



पावर ग्रिड कॉर्पोरेशन ऑफ इंडिया लिमिटेड
Power Grid Corporation of India Limited
सूचना का अधिकार अभिनियम 2005 के अंतर्गत केन्द्रीय लोक सूचना अधिकारी
Central Public Information Officer under the RTI Act, 2005
केन्द्रीय कार्यालय, 'सौदामिनी', प्लॉट नं.2, सेक्टर-29, गुडगांव, हरियाणा-122007
Corporate Centre, 'Saudamini', Plot No. 2, Sector-29, Gurgaon, Haryana-122007



CIN : L40101DL1989GOI038121

PGCIL/R/2019/50560

दिनांक: 20 December, 2019

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विषय: सूचना का अधिकार अधिनियम, 2005 के तहत जानकारी।

महोदय / महोदया,

कृपया आर.टी.आई. अधिनियम, 2005 के तहत दिनांक 10 December, 2019 को प्रेषित अपने आर.टी.आई. अनुरोध का संदर्भ लें।

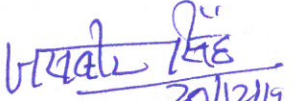
उपरोक्त पत्र में बांछित जानकारी अनुलग्नक-1 में संलग्न है।

यदि आप केन्द्रीय लोक सूचना अधिकारी के उत्तर से संतुष्ट न हो तो, केन्द्रीय लोक सूचना अधिकारी के उत्तर की प्राप्ति के 30 दिनों के भीतर पहले अपील प्राधिकारी के सम्मुख अपील की जा सकती है। आरटीआई अधिनियम, 2005 के तहत केन्द्रीय कार्यालय, गुडगांव में अपील प्राधिकारी का विवरण निम्नानुसार है:

श्री संजीव सिंह,
कार्यपालक निदेशक (सी एम जी) एवं अपील प्राधिकारी
केन्द्रीय कार्यालय, पावर ग्रिड कॉर्पोरेशन ऑफ इंडिया लिमिटेड,
"सौदामिनी", प्लॉट नंबर-2, सेक्टर-29, गुडगांव-122001, हरियाणा।
ईमेल आईडी: sanjeev@powergridindia.com
फोन नंबर: 0124-2571962

धन्यवाद,

भवदीय,


(जसबीर सिंह)
20/12/19

वरिष्ठ महाप्रबंधक (के. आ.) व के. लो. सू. अधिकारी

Email id: cpio.cc@powergrid.co.in

1. How is the performance appraisal of executives or officers is carried out in PGCIL . Is it online then provide when since it implemented .

Reply: The PAR in POWERGRID is carried out online. It has been online since 2016.

2. In case of employee is not satisfied then how he can submit his representation for up-gradation of the grading

Reply: Written representation through proper channel.

4. Last 5 years statistics year wise of the performance appraisal upgradation upon representation by the candidate after final acceptance of the competent authority or accepting authority at each level from E0 to E7. Please also elaborate the process in detail of upgradation of rating UPON REPRESENTATION . COMMITTEE do or competent authority alone at each level. pl. see the format attached.

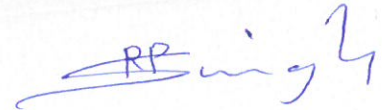
Reply: NIL

5. If possible provide the manual and policy of PGCIL for apar of the official.

Reply: Attached as annexure "A".

6. LIST OUT the cases where employee has gone to court in case he is not satisfied for his appraisal.

Reply: There are no such cases as mentioned above.



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1.0 PMS Process

The four step performance process followed in POWERGRID is given below

1.1 Performance Planning

- **Importance**

1. Parameters for performance measurement are pre-defined
2. Objectives are prioritized
3. Individual performance is enhanced by clear definition of deliverables
4. Role of individuals is clarified within overall organizational context

- **Process Steps**

- Set KRAs

1. KRA setting for all appraises in consultation with the reporting officer (appraiser)
2. KRAs to be set by taking inputs from the MoU targets, functional plans, individual responsibilities and cascading of KRAs from the top
3. KRAs to follow SMART principal.
4. KRAs to be cover important area of result.
5. The KRAs, once finalized, to be signed off by the appraiser and the appraise

1.2 Mid-year Review

- **Importance**

1. Performance management is not an event but an ongoing process
2. Helps in objective annual evaluation
 - Provides early warnings of non-performance; avoids year end surprises
 - Opportunity to revisit KRAs, change weightages or measures
 - Reinforces good performance in time
 - Provides an opportunity for appraise to express his thoughts on progress made and roadblocks encountered

