

PESB/Special Performance Report for Confirmation

1. CMD

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 and the confidentiality 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 to be attached to this sheet, also to be filled in by hand.

GENERIC ATTRIBUTES:-

What is your assessment of the incumbents' following qualities? (Subheading indicates factors to be kept in mind while assessing performance. These are only suggestive and not exhaustive)

[1] LEADERSHIP ABILITIES **1-2-3-4-5**
demonstrate ability of guiding collective decision making process succession planning ability for crisis management, ability to take risks.

[2] TEAM BUILDING **1-2-3-4-5**
demonstrate effectiveness in reorganizing his own department 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**
demonstrate ability for change management demonstrated focus on long term issues, and strategic thinking ability to translate vision into goals, and focus on implementation

[4] BUSINESS SENSE **1-2-3-4-5**
demonstrate sensitivity to surrounding business environment demonstrated ability to spot opportunities 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

A. TOTAL 1-5	[] *2 *0.60 =
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FUNCTIONAL ATTRIBUTES:

Please assess the incumbent's performance in terms of her/his specific contributions in attributes mentioned as below:

(Select any five of the following which are considered the most relevant to the position)(S.No. 6, 11, 12 & 13 is/are compulsory)

		Base Financial Year		Performance
		Actual	% Change over last year	
6	Fulfillment of MOU targets			1-2-3-4-5
7	Increases in market share			1-2-3-4-5
8	Changes in market capitalization			1-2-3-4-5
9	Performance Management			1-2-3-4-5
10	Introduction of efficient systems/BPR			1-2-3-4-5
11	Compliance with DIPAM Guidelines on Capital Restructuring			1-2-3-4-5
12	Achievements with respect to CAPEX targets			1-2-3-4-5
13	Treasury Management			1-2-3-4-5

B. TOTAL 6-10 []*2* 0.40 =

Assessment of the overall performance [total of A+B above] = []

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

Date: DD/MD/YYYY

Signature & Designation

Note:

1. 40 – 50 - Outstanding
30 – 40 - Very Good

Total score in the SPR below 37.5 and any individual attribute score of less than 3(three) will need to be sent to PESB for holding a Joint Appraisal.

2. 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/Department, 1(one) month in advance of completion of first year of tenure and sent to PESB, within 30 days after the expiry of one year, if Joint Appraisal is needed .

3. 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, 2(two) months in advance of completion of first year of tenure and then, send to the Secretary of the concerned Administrative

Ministry/Department for review/comments and sent to PESB, within 30 days after the expiry of one year, if 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.

Guidelines/instructions regarding Special Performance Report (SPR).

ACC instructions regarding Confirmation of Board level appointees

Auth: (i) [DoPT's OM No.28\(30\)EO/2010\(ACC\) dated 31.03.2011](#);

(a) A CMD/MD/Functional Director would be deemed to be confirmed unless the Ministry / Department send a proposal to the PESB, to the contrary, within 30 days after the expiry of one year.

(b) Within this stipulated period of one year and thirty days, the officer would be deemed to have been confirmed and the Ministry shall issue necessary orders for confirmation, if the Ministry fails to send a proposal to the contrary, to the PESB.

(c) The PESB shall hold a Joint Appraisal on receipt of the proposal, within one month, after which the proposal shall be sent to the Ministry for placing before the ACC for orders.

(d) If the Ministry/Department is not inclined to confirm the appointee for reasons other than performance such as vigilance issues etc., then such proposals shall be submitted to the ACC directly atleast 30 days in advance of the expiry of the scheduled tenure of the incumbent.

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, **if any**, is to be filled in by hand by the **initiating/reviewing** 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. Extreme grading is to be justified in all cases [i.e. a score of 5 or 1] illustrating with clear examples why this grade was necessary.
7. The weighing of the two sets of attributes are different. The generic attributes carry a weight of 60% while the functional attributes carry a weight of 40%. From the 10 attributes, the maximum score that an individual can have is 50. The minimum acceptable to PESB is a total of 37.5 in the aggregate with no attribute being less than 3. This scaling method may also be shared with the incumbent.
8. 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.
9. This appraisal form is based on the performance of the individual in the organization in the last one year. The performance of the individual; must be reflected in the performance of the organization.
10. 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 CONCERNED AUTHORITY REGARDING 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. has the incumbent, in the last year been able to create value for the organization
3. In terms of detailed definition/explanations:
 - 1) Leadership abilities must reflect the incumbent's ability to provide leadership not only within the organization but also in the industry.
 - 2) Team building attributes must reflect the incumbent's ability to manage diverse views and ensuring group processes yield synergy.
 - 3) 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.
 - 4) Business sense must include financial conservativeness coupled with the ability to take calculated risks based on sensitivity to the external environment.
 - 5) Above all, communication skills must reflect the incumbent's ability to communicate, both verbally as well as non-verbally, within and outside the organization.

