

1. CMD/MD**PESB/Special Performance Report for Extension of Service**

Name _____ Designation _____

Organization _____ Date of Joining _____

This form is divided into two parts: the assessment of the generic attributes and the functional attributes. To protect the integrity of the appraisal, it is to be filled up in the reporting officers own hand. Please use a 5 point scale, where 5 = excellent, 4= very good, 3 = average, 2 = fair and 1= unsatisfactory. Extreme grading must be justified by concrete reasons.

- | A) <u>GENERIC ATTRIBUTES:</u> - Assessment of the incumbent's following qualities. | <u>Rating</u> |
|--|------------------|
| <i>(subheadings indicate factors to be kept in mind while assessing performance. These are only suggestive and not exhaustive)</i> | |
| [1] LEADERSHIP ABILITIES | 1-2-3-4-5 |
| <i>(Demonstrated ability for guiding collective decision making process, succession Planning, ability for crisis management, ability to take risks etc.)</i> | |
| [2] TEAM BUILDING | 1-2-3-4-5 |
| <i>(Demonstrated effectiveness in reorganizing his department's ability to manage diverse and divergent views, managing group process without losing sight of objective.)</i> | |
| [3] ABILITY TO BUILD A STRATEGIC VISION | 1-2-3-4-5 |
| <i>(Demonstrated ability for change management, demonstrated focus on long term issues, Strategic thinking ability to translate vision into goals and focus on implementation)</i> | |
| [4] BUSINESS SENSE | 1-2-3-4-5 |
| <i>(Demonstrated sensitivity to surrounding business environment and demonstrated Ability to spot opportunities for financial prudence)</i> | |
| [5] COMMUNICATION SKILLS | 1-2-3-4-5 |
| <i>(Acceptability within the organization, performance at board meetings etc, negotiation Skills, ability to convert ideas into action plans etc.)</i> | |
| [6] PROBLEM SOLVING AND ANALYTICAL ABILITY | 1-2-3-4-5 |
| <i>(Analysing and solving a problem by identifying the elements and relationships of a Problem in a systematic way and identifying logical links.)</i> | |
| [7] RESULT ORIENTATION | 1-2-3-4-5 |
| <i>(Demonstrated drive for results and ensure that operating practices and performance Results adhere to high standards of efficiency and excellence.)</i> | |

A. TOTAL 1-7 (MAXIMUM 35)	[]
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B. MOU Rating

Parameter	Basis	Rating
MOU Rating	As given by Govt.	*

* The last 4 available MOU ratings during which the officer was working in the company would be considered and marks would be awarded as under.

MOU Rating Marks

Excellent	8.75
Very Good	7
Good	5
Fair	3
Poor	1

The marks would be awarded for each year's MOU rating and then added for getting total score for 4 years.

In case the company did not sign MOU for particular year(s), the score would be calculated for the year(s) for which MOU rating is available and then pro-rata score for 4 years would be calculated.

B. TOTAL MOU RATING (MAXIMUM 35) []

C. FUNCTIONAL ATTRIBUTES

(Select any 6 of the following which are considered most relevant to the position and parameters at S.No. 17, 18 & 19 mandatory wherever applicable)

1. PARAMETERS

S. No.	Parameters	Basis	Base F.Y		Last		Rating
			Target	Actual	Target	Actual	
1	Production/Sales	Quantity					1-2-3-4-5
2	Exports	Quantity					1-2-3-4-5
3	Major Projects	Time over run					1-2-3-4-5
4	Major Projects	Cost over run					1-2-3-4-5
5	Manpower cost/cost of production	Rs. lakh					1-2-3-4-5

6	Profit before Tax	Rs. lakh						1-2-3-4-5
7	Reduction in Energy Consumption	Quantity						1-2-3-4-5
8	Reduction in Sundry Debtors	Days of sales						1-2-3-4-5
9	Increase in market share of main products (Name of products to be given)	%						1-2-3-4-5
10	Reduction in Inventory	Days of productio						1-2-3-4-5
11	Training man-days	Number						1-2-3-4-5
12	Measures on Quality Control	Narrative						1-2-3-4-5
13	Environment & Safety management	Narrative						1-2-3-4-5
14	Initiatives towards planned development / long term plans/diversification	Narrative						1-2-3-4-5
15	Value added per employee	Rs. lakhs						1-2-3-4-5
16	Compliance with DIPAM Guidelines on Capital Restructuring							1-2-3-4-5
17	Achievements with respect to CAPEX targets							1-2-3-4-5
18	Treasury Management							1-2-3-4-5
19	Any other parameter							1-2-3-4-5

C. (MAXIMUM 30) []

Assessment of the overall performance [total of A+B+C above]
= [] (MAXIMUM 100)

If necessary, please attach a separate sheet, also in your own hand, for any additional information.