- **Process Steps**

1. Appraiser and appraise to discuss changes in KRAs, if necessary
2. All KRAs to be re-filled in the form if any changes are made in either the KRAs, weightages or targets
3. Appraiser to document mid year discussion

- **Guidelines for changing KPAs in the mid-year**

1. Change in roles and responsibilities of appraise
2. Changes in organizational goals
 - a. Unanticipated projects
 - b. Abandonment of project as per corporate directive
3. Situations beyond control of the appraise such as accident or emergency situations

1.3 Annual Assessment

- **Importance**

1. Formal process to ensure performance is assessed annually
2. Opportunity for reviewing officer to offset rating biases
3. Provides inputs for other HR systems:
 - a. Rewards and Incentives
 - b. Career Development
 - c. Training and Development

- **Process Steps for Appraiser**

1. Evaluate performance against KRAs by comparing actual performance to targets set
2. Evaluate
 - a. Functional/technical competencies
 - b. Values
 - c. Potential
3. Transfer scores from all sections to the section on Total Marks for consolidation

- **Process Steps for Reviewing Officer**

1. Review the marks given for each section by the appraiser – check for overrating or underrating
2. Hold discussion with appraiser in case changes in scores are required
3. Rationale for changes in scores must be documented on PMS form
4. Reviewing officer and appraiser sign-off on the PMS form

1.4 Moderation Process

- **Importance**

1. Ensure parity and integrity by minimizing rater variation across various departments
2. Enhance objectivity and transparency in the appraisal system

- **Process Steps**

1. Assess the overall achievement of the business unit MoUs and functional goals; moderation would be done in view of the overall achievement of these goals
2. Plot distribution of scores for the cluster to check for skewing within and across departments
3. Checks to be made whether employees have been overrated or underrated on various PMS parameters such as:
 - a. KRA assessment
 - b. Competencies, Values and Potential assessment
4. Make suitable adjustments to scores, where necessary,
5. All appraisees in the cluster must be categorized into five point scale – OS, VG, G, A, NS

2.0 Key Features

- Key Result Areas (KRAs) have to be set after mutual discussions between the appraiser and appraisee in the beginning of the appraisal year.
- KRAs have to be finalized for the whole appraisal year in the beginning of the appraisal period. - KRAs are to be aligned with MOU targets of the Corporation as far as possible.
- KRAs should be made objective with specific targets for completion. The target should be either in a Number/ Date or Percentage.
- There is a provision for mid-year review so that the progress of work can be reviewed and in case some new assignment/ work is assigned the same can be incorporated after discussion between appraiser and appraisee.
- At the end of the appraisal period the appraisee would be required to fill actual achievement against each KRA.
- The appraiser shall discuss the actual achievements of appraisee at the end of appraisal period and record the contents of discussion in the performance review sheet.
- The appraiser shall award marks for the appraisal period in four parts of the Performance Appraisal Formats viz.
 - Performance
 - Competencies
 - Values
 - Potential Appraisal.

3.0 Appraisal Year & Coverage

The appraisal year will be the financial year from 1st April to 31st March for executives in the level of E7 and calendar year from 1st January to 31st December for executives in the level of E6 and below.

3.1 The Appraisal Reports are required to be filled in, in respect of all the executives who have served for a period of at least three months in the Appraisal Year.

3.2 If an executive has served in more than one Region/Deptt. or with more than one Reporting Officer for a period of at least three months in the Appraisal Year, separate reports have to be filled for each Region/Deptt. All the reports shall be considered by the Moderation committee and final rating for the year awarded. The rating decided by the moderation committee shall be the rating to be taken for all purposes.

3.3 Where more than 6 months of the appraisal year have elapsed at the time of consideration of an executive's promotion, a Special Performance Report for the part year will be obtained and taken into consideration along with the Reports of the previous years. Once the special report is followed and replaced by the usual annual report, the special report will no longer be taken into consideration.

3.4 In case of Transfer

If an executive has served minimum three months in one position/ location, he has to complete the AAR process with his reporting officer. For a period less than three months in a particular location or with a particular appraiser NO AAR is required to be filled.

On transfer to a new place or new role, an executive would again finalise a new set of KRAs with the new reporting officer for the balance assessment period. Same process shall also be followed if the reporting officer is transferred.

In case of transfer, new appraisal format is to be filled.

4.0 Procedure

Performance Appraisal Formats has four parts which are to be filled as per procedure detailed below:-

4.1.1 **Part –I A – Performance** – The Appraiser and Appraisee shall first discuss the Key Result Areas, measures and marks for them, based on the organisational goal and the role being performed by appraisee. The appraisee's Key Result Areas shall flow from the appraisers Key Result Areas.

Under the column Key Result Areas, the appraisee has to write the important areas of work along with specific targets. This column should be filled in the beginning of the appraisal period.

Under the column "Measures / Indicators", the suitable unit of measure (Number/ Date/Days or Percentage) may be chosen. The appraiser and appraisee have to jointly assigned marks to each KRA based on relative importance of the appraiser's role and should be filled in the Marks column. The sum total of all KRA marks should always be 100.

After the expiry of 6 month of the appraisal period a mid-year review will be done in the prescribed format to check if the performance is on the right track. Additional KRAs if required can be added at this stage.

4.1.2 **Part I B – End year review** – The appraisee shall fill the actual achievement at the end of appraisal year in the relevant column. The appraiser and appraisee shall again have discussion on the achievement and other aspects of performance. A brief note of the discussion shall also be recorded in the **Performance Review Sheet**.

4.2 **Part – II – Competencies** – This section consists of functional, technical and managerial Competencies required for successful performance in the job. The appraiser shall rate the appraisee on nine competencies as given in the appraisal format. The appraiser shall rate each attribute on a scale of 1 to 5. (5 indicating the highest level of competency and one indicating the lowest level of competency)

4.3 **Part – III- Values** – This section consists of values which an employee demonstrates in day to day activity, work and interactions. There are 10 attributes in the value section. Here, again the appraiser shall rate each value attributes on a scale of 1 to 5. (5 indicating the highest level of value and one indicating the lowest level of value)

- 4.4 **Part-IV- Potential Appraisal-** This section consist of attributes which are to be demonstrated in day to day activities. Attributes here represent the abilities required for senior level positions. POWERGRID has identified five potential appraisal attributes which have been defined in the appraisal format. The appraiser again shall rate each potential appraisal attributes on a scale of 1 to 5. (5 indicating the highest level of potential and one indicating the lowest level of potential)

Once the appraiser completes the appraisal format, he shall forward the same to the Reviewing Officer who then after completing the necessary formalities shall forward it to other executives in the hierarchy and finally the report will be submitted for acceptance by the Countersigning Authority.

5.0 Guidelines on KRA Finalisation

While finalization of the KRA the following Guidelines on KRA approved by MCM may be followed:-

- KRAs should be based on 'SMART' principle and finalized at the beginning of the appraisal period on mutual discussion between Appraiser and Appraisee.
- Individual KRAs in the Performance Appraisal Format should be limited to 8-10 in number.
- KRA factors to include cross functional work, if feasible for multi – skilling.
- All Regional Heads/ Projects Heads/ O&M Heads are requested to ensure that the safety is necessarily included as KRAs. Minimum 10% weightage in AAR up to DGM level and 5% for General Managers and Executive Director levels. With every fatal accident in their Jurisdiction, there would be a deduction of :-
 - i) 1% marks of the total marks allotted to safety KRA for EDs.
 - ii) 3 -5 % marks of the total marks allotted to safety KRA for officials upto GM
- The heads of Department/ Sections are also requested to ensure that the executives looking after Forest Clearance and Land Acquisition activities should necessarily include these as their KRAs.
- Since CSR is an integral part of the MOU signed with Ministry of Power, the heads of Regions/ Sub Stations are also requested to necessarily include CSR activities as KRA with 5% weightage for themselves and for the executives responsible for CSR activities.
- Self developmental KRAs like contribution to Knowledge Management/ Development of Subordinate/ New initiative in the department etc may be included in the individual KRAs with 5% weightage. A sample list of such KRAs is provided in the KRA directory as Common KRAs which is available on the PMS site.
- KRAs should be made objective with specific targets for completion. The target should be either in a Number/ Date/ Percentage. No other measurement parameter is acceptable.
- Minimum weightage for any KRA should not be less than 5%.

6.0 Marking System

The marks calculated from the above four parts of Appraisal Format are to be tabulated as given below.

		MARKS (E2 TO E6)	MARKS (E7)
PART – I	PERFORMANCE	75	65
PART –II	COMPETENCIES	15	15
PART –III	VALUES	05	10
PART –IV	POTENTIAL	05	10
	TOTAL	100	100

7.0 Conversion Table for Appraisal Rating

The conversion table for converting the marks into five point scale is given below:

Rating	Marks (E2-E6)	Marks (E7)
Outstanding	80-100	90-100
Very good	60-79	70-89
Good	50-59	50-69
Average	40-49	33-49
Not satisfactory	Below 40	Below 33

8.0 PMS Process Schedule

Sl.No.	Particulars	E2 to E6 Completion Date	E7 Completion Date
1.	Finalization of key result areas after discussion between appraiser and appraisee	30 th January of the calendar year for which report is to be written	30 th April of the financial year for which report is to be written
2.	Mid-Year Review	31 st July of the calendar year for which report is to be written	31 st October of the financial year for which report is to be written
3.	Submission of Final Year Achievements by Individual	10 th January of next calendar year for which report is to be written	30 th April of next financial year for which report is to be written
4.	Final Review (year-end assessment)	20 th January of next calendar year for which report is to be written	31 st May of next financial year for which report is to be written
5.	Countersigning by Accepting Authority	15 th February of next calendar year for which report is to be written	30 th June of next financial year for which report is to be written

9.0 Adverse Reports

- 9.1 In the event of the overall assessment being 'Not satisfactory', a communication will be issued to the concerned executive after the report has been countersigned by the concerned authority. For this, the final countersigning authority will send back the report to the Reviewing Officer for issuing the necessary communication to the concerned executive. The communication will be issued by the Reviewing Officer along with details including facts and figures.
- 9.2 Comments, if any, of the appraisee will be asked on the adverse report. The adverse report along with the comments of the appraisee will be examined by the final countersigning authority who will record his final decision along with reasons. Wherever CMD is the Reporting Officer or Reviewing Officer, his decision regarding expunction/retention of the adverse comments after due examination of the explanation submitted by the appraisee will be final.
- 9.3 The final decision will be communicated by the Reviewing Officer to the appraisee.

10.0 Normal Distribution Pattern of Appraisal Ratings

In appraisal of any population, the normal distribution pattern invariably holds good, may be with minor variations. Keeping this in view, while completing the appraisal reports, it should be ensured that following percentage is maintained:

Outstanding	15-20%
Very Good	35-40%
Good	40-45%
Average	10-20%
Not Satisfactory	0-5%

11.0 Appraisal Error

Appraiser should avoid following rating error while rating the subordinates:

- **Central tendency:** Clustering everyone in the middle performance categories to avoid extremes of good or bad performance; it's easy, but it's wrong. This isn't fair to employees who are really making an effort, and it can be demoralizing.
- **Grouping:** Excusing below-standard performance because it is widespread; "Everyone does it."
- **Recency:** Rating only recent performance, good or bad. Data should be representative of the entire review period. If you're not keeping good notes, you may not remember the whole period.
- **Holding a grudge:** Never try to pay employee for their past behaviour.
- **Bias:** Allowing your bias to influence the rating. Bias can come from attitudes and opinions about race, national origin, sex, religion, age, veterans' status, disability, hair colour, weight, height, intelligence, etc.
- **Favouritism:** Overlooking the nice employee especially whom everyone likes.
- **Guilt by association:** Rating someone on the basis of the company they keep, rather than on the work they do.
- **Halo Effect:** This is when a manager really likes an employee and allows their personal feelings about this employee to influence their performance ratings of them.
- **The horns effect:** The opposite of the halo effect—letting one negative work factor or behaviour you dislike, colour your opinion of other factors.
- **First Impression Error:** A new employee joining the organization and performing at high levels during their "honeymoon" period and then possibly losing some of that initial momentum.
- **The sunflower effect:** Rating everyone high, regardless of performance, to make yourself look good or to be able to give more compensation.
- **Strictness or Leniency:** Some supervisors tend to rate all their subordinates consistently low or high. These are referred to as strictness and leniency errors.

12.0 Performance Improvement Plan

- A Performance improvement Plan page shall be opened in respect of Employees having Average or Not Satisfactory performance.
- The process shall consist of Evaluation, Planning and Impact Assessment
- The reporting officer shall provide comprehensive, honest and fair feedback on the employee's performance, providing any relevant evidence regarding the gap in performance.
- The reporting officer in consultation with employee shall record root cause for non-performance.
- The reporting officer shall draw action plan for improvement of Performance
- The PIP shall include training need and competency gap also which shall auto fetch from Appraisal report. The training need and competency gap shall be shared with HRD for providing training and competency development plan. The training need identified/recommended in PIP shall have overriding effect on TNA.
- The Reporting Officer shall also Discuss Work Arrangement such as attendance, working hours, leave plan etc.
- The period of Performance improvement Plan (PIP) shall be of 6 months.
- At the end of 6 months Employee shall make self-assessment against Performance improvement areas and the reporting officer shall give assessment comment and feedback.
- The outcome of PIP in terms of satisfactory completion or requirement of further improvement shall be recorded.

13.0 For Assistance

The guidelines in the Handbook are explicit. The KRA training on Performance Formats have been imparted at HOD level though out the organisation. However, in case of any clarification the following may be contacted.

- Corporate Appraisal & Promotion Group.
- Head of HR/Concerned Appraisal coordinator in the Regions.