SPECIAL INSTRUCTIONS FOR THE CONCERNED AUTHORITY REGARDING THE FUNCTIONAL ATTRIBUTES

1. The functional attributes are different from the generic attributes inasmuch as they demand a certain level of quantification. In some cases, these may not be amendable to quantification. But as far as possible, figures must support the grade.
2. In case an incumbent has joined in the middle of the year, and has no figures to support his performance, part year figures, where available, or estimates may be used.
3. In terms of detailed definitions:
 - 1) MOU score is to be evaluated on a 5 point scale
 - 2) Market share to be measured in volume not value terms.
 - 3) Market capitalization is based on the share price on Bombay SE. In firms where the scraps are not listed changes in reserves and surpluses may be evaluated.
 - 4) Performance management is the holistic approach of HR to improving the efficiency of the sub systems within the organization. This may not be amenable to quantification.
 - 5) Introduction of new systems must include benchmarking, BPR, etc. aimed at performance management
 - 6) DIPAM guidelines regarding payment of dividend and buy-back of shares

PESB/Special Performance Report for Confirmation

2. Director (Corporate Planning)

Name _____ Designation _____

Organization _____ Date of Joining _____

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GENERIC ATTRIBUTES:-

What is your assessment of the *incumbent's* following qualities? (Subheading indicates factors to be kept in mind while assessing performance. These are only suggestive and not exhaustive)

[1] LEADERSHIP ABILITIES 1-2-3-4-5
demonstrate ability of guiding collective decision making process succession planning ability for crisis management, ability to take risks.

[2] TEAM BUILDING 1-2-3-4-5
demonstrate effectiveness in reorganizing his own department 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
demonstrate ability for change management demonstrated focus on long term issues, and strategic thinking ability to translate vision into goals, and focus on implementation

[4] BUSINESS SENSE 1-2-3-4-5
demonstrate sensitivity to surrounding business environment demonstrated ability to spot opportunities 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

A. TOTAL 1-5 []*2 *0.60 =

FUNCTIONAL ATTRIBUTES:

Please assess the incumbent’s performance in terms of her/his specific contributions in attributes mentioned as below:

(Select any five of the following which are considered the most relevant to the position)

		<i>Base Financial Year</i>		Performance
		<i>Actual</i>	<i>% Change over last year</i>	
6	Initiatives towards planning			1-2-3-4-5
7	Development of planning systems			1-2-3-4-5
8	Communication exercises held			1-2-3-4-5
9	Focus on generic strategies			1-2-3-4-5
10	Accuracy of planning forecasts			1-2-3-4-5
11	Compliance with DIPAM Guidelines on Capital Restructuring			1-2-3-4-5
12	Achievements with respect to CAPEX targets			1-2-3-4-5
13	Treasury Management			1-2-3-4-5

B. TOTAL 6-13 (any five)	[]*2* 0.40 =
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Assessment of the overall performance [total of A+B above]	= []
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If necessary, please attach a separate sheet, also in your own hand, for any additional information.

Date: DD/MM/YYYY

Signature & Designation (Initiating authority)

Remarks for reviewing authority, if any:

Date: DD/MM/YYYY

Signature & Designation (Reviewing authority)

Note:

1. 40 – 50 - Outstanding
30 – 40 - Very Good

Total score in the SPR below 37.5 and any individual attribute score of less than 3(three) 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, 2(two) months in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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), 2(two) month in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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.

Guidelines/instructions regarding Special Performance Report (SPR).

ACC instructions regarding Confirmation of Board level appointees

Auth: (i) [DoPT's OM No.28\(30\)EO/2010\(ACC\) dated 31.03.2011;](#)

(a) A CMD/MD/Functional Director would be deemed to be confirmed unless the Ministry / Department send a proposal to the PESB, to the contrary, within 30 days after the expiry of one year.

(b) Within this stipulated period of one year and thirty days, the officer would be deemed to have been confirmed and the Ministry shall issue necessary orders for confirmation, if the Ministry fails to send a proposal to the contrary, to the PESB.

(c) The PESB shall hold a Joint Appraisal on receipt of the proposal, within one month, after which the proposal shall be sent to the Ministry for placing before the ACC for orders.

(d) If the Ministry/Department is not inclined to confirm the appointee for reasons other than performance such as vigilance issues etc., then such proposals shall be submitted to the ACC directly atleast 30 days in advance of the expiry of the scheduled tenure of the incumbent.

Guidelines

1. This format of the form is **not** confidential and the same may be shared with the officer who is being assessed.
2. The enclosed sheet, *if any*, is to be filled in by hand by the *initiating/reviewing* 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. Extreme grading is to be justified in all cases [i.e. a score of 5 or 1] illustrating with clear examples why this grade was necessary.
7. The weighing of the two sets of attributes are different. The generic attributes carry a weight of 60% while the functional attributes carry a weight of 40%. The maximum score that an individual can have is 50 in 10 attributes. The minimum acceptable to PESB is a total of 37.5 in the aggregate with no individual attribute score being less than 3. This scaling method may also be shared with the incumbent.
8. 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.
9. This appraisal form is based on the performance of the individual in the organization in the last one year. The performance of the individual; must be reflected in the performance of the organization.
10. The common factor between all these attributes is the assessment of the individuals 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 CONCERNED AUTHORITY REGARDING 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. has the incumbent, in the last year been able to create value for the organization.
3. In terms of detailed definition/explanations:
 - 1) Leadership abilities must reflect the incumbent's ability to provide leadership not only within the organization but also in the industry.
 - 2) Team building attributes must reflect the incumbent's ability to manage diverse views and ensuring group processes yield synergy.
 - 3) 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.
 - 4) Business sense must include financial conservativeness coupled with the ability to take calculated risks based on sensitivity to the external environment.
 - 5) Above all, communication skills must reflect the incumbent's ability to communicate, both verbally as well as non-verbally, within and outside the organization.

SPECIAL INSTURCTIONS FOR *THE CONCERNED AUTHORITY REGARDING THE FUNCTIONAL ATTRIBUTES*

1. The functional attributes are different from the generic attributes inasmuch as they demand a certain level of quantification. In some cases, these may not be amendable to quantification. But as far as possible, figures must support the grade.
2. In case an incumbent has joined in the middle of the year, and has no figures to support his performance, part year figures, where available, or estimates may be used.
3. In terms of detailed definitions:
 - 1) Achieving corporate advantage. Demonstrated focus on micro level planning, publication of corporate plan etc,
 - 2) Implementation initiatives, decentralized planning efforts especially micro planning, and the transition towards "bottom-up" planning.
 - 3) Number of seminars, workshops etc. held.
 - 4) Generic strategies in terms of cost leadership and product differentiation. How many of the plan strategies are in these areas.
 - 5) On a cumulative basis, how much of the plan targets have been achieved (%)
 - 6) DIPAM guidelines regarding payment of dividend and buy-back of shares.

PESB/Special Performance Report for Confirmation

3. Director (Finance)

Name _____ Designation _____

Organization _____ Date of Joining _____

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GENERIC ATTRIBUTES:-

What is your assessment of the incumbent’s following qualities? (Subheading indicates factors to be kept in mind while assessing performance. These are only suggestive and not exhaustive)

[1] LEADERSHIP ABILITIES 1-2-3-4-5
demonstrate ability of guiding collective decision making process succession planning ability for crisis management, ability to take risks.

[2] TEAM BUILDING 1-2-3-4-5
demonstrate effectiveness in reorganizing his own department 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
demonstrate ability for change management demonstrated focus on long term issues, and strategic thinking ability to translate vision into goals, and focus on implementation

[4] BUSINESS SENSE 1-2-3-4-5
demonstrate sensitivity to surrounding business environment demonstrated ability to spot opportunities 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

A. TOTAL 1-5 [] *2 *0.60 =

FUNCTIONAL ATTRIBUTES:

Please assess the incumbent’s performance in terms of her/his specific contributions in attributes mentioned as below:

(Select any five of the following which are considered the most relevant to the position)

		<i>Base Financial Year</i>		Performance
		<i>Actual</i>	<i>% Change over last year</i>	
6	Gross Margin			1-2-3-4-5
7	Average interest			1-2-3-4-5
8	Fund management			1-2-3-4-5
9	Introduction of Financial system			1-2-3-4-5
10	Cash profit			1-2-3-4-5
11	Compliance with DIPAM Guidelines on Capital Restructuring			1-2-3-4-5
12	Achievements with respect to CAPEX targets			1-2-3-4-5
13	Treasury Management			1-2-3-4-5

B. TOTAL 6-13 (any five) []*2* 0.40 =

Assessment of the overall performance [total of A+B above] = []

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

Date: DD/MM/YYYY

Signature & Designation (Initiating authority)

Remarks for reviewing authority, if any:

Date: DD/MM/YYYY

Signature & Designation (Reviewing authority)

Note:

1. 40 – 50 - Outstanding
30 – 40 - Very Good

Total score in the SPR below 37.5 and any individual attribute score of less than 3(three) 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, 2(two) months in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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), 2(two) month in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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.

Guidelines/instructions regarding Special Performance Report (SPR)

ACC instructions regarding Confirmation of Board level appointees

Auth: (i) [DoPT's OM No.28\(30\)EO/2010\(ACC\) dated 31.03.2011](#);

(a) A CMD/MD/Functional Director would be deemed to be confirmed unless the Ministry / Department send a proposal to the PESB, to the contrary, within 30 days after the expiry of one year.

(b) Within this stipulated period of one year and thirty days, the officer would be deemed to have been confirmed and the Ministry shall issue necessary orders for confirmation, if the Ministry fails to send a proposal to the contrary, to the PESB.

(c) The PESB shall hold a Joint Appraisal on receipt of the proposal, within one month, after which the proposal shall be sent to the Ministry for placing before the ACC for orders.

(d) If the Ministry/Department is not inclined to confirm the appointee for reasons other than performance such as vigilance issues etc., then such proposals shall be submitted to the ACC directly atleast 30 days in advance of the expiry of the scheduled tenure of the incumbent.

Guidelines

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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. Extreme grading is to be justified in all cases [i.e. a score of 5 or 1] illustrating with clear examples why this grade was necessary.
7. The weighing of the two sets of attributes are different. The generic attributes carry a weight of 60% while the functional attributes carry a weight of 40%. The maximum score that an individual can have is 50 in 10 attributes. The minimum acceptable to PESB is a total of 37.5 in the aggregate with no attribute being less than 3. This scaling method may also be shared with the incumbent.
8. 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.
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SPECIAL INSTRUCTIONS FOR THE CONCERNED AUTHORITY REGARDING THE GENERIC ATTRIBUTES

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2. The evaluation of the attributes must relate to the overall objective, i.e. has the incumbent, in the last year been able to create value for the organization

3. In terms of detailed definition/explanations:
 - 1) Leadership abilities must reflect the incumbent's ability to provide leadership not only within the organization but also in the industry.
 - 2) Team building attributes must reflect the incumbent's ability to manage diverse views and ensuring group processes yield synergy.
 - 3) 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.
 - 4) Business sense must include financial conservativeness coupled with the ability to take calculated risks based on sensitivity to the external environment.
 - 5) Above all, communication skills must reflect the incumbent's ability to communicate, both verbally as well as non-verbally, within and outside the organization.

SPECIAL INSTRUCTIONS FOR THE CONCERNED AUTHORITY REGARDING THE FUNCTIONAL ATTRIBUTES

1. The functional attributes are different from the generic attributes inasmuch as they demand a certain level of quantification. In some cases, these may not be amendable to quantification. But as far as possible, figures must support the grade.
2. In case an incumbent has joined in the middle of the year, and has no figures to support his performance, part year figures, where available, or estimates may be used.
3. In terms of detailed definitions:
 - 1) Gross Margin to capital employed needs no explanation,
 - 2) Average interest on borrowings includes both term loans and working capital.
 - 3) Fund management must reflect the understanding of financial markets in ability to manage cash and borrowings, exp. for long term credit requirements.
 - 4) Introduction of financial systems would include adhering to statutory norms, audits etc.
 - 5) Cash profit declared is Net Profit plus all financial charges including depreciation.
 - 6) DIPAM guidelines regarding payment of dividend and buy-back of shares.

PESB/Special Performance Report for Confirmation

4. Director (International Business)

Name _____ Designation _____

Organization _____ Date of Joining _____

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GENERIC ATTRIBUTES:-

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demonstrate ability of guiding collective decision making process succession planning ability for crisis management, ability to take risks.