Date: DD/MM/YYYY

Signature & Designation of Appraiser

Date: DD/MM/YYYY

Signature & Designation of Reviewing Authority (in case of subsidiary company)

Note:

1. Cases with a total score below 80 out of 100 and/or any individual score of less than 3 in Parts A and C and less than 20 in Part B will need to be sent to PESB for holding a Joint Appraisal.
2. In case of a Company not signing MOU at all, the total score required for not making reference to PESB will be 48 out of 60 with no individual score being less than 3.
3. In case of *Chairman*/CMD/MD of the Board *of the holding company*, the SPR will be initiated by the Secretary of the *concerned* Administrative Ministry and sent to PESB 6 (*six*) months in advance of completion of tenure, in case Joint Appraisal is needed.
4. In case of Chairman/CMD/MD of the Board of the subsidiary company, the SPR will be initiated by the Chairman/CMD/MD of the holding company, 9(nine) months in advance of completion of tenure and then, sent to the Secretary of the concerned Administrative Ministry/Department for review/comments and forwarded to PESB, 6(six) months before completion of tenure, in case Joint Appraisal is needed..
5. If the CMD/Secretary was not in position during the period for which the SPR is considered, the SPR of a Board level incumbent of a company will be initiated/ reviewed by the present CMD/Secretary on the basis of available records.

PESB/Special Performance Appraisal

Guidelines

1. This format of the form is **not** confidential. You are encouraged to share this format with the officer who is being assessed.
2. The Proforma 'A' is to be filled in by hand by the Appraiser.
3. Although the form is substantially complete, please attach separate annexure, if any required.
4. The form is divided into assessment of the two broad attributes, the generic and the functional in addition to MOU performance of company.
5. Both sets of attributes are to be evaluated on a scale of 1-5, where 1 is minimum (unsatisfactory) and 5 is the maximum (excellent)
6. The generic characteristics carry a weight of 35%; MOU Rating has a weight of 35% while the functional characteristics carry a weight of 30%. The maximum score that an individual can have is 100. The minimum acceptable to PESB is a total of 80 in the aggregate with no attribute being less than 3.
7. While the generic attributes are based on the qualitative assessment, as far as possible please use objective criterion so far as the functional attributes are concerned. Ratings are to be supported with quantitative numbers as indicated against their parameters.
8. The common factor between all these attributes is the assessment of the individual's contribution to the creation of value for the organization. This may please be kept in mind while filling in the form.

Special Instructions for the Generic Attributes

1. In terms of detailed definition/explanations:
 - i) Leadership abilities must reflect the candidate's ability to provide leadership not only within the organization but also in the industry.
 - ii) Team building attributes must reflect the candidate's ability to manage diverse views and ensuring group processes yield synergy.
 - iii) Strategic visioning must be the result of strategic thinking, i.e. the ability to look at things differently, and the ability to break down the vision into consistent objectives and goals.
 - iv) Business sense must include financial conservativeness coupled with the ability to take calculated risks based on sensitivity to the external environment.
 - v) Above all, communication skills must reflect the candidate's ability to communicate, both verbally as well as non-verbally, within and outside the organization.

Special Instructions for the Functional Attributes

1. Measures have to be with reference to base Financial Year i.e. the completed financial year before joining the post, compared with the performance in the last completed financial year.
2. For the base financial year as well as the last Financial Year, comparison may be with reference to original budgeted target versus actuals, indicating the percentage of achievement.
3. Under functional attributes, other relevant attributes may also be added but the total number of attributes adopted will be limited to 6 for a particular position viz Chairman/CMD/MD. Secretary of the administrative Ministry may decide on the applicable attributes for Chairman/CMD/MD and for Directors in consultation with the Chairman of the company. This should be done in advance preferably within a couple of months of the incumbent joining the post.

1. DIRECTOR

PESB/Special Performance Report for Extension of Service

Name _____ Designation _____

Organization _____ Date of Joining _____

This form is divided into two parts: the assessment of the generic attributes and the functional attributes. To protect the integrity of the appraisal, it is to be filled up in the reporting officers own hand. Please use a 5 point scale, where 5 = excellent, 4= very good, 3 = average, 2 = fair and 1= unsatisfactory. Extreme grading must be justified by concrete reasons.

GENERIC ATTRIBUTES:- Assessment of the incumbent's following qualities.

Rating

(subheadings indicate factors to be kept in mind while assessing performance.

These are only suggestive and not exhaustive)

[1] LEADERSHIP ABILITIES 1-2-3-4-5

(Demonstrated ability for guiding collective decision making process succession planning, ability for crisis management, ability to take risks etc.)

[2] TEAM BUILDING 1-2-3-4-5

(Demonstrated effectiveness in reorganizing his department's ability to manage diverse and divergent views, managing group process without losing sight of objective.)

[3] ABILITY TO BUILD A STRATEGIC VISION 1-2-3-4-5

Demonstrated ability for change management, demonstrated focus on long term issues, strategic thinking ability to translate vision into goals and focus on implementation)

[4] BUSINESS SENSE 1-2-3-4-5

(Demonstrated sensitivity to surrounding business environment and demonstrated a ability to spot opportunities for financial prudence)

[5] COMMUNICATION SKILLS 1-2-3-4-5

(Acceptability within the organization, performance at board meetings etc, negotiation skills, ability to convert ideas into action plans etc.)

A. TOTAL 1-5 (Maximum Marks 25) [] =

B. FUNCTIONAL ATTRIBUTES

(Select any five of the following which are considered most relevant to the position. However MOU rating at S.No. 6 except if company is not signing MOU at all and parameters at S.No. 22, 23 & 24 wherever applicable is/are compulsory parameter(s))

S.No.	Parameters	Basis	Base F.Y		Last		Rating
			Target	Actual	Target	Actual	
6.	MOU Rating	As given by Govt.					** 1-2-3-4-5
7.	Production/Sales	Quantity					1-2-3-4-5
8.	Exports	Quantity					1-2-3-4-5
9.	Major Projects -- -- --	Time over run Cost over run					1-2-3-4-5
10.	Manpower cost/cost of production	Rs/lakh					1-2-3-4-5
11.	-- Profit before Tax -	Rs/lakh					1-2-3-4-5
12.	Reduction in Energy Consumption	Quantity					1-2-3-4-5
13.	Reduction in Sundry Debtors	Days of sales					1-2-3-4-5
14.	Increase in market share of main products (e.g.....)	%					1-2-3-4-5
15.	Reduction in Inventory	Days of production					1-2-3-4-5
16.	Training mandays	Number					1-2-3-4-5
17.	Measures on Quality Control	Narrative					1-2-3-4-5
18.	Environment & Safety management	Narrative					1-2-3-4-5
19.	Initiatives towards planned development / long term plans/diversification	Narrative					1-2-3-4-5
20.	Value added per employee						1-2-3-4-5

Note:

1. Cases with a total score below 40 out of 50 and/or any individual score of less than 3 (including in MOU rating) will need to be sent to PESB for holding a Joint Appraisal.
2. In case of Director of the Board of the company the SPR will be initiated by the Chairman/CMD/MD of the Company, 9(nine) months in advance of completion tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, 6(six) months before completion of tenure, in case Joint Appraisal is needed.
3. In case of Director of the Board of the subsidiary company the SPR will be initiated by the Chairman/CMD/MD of the subsidiary company (if post of Chairman/CMD/MD of the subsidiary company is vacant then Chairman/CMD/MD of the holding company), 9(nine) months in advance of completion of tenure and sent to the Secretary of the concerned Administrative Ministry /Department for review/ comments and forwarded to PESB, 6(six) months before completion of tenure, in case Joint Appraisal is needed.
4. If the CMD/Secretary was not in position during the period for which the SPR is considered, the SPR of a Board level incumbent of a company will be initiated/ reviewed by the present CMD/Secretary on the basis of available records.

PESB/Special Performance Appraisal

Guidelines

1. This format of the form is **not** confidential. You are encouraged to share this format with the officer who is being assessed.
2. The enclosed sheet is to be filled in by hand by the reporting officer.
3. Although the form is complete in all respects, and should not warrant any annexes, any additional data provided should also be as far as possible in the reporting officers own hand.
4. The form is divided into your assessment of the two broad attributes, the generic and the functional.
5. Both sets of attributes are to be evaluated on a scale of 1-5, where 1 is minimum (unsatisfactory) and 5 is the maximum (excellent)
6. The weight of the two sets of characteristics is the same in case of Directors. From the 10 attributes, the maximum score that an individual can have is 50. The minimum acceptable to PESB is a total of 40 in the aggregate with no attribute being less than 3.
7. While the generic attributes are based on the qualitative assessment, as far as possible, please use objective criterion so far as the functional attributes are concerned. Ratings are to be supported with quantitative numbers as indicated against their parameters.
8. The common factor between all these attributes is the assessment of the individual's contribution to the creation of value for the organization. This may please be kept in mind while filling in the form.

Special Instructions for the Generic Attributes

1. The Generic attributes are five in number. They reflect **your** assessment as in most cases quantification may not be possible.
2. The evaluation of the attributes must relate to the overall objective, i.e. whether the candidate has, in the last year, been able to create value for the organization
3. In terms of detailed definition/explanations:
 - i) Leadership abilities must reflect the candidate's ability to provide leadership not only within the organization but also in the industry.
 - ii) Team building attributes must reflect the candidate's ability to manage diverse views and ensuring group processes yield synergy.
 - iii) Strategic visioning must be the result of strategic thinking, i.e. the ability to look at things differently, and the ability to break down the vision into consistent objectives and goals.
 - iv) Business sense must include financial conservativeness coupled with the ability to take calculated risks based on sensitivity to the external environment.
 - v) Above all, communication skills must reflect the candidate's ability to communicate, both verbally as well as non-verbally, within and outside the organization.

Special Instructions for the Functional Attributes

1. Measures have to be with reference to base Financial Year i.e. the completed financial year before joining the post, compared with the performance in the last completed financial year.
2. The overall performance rating may be given in a scale from 1-5 where 5 is highest and 1 is lowest.
3. For the base financial year as well as the last Financial Year, comparison may be with reference to original budgeted target versus actuals, indicating the percentage of achievement.
4. Under functional attributes, other relevant attributes may also be added but the total number of attributes adopted will be limited to 5 for a particular position. Secretary of the administrative Ministry may decide on the applicable attributes for CMD/MD and for Directors in consultation with the Chairman of the company. This should be done in advance preferably within a couple of months of the incumbent joining the post.

PERFORMANCE APPRAISAL = PROFORMA 'B'

1. NAME :
2. DESIGNATION INCLUDING NAME OF THE ENTERPRISE:
3. DATE OF BIRTH :
4. DATE OF APPOINTMENT TO THE PRESENT POST :
5. PERFORMANCE OF THE ENTERPRISE SINCE THE DATE OF APPOINTMENT OF THE INCUMBENT TO THE PRESENT BOARD LEVEL POST:

(RS. IN CRORE)

YEARS	CAPACITY UTILISED %	INVESTMENT	CAPITAL EMPLOYED	TURNOVER	PROFIT LOSS	MAN-DAYS LOST (No)
(1)	(2)	(3)	(4)	(5)	(6)	(7)

6. PERFORMANCE OF THE ENTERPRISE DURING 3 YEARS PRECEDING THE ABOVE-MENTIONED PERIOD:

(RS. IN CRORE)

YEARS	CAPACITY UTILISED %	INVESTMENT	CAPITAL EMPLOYED	TURNOVER	PROFIT LOSS	MAN-DAYS LOST (No)
(1)	(2)	(3)	(4)	(5)	(6)	(7)

NOTE: FIGURES AS PER ANNUAL REPORT

PERFORMANCE APPRAISAL (FINANCE) = PROFORMA 'C'

RS. IN CRORES

1. WHETHER THE COMPANY HAS DEVELOPED A CORPORATE FINANCE
SHORT-TERM, MEDIUM-TERM

2. (i) INVENTORY CONTROL:

<u>YEAR</u>	<u>NUMBER OF DAYS OF PRODUCTION</u>
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(ii) SUNDRY DEBTOR

<u>YEAR</u>	<u>NUMBER OF DAYS OF SALES</u>
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3. (i) INPUT-OUTPUT RATIOS

(ii) NET PROFIT/NET SALES (%)

(iii) NET SALES/CAPITAL EMPLOYED

(iv) (RATIO) LONG TERM DEBT/NET WORTH

(v) (RATIO) SALARY AND WAGES TO SALES

(vi) TURNOVER EARNING PER SHARE (IN RS.)

(vii) DEBT EQUITY RATIO

(viii) NET PROFIT/NET WORTH

4. TAX PLANNING:

5. ANY OTHER AREAS TO WHICH HE HAS BEEN ENGAGED:

PERFORMANCE APPRAISAL (PERSONNEL) = PROFORMA 'D'

FOR THE LAST 5 YEARS

(AS ON 31st MARCH)

1. NUMBER OF EMPLOYEES :
2. NUMBER OF STRIKES AND LOCK-OUTS :
3. PAY REVISION UNDERTAKEN :
4. EMPLOYEES PARTICIPATION IN MANAGEMENT :

5. PERCENTAGE OF SC & ST EMPLOYEES/OBCs
SEPARATELY :
- 5(a) SC & ST /OBC EMPLOYEES PARTICIPATION IN
MANAGEMENT :**
6. INTRODUCTION OF PERFORMANCE
MANAGEMENT SYSTEM :
7. HOLDING OF DPCs IN TIME :
8. OTHER AREAS OF WORK :