration need not be treated as relevant for the purpose.

**9. Levels of Assessment-**

- (1) The assessment of the employee will generally be made at three levels-
  - (a) Reporting officer, which is the immediately superior authority;
  - (b) Reviewing authority, which is the next higher authority of the reporting officer; and
  - (c) Countersigning/Accepting authority, which is the authority immediately senior to the reviewing authority.
- (2) The reporting/ reviewing/ accepting authority in case of each employee has been determined vide Order No. 895/1510 dated 30.03.19
- (3) For each period of report, under no circumstances should there be more than one reporting officer, and more than one reviewing authority. However, in some cases there may be more than one officer to record his comments as accepting authority.
- (4) There is no provision for any authority other than the reporting, reviewing and accepting authority for writing his remarks/comments about the work and conduct of a person in the APAR. The remarks by any other officer in the APAR are not in order.

**10 Key Performance Indicator Linked with Annual Performance Appraisal Reports.-**

1. JdVVNL has notified the KPIs for all employees/officers of pay level 10 and above vide office order No. 897/1512 dated 30.03.19 . Since the performance of an employee reflects on the performance of the organisation, it is now mandated that KPIs scores shall be included in the APAR.
2. In case the employee has served more than one department during the appraisal period than weighted average KPI score may be calculated as follows:

$$\text{Weighted Average KPI} = \frac{(KPI_{1\text{Department/wing}} \times \text{No. of months served} + KPI_{2\text{Department/wing}} \times \text{No. of months served} + KPI_{3\text{Department/wing}} \times \text{No. of months served} + \dots)}{\text{Total no. of months served}}$$

3. The KPI score of a department shall be considered while calculating weighted average if the employee has served in that department for minimum period of three months. However, if it comes out for an employee that he has not served any department/ Wing for minimum period of three months during the entire appraisal period than the KPI of the employee shall be calculated as per clause 10.2 and shall be submitted to the controlling officer where the employee has served for maximum period for writing APAR.



4. The employee has to fill relevant section of APAR for each department for which he has served for more than three months. However, the reporting officer under which the employee is working in maximum period in entire appraisal period shall forward final rating based on the weighted annual average KPI score. It shall be responsibility of the employ to submit the authenticated copy of KPI score, as may be declared by various HODs/ ZCEs whom the employ has served during the appraisal period, to the reporting officer so that He/She can make APAR assessment on the basis of weighted average KPI score and can award appropriate rating to the employee.
5. In the event, the target KPI(s) could not be met on account of reason, whatsoever, beyond control of the employee/ wing/ department/ organization the same shall not be considered for determining the final score. However, the reporting officer shall validate the reason(s) provided by the employee, with a statement explaining the reason due to which the achievement of KPI(s) needs to be considered as "Beyond control", failing which, no consideration shall be provided.

5.1 The final KPI score in such cases shall be determined as follows:

$$\text{Final KPI Score} = (\text{Calculated KPI} \times \text{Max. KPI score}^1) / (\text{Max KPI score}^2)$$

Where;

*Calculated KPI* = KPI score calculated while not considering the KPI parameter that is dropped on account of reason beyond control;

*Max. KPI score*<sup>1</sup> = Maximum KPI score possible while not considering the KPI parameter that is dropped on account of reason beyond control;

*Max KPI score*<sup>2</sup> = Maximum KPI score of the KPI parameter that is dropped on account of reason beyond control;

6. The rating of the employee that is determined as per the relevant reference range of KPIs provided at Annexure – E, cannot be changed under any circumstances, whatsoever, except by the Managing Director of the Company, under information to the Board. Such changes can only revise the rating one notch up/down, and only by recording detailed reasons for the action in the APAR dossier.
  7. All Officers/ Employees of pay matrix level 10 and above shall fill self appraisal report for APAR in form-1 and other employees of pay matrix level 9 and below shall fill APAR in form-2 till KPI matrix shall not declare for them.
11. **Responsibilities of employees-**
- (1) The reportee should use the correct APAR form I & II as the case may be.
  - (2) It shall be the responsibility of each employee to furnish the APAR form to his reporting officer after completing part-I /Sec-I thereof, in accordance with the prescribed as specified in these instructions, vide Annexure 'A' & 'B'. Also the time schedule prescribed for filling up APAR shall be followed strictly.
  - (3) It should be ensured that exact period with the starting date and the end date and not just the year of report is mentioned by the person reported upon at the appropriate place.
  - (4) In the APAR form space has been allotted for making necessary entries for employees with regard to self-appraisal and they should confine their self-appraisal to the space

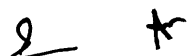
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allotted. Some of the employees append a number of sheets detailing self-appraisal along with statements and certificates etc. while submitting the APAR form, which not only renders the forms bulky but also increases the size of records unnecessarily. This is not desirable.

- (5) Every employee is under obligation to furnish information required under various provisions of the Employees Conduct Regulations-1976 along with property details with the performance appraisal report. If the property return is not appended to the APAR, it should not be entertained by the office of custody until the property return is received.

## 12. Responsibilities of the Reporting Officer -

- (1) It shall be the duty of reporting officer to carefully consider the norms prescribed and/or the duties demanded from the employee reported upon before recording his opinion. Where no norms are fixed, the reporting officer should fix targets, which are as far as possible quantifiable before the beginning of the period under report. If there are no targets assigned at the beginning of the year or the period of reporting, the APAR would be too subjective, which is avoidable. The reporting officer should not form hasty opinions or arrive at conclusions based on insufficient data or hearsay.
- (2) In the various entries under Part-II/Sec-II to be filled up by the reporting officer, the officer, after careful consideration, should only initial in anyone of the five boxes against each entry, there is no-need to make any remark or comment.
- (3) The reporting officer should make an assessment of the performance and abilities of the person reported upon briefly and intelligently relating to the general assessment of the person as required in the form. It should also comment generally on the way in which the person has carried out his/her various duties during the period. The reporting officer should also include an assessment of certain qualities of general importance such as intelligence, keenness, industry, tact, attitude towards superiors, subordinates and the general public, relation will follow- employees, etc., in the report. In addition, it should carry a general appreciation follow of the character, personality, conduct, aptitudes, shortcomings and abilities of the Nigam Employees.
- (4) The reporting officer should not only make an objective assessment of his subordinate's work and qualities but also give to his subordinates at all times the necessary advice, guidance and assistance to correct their faults. Such advice or criticism should be recorded at the relevant point.
- (5) Adverse entries, if any, should be recorded at related point. Adverse remarks should be recorded in the performance appraisal only when the person reported upon persistently fails to show improvement. While mentioning any faults defects, the reporting officer must also give an indication to the efforts at reforms made by him by way of guidance, admonition etc. and the result of such efforts
- (6) While filling up the column on overall assessment, the reporting officer must record the overall grading/specific categorization of the employee i.e. "Outstanding", "Very Good"; "Good", "Satisfactory" or "Unsatisfactory". He should not assess any person outside any of these categories like between good and, very good" or "very satisfactory" Or "good +" on the basis of KPI scored as specified at Annexure-C.
- (7) While filling up the column on overall assessment, the reporting officer must ensure that the overall grading recorded as indicated in (6) above conforms to the remarks



made in Part-II / Sec-II. The aim is that the overall assessment should be in agreement with the remarks/entries made in Part-II/Sec-II.

**13. Responsibilities of the Reviewing Officer -**

- (1) While it might be difficult for the higher officer to know a large number of employees two grades below him, his overall assessment of the character, performance and ability of the person reported upon is vitally necessary, as a build in corrective. The judgment of the immediate superior, even though completely fair in its intent might be some times too narrow and subjective to do justice to the employee reported upon. The officer superior to the reporting officer should therefore, consider it his duty to personally know and form own judgment of the work and conduct of the person reported upon.
- (2) While making its remarks, as the case may be, of the form, the authority should accordingly exercise positive and independent judgment on the remarks of the reporting officer and express clearly his agreement or disagreement with those remarks. This is particularly necessary in respect of adverse remarks if any, where the opinion of the higher officer shall be construed as the correct assessment.
- (3) It is the responsibility of the reviewing authority to verify the correctness of the remarks of the reporting officer. If the reviewing authority is not sufficiently familiar with the work of the person reported upon so as to be able to arrive at a proper and independent judgment of his own, he may make such enquiries as he may consider necessary.
- (4) While it is expected that the forms with alternative answers prescribed would minimized cryptic, vague or non-committal remarks being made in the reports, there may be cases where the entries are not sufficiently meaningful. Such reports should be returned to the reporting officer for application or explanation.
- (5) Where the reporting officer has recorded adverse entries, the reviewing officer may discuss with the reporting officer such adverse entries, and
  - (a) May countersign the report including the adverse entries, or
  - (b) Modify or expunge the adverse entries.
- (6) The reviewing authority must record the overall grading/specific categorization of the employee i.e. "Outstanding", "Very Good", "Good", "Satisfactory" or "Unsatisfactory". The reviewing authority must ensure that the overall assessment made by him conforms to the descriptive remarks recorded by him in the space provided for this purpose, as the case may be. The reviewing/accepting authority has a right to downgrade/ upgrade the assessment made by the lower officer where it is considered expedient in public interest. While doing so, not only should the authority express its disagreement with the assessment of the reporting and/or reviewing authority explicitly but the specific reasons for such down-gradation/up-gradation must also be recorded in the form itself at the space provided for.

**14. Responsibilities of the Countersigning/Accepting' authorities.**

It is the responsibility of the accepting authority to see that the APAR is filled up by the reporting and the reviewing authorities as per the instructions contained herein. There may be cases where the entries are not sufficiently meaningful. Such reports should be returned to the reporting/reviewing authority for amplification or explanation.