[2] TEAM BUILDING **1-2-3-4-5**
demonstrate effectiveness in reorganizing his own department 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**
demonstrate ability for change management demonstrated focus on long term issues, and strategic thinking ability to translate vision into goals, and focus on implementation

[4] BUSINESS SENSE **1-2-3-4-5**
demonstrate sensitivity to surrounding business environment demonstrated ability to spot opportunities 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

A. TOTAL 1-5 **[] *2 *0.60 =**

FUNCTIONAL ATTRIBUTES:

Please assess the incumbent’s performance in terms of her/his specific contributions in attributes mentioned as below:

(Select any five of the following which are considered the most relevant to the position)

		<i>Base Financial Year</i>		Performance
		<i>Actual</i>	<i>% Change over last year</i>	
6	Unit Value of Exports			1-2-3-4-5
7	Unit Value of Imports			1-2-3-4-5
8	Forex exposure			1-2-3-4-5
9	Non material expenditure as % of Forex exposure			1-2-3-4-5
10	Accuracy of IB plan forecasts			1-2-3-4-5
11	Compliance with DIPAM Guidelines on Capital Restructuring			1-2-3-4-5
12	Achievements with respect to CAPEX targets			1-2-3-4-5
13	Treasury Management			1-2-3-4-5

B. TOTAL 6-13 (any five) []*2* 0.40 =

Assessment of the overall performance [total of A+B above] = []

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

Date: DD/MM/YYYY

Signature & Designation (Initiating authority)

Remarks for reviewing authority, if any:

Date: DD/MM/YYYY

Signature & Designation (Reviewing authority)

Note:

1. 40 – 50 - Outstanding
30 – 40 - Very Good

Total score in the SPR below 37.5 and any individual attribute score of less than 3(three) 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, 2(two) months in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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), 2(two) month in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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.

Guidelines/instructions regarding Special Performance Report (SPR)

ACC instructions regarding Confirmation of Board level appointees

Auth: (i) [DoPT's OM No.28\(30\)EO/2010\(ACC\) dated 31.03.2011;](#)

(a) A CMD/MD/Functional Director would be deemed to be confirmed unless the Ministry / Department send a proposal to the PESB, to the contrary, within 30 days after the expiry of one year.

(b) Within this stipulated period of one year and thirty days, the officer would be deemed to have been confirmed and the Ministry shall issue necessary orders for confirmation, if the Ministry fails to send a proposal to the contrary, to the PESB.

(c) The PESB shall hold a Joint Appraisal on receipt of the proposal, within one month, after which the proposal shall be sent to the Ministry for placing before the ACC for orders.

(d) If the Ministry/Department is not inclined to confirm the appointee for reasons other than performance such as vigilance issues etc., then such proposals shall be submitted to the ACC directly atleast 30 days in advance of the expiry of the scheduled tenure of the incumbent.

Guidelines

1. This format of the form is **not** confidential and the same may be share with the officer who is being assessed.
2. The enclosed sheet, *if any*, is to be filled in by hand by the *initiating/reviewing* 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. Extreme grading is to be justified in all cases [i.e. a score of 5 or 1] illustrating with clear examples why this grade was necessary.
7. The weighing of the two sets of attributes are different. The generic attributes carry a weight of 60% while the functional attributes carry a weight of 40%. The maximum score that an individual can have is 50 in 10 attributes. The minimum acceptable to PESB is a total of 37.5 in the aggregate with no attribute being less than 3. This scaling method may also be shared with the incumbent.
8. 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.
9. This appraisal form is based on the performance of the individual in the organization in the last one year. The performance of the individual; must be reflected in the performance of the organization.
10. The common factor between all these attributes is the assessment of the individuals 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 CONCERNED AUTHORITY REGARDING 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. has the incumbent, in the last year been able to create value for the organization

3. In terms of detailed definition/explanations:
 - 1) Leadership abilities must reflect the incumbent's ability to provide leadership not only within the organization but also in the industry.
 - 2) Team building attributes must reflect the incumbent's ability to manage diverse views and ensuring group processes yield synergy.
 - 3) 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.
 - 4) Business sense must include financial conservativeness coupled with the ability to take calculated risks based on sensitivity to the external environment.
 - 5) Above all, communication skills must reflect the incumbent's ability to communicate, both verbally as well as non-verbally, within and outside the organization.

SPECIAL INSTURCTIONS FOR *THE CONCERNED AUTHORITY REGARDING THE FUNCTIONAL ATTRIBUTES*

1. The functional attributes are different from the generic attributes inasmuch as they demand a certain level of quantification. In some cases, these may not be amendable to quantification. But as far as possible, figures must support the grade.
2. In case an incumbent has joined in the middle of the year, and has no figures to support his performance, part year figures, where available, or estimates may be used.
3. In terms of detailed definitions:
 - 1) Unit values are prices of goods and services deflated by international price levels. The World Bank Commodity Price forecasts may be used.
 - 2) -do-
 - 3) Forex exposure is exports plus imports as ratio of turnover.
 - 4) Expenditure on promotion, advertising, business development etc. as % of forex exposure.
 - 5) Variance of plan Vs actuals, 10% variance, good; 25% variance, average; 50% variance, poo.
 - 6) ***DIPAM guidelines regarding payment of dividend and buy-back of shares.***

PESB/Special Performance Report for Confirmation

5. Director (Marketing)

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 and the confidentiality 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 to be attached to this sheet, also to be filled in by hand.

GENERIC ATTRIBUTES:-

What is your assessment of the incumbent’s following qualities? (Subheading indicates factors to be kept in mind while assessing performance. These are only suggestive and not exhaustive)

[1] LEADERSHIP ABILITIES **1-2-3-4-5**
demonstrate ability of guiding collective decision making process succession planning ability for crisis management, ability to take risks.

[2] TEAM BUILDING **1-2-3-4-5**
demonstrate effectiveness in reorganizing his own department 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**
demonstrate ability for change management demonstrated focus on long term issues, and strategic thinking ability to translate vision into goals, and focus on implementation

[4] BUSINESS SENSE **1-2-3-4-5**
demonstrate sensitivity to surrounding business environment demonstrated ability to spot opportunities 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

A. TOTAL 1-5 **[] *2 *0.60 =**

FUNCTIONAL ATTRIBUTES:

Please assess the incumbent’s performance in terms of her/his specific contributions in attributes mentioned as below:

(Select any five of the following which are considered the most relevant to the position)

		<i>Base Financial Year</i>		Performance
		<i>Actual</i>	<i>% Change over last year</i>	
6	Increase in market share			1-2-3-4-5
7	Changes in NSR			1-2-3-4-5
8	Reduction in finished inventory			1-2-3-4-5
9	Value of Brand Equity			1-2-3-4-5
10	Predictive success of marketing plan			1-2-3-4-5
11	Compliance with DIPAM Guidelines on Capital Restructuring			1-2-3-4-5
12	Achievements with respect to CAPEX targets			1-2-3-4-5
13	Treasury Management			1-2-3-4-5

B. TOTAL 6-13 (any five)	$[\quad] * 2 * 0.40 =$
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Assessment of the overall performance [total of A+B above]	= []
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If necessary, please attach a separate sheet, also in your own hand, for any additional information.

Date: DD/MM/YYYY

Signature & Designation (Initiating authority)

Remarks for reviewing authority, if any:

Date: DD/MM/YYYY

Signature & Designation (Reviewing authority)

Note:

1. 40 – 50 - Outstanding
30 – 40 - Very Good

Total score in the SPR below 37.5 and any individual attribute score of less than 3(three) 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, 2(two) months in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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), 2(two) month in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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.

Guidelines/instructions regarding Special Performance Report (SPR)

ACC instructions regarding Confirmation of Board level appointees

Auth: (i) [DoPT's OM No.28\(30\)EO/2010\(ACC\) dated 31.03.2011](#);

(a) A CMD/MD/Functional Director would be deemed to be confirmed unless the Ministry / Department send a proposal to the PESB, to the contrary, within 30 days after the expiry of one year.

(b) Within this stipulated period of one year and thirty days, the officer would be deemed to have been confirmed and the Ministry shall issue necessary orders for confirmation, if the Ministry fails to send a proposal to the contrary, to the PESB.

(c) The PESB shall hold a Joint Appraisal on receipt of the proposal, within one month, after which the proposal shall be sent to the Ministry for placing before the ACC for orders.

(d) If the Ministry/Department is not inclined to confirm the appointee for reasons other than performance such as vigilance issues etc., then such proposals shall be submitted to the ACC directly atleast 30 days in advance of the expiry of the scheduled tenure of the incumbent.

Guidelines

1. This format of the form is **not** confidential and the same may be shared with the officer who is being assessed.
2. The enclosed sheet, *if any*, is to be filled in by hand by the *initiating/reviewing* 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. Extreme grading is to be justified in all cases [i.e. a score of 5 or 1] illustrating with clear examples why this grade was necessary.
7. The weighing of the two sets of attributes are different. The generic attributes carry a weight of 60% while the functional attributes carry a weight of 40%. From the 13 attributes, the maximum score that an individual can have is 50 in 10 attributes. The minimum acceptable to PESB is a total of 37.5 in the aggregate with no attribute being less than 3. This scaling method may also be shared with the incumbent.
8. 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.
9. This appraisal form is based on the performance of the individual in the organization in the last one year. The performance of the individual; must be reflected in the performance of the organization.
10. The common factor between all these attributes is the assessment of the individuals 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 CONCERNED AUTHORITY REGARDING 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. has the incumbent, in the last year been able to create value for the organization

3. In terms of detailed definition/explanations:
 - 1) Leadership abilities must reflect the incumbent's ability to provide leadership not only within the organization but also in the industry.
 - 2) Team building attributes must reflect the incumbent's ability to manage diverse views and ensuring group processes yield synergy.
 - 3) 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.
 - 4) Business sense must include financial conservativeness coupled with the ability to take calculated risks based on sensitivity to the external environment.
 - 5) Above all, communication skills must reflect the incumbent's ability to communicate, both verbally as well as non-verbally, within and outside the organization.

SPECIAL INSTURCTIONS FOR *THE CONCERNED AUTHORITY REGARDING THE FUNCTIONAL ATTRIBUTES*

1. The functional attributes are different from the generic attributes inasmuch as they demand a certain level of quantification. In some cases, these may not be amendable to quantification. But as far as possible, figures must support the grade.
2. In case an incumbent has joined in the middle of the year, and has no figures to support his performance, part year figures, where available, or estimates may be used.
3. In terms of detailed definitions:
 - 1) Market share is to be defined in terms of volume not value, in percentage.
 - 2) Net Sales Realization must be calculated after taking distribution and other promotional expenses into account including advertising.
 - 3) Finished inventory must be valued at cost or market price whichever is lower.
 - 4) Value of brand equity must include quality, customer satisfaction, and goodwill generated in the market.
 - 5) Predictive success must be measured in terms of variance between what was predicted at the beginning of the year and what was achieved.
 - 6) ***DIPAM guidelines regarding payment of dividend and buy-back of shares.***

PESB/Special Performance Report for Confirmation

6. Director (Operation)

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 and the confidentiality 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 to be attached to this sheet, also to be filled in by hand.

GENERIC ATTRIBUTES:-

What is your assessment of the incumbent’s following qualities? (Subheading indicates factors to be kept in mind while assessing performance. These are only suggestive and not exhaustive)

[1] LEADERSHIP ABILITIES **1-2-3-4-5**
demonstrate ability of guiding collective decision making process succession planning ability for crisis management, ability to take risks.

[2] TEAM BUILDING **1-2-3-4-5**
demonstrate effectiveness in reorganizing his own department 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**
demonstrate ability for change management demonstrated focus on long term issues, and strategic thinking ability to translate vision into goals, and focus on implementation

[4] BUSINESS SENSE **1-2-3-4-5**
demonstrate sensitivity to surrounding business environment demonstrated ability to spot opportunities 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

A. TOTAL 1-5 **[] *2 *0.60 =**

FUNCTIONAL ATTRIBUTES:

Please assess the incumbent’s performance in terms of her/his specific contributions in attributes mentioned as below:

(Select any five of the following which are considered the most relevant to the position)

		<i>Base Financial Year</i>		Performance
		<i>Actual</i>	<i>% Change over last year</i>	
6	Capacity utilization			1-2-3-4-5
7	Inventory levels, raw materials & stores			1-2-3-4-5
8	Unit Production Costs			1-2-3-4-5
9	Measure of Quality			1-2-3-4-5
10	Environment & safety management			1-2-3-4-5
11	Compliance with DIPAM Guidelines on Capital Restructuring			1-2-3-4-5
12	Achievements with respect to CAPEX targets			1-2-3-4-5
13	Treasury Management			1-2-3-4-5

B. TOTAL 6-13 (any five) []*2* 0.40 =

Assessment of the overall performance [total of A+B above] = []

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

Date: DD/MM/YYYY

Signature & Designation (Initiating authority)

Remarks for reviewing authority, if any:

Date: DD/MM/YYYY

Signature & Designation (Reviewing authority)

Note:

1. 40 – 50 - Outstanding
30 – 40 - Very Good

Total score in the SPR below 37.5 and any individual attribute score of less than 3(three) 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, 2(two) months in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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), 2(two) month in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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.

Guidelines/instructions regarding Special Performance Report (SPR)

ACC instructions regarding Confirmation of Board level appointees

Auth: (i) [DoPT's OM No.28\(30\)EO/2010\(ACC\) dated 31.03.2011;](#)

(a) A CMD/MD/Functional Director would be deemed to be confirmed unless the Ministry / Department send a proposal to the PESB, to the contrary, within 30 days after the expiry of one year.

(b) Within this stipulated period of one year and thirty days, the officer would be deemed to have been confirmed and the Ministry shall issue necessary orders for confirmation, if the Ministry fails to send a proposal to the contrary, to the PESB.

(c) The PESB shall hold a Joint Appraisal on receipt of the proposal, within one month, after which the proposal shall be sent to the Ministry for placing before the ACC for orders.

(d) If the Ministry/Department is not inclined to confirm the appointee for reasons other than performance such as vigilance issues etc., then such proposals shall be submitted to the ACC directly atleast 30 days in advance of the expiry of the scheduled tenure of the incumbent.

Guidelines

1. This format of the form is **not** confidential and the same may be shared with the officer who is being assessed.
2. The enclosed sheet, *if any*, is to be filled in by hand by the initiating/reviewing 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. Extreme grading is to be justified in all cases [i.e. a score of 5 or 1] illustrating with clear examples why this grade was necessary.
7. The weighing of the two sets of attributes are different. The generic attributes carry a weight of 60% while the functional attributes carry a weight of 40%. From the 13 attributes, the maximum score that an individual can have is 50 in 10 attributes. The minimum acceptable to PESB is a total of 37.5 in the aggregate with no attribute being less than 3. This scaling method may also be shared with the incumbent.
8. 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.
9. This appraisal form is based on the performance of the individual in the organization in the last one year. The performance of the individual; must be reflected in the performance of the organization.
10. The common factor between all these attributes is the assessment of the individuals 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 CONCERNED AUTHORITY REGARDING 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. has the incumbent, in the last year been able to create value for the organization
3. In terms of detailed definition/explanations:
 - 1) Leadership abilities must reflect the incumbent's ability to provide

leadership not only within the organization but also in the industry.

- 2) Team building attributes must reflect the incumbent's ability to manage diverse views and ensuring group processes yield synergy.
- 3) 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.
- 4) Business sense must include financial conservativeness coupled with the ability to take calculated risks based on sensitivity to the external environment.
- 5) Above all, communication skills must reflect the incumbent's ability to communicate, both verbally as well as non-verbally, within and outside the organization.

SPECIAL INSTURCTIONS FOR THE CONCERNED AUTHORITY REGARDING THE FUNCTIONAL ATTRIBUTES

1. The functional attributes are different from the generic attributes inasmuch as they demand a certain level of quantification. In some cases, these may not be amendable to quantification. But as far as possible, figures must support the grade.
2. In case an incumbent has joined in the middle of the year, and has no figures to support his performance, part year figures, where available, or estimates may be used.
3. In terms of detailed definitions:
 - 1) Capacity utilization is defined in percentage terms w.r.t. the maximum of nameplate, effective, base or whatever capacity figures that are being used.
 - 2) Inventory levels must take into account both raw materials and stores and spares.
 - 3) Production costs must be calculated within fixed (sunk) cost taken into account, but must include labour costs.
 - 4) Measure of quality may include the cost of quality, rejects, etc.
 - 5) Concern for the environment (pollution levels) and safety, (industrial accidents etc.) must be reflected in reported statistics.
 - 6) ***DIPAM guidelines regarding payment of dividend and buy-back of shares.***

PESB/Special Performance Report for Confirmation

7. Director (Personnel)

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 and the confidentiality 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 to be attached to this sheet, also to be filled in by hand.

GENERIC ATTRIBUTES:-

What is your assessment of the incumbent’s following qualities? (Subheading indicates factors to be kept in mind while assessing performance. These are only suggestive and not exhaustive)

[1] LEADERSHIP ABILITIES **1-2-3-4-5**
demonstrate ability of guiding collective decision making process succession planning ability for crisis management, ability to take risks.

[2] TEAM BUILDING **1-2-3-4-5**
demonstrate effectiveness in reorganizing his own department 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**
demonstrate ability for change management demonstrated focus on long term issues, and strategic thinking ability to translate vision into goals, and focus on implementation

[4] BUSINESS SENSE **1-2-3-4-5**
demonstrate sensitivity to surrounding business environment demonstrated ability to spot opportunities 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

A. TOTAL 1-5 **[] *2 *0.60 =**

FUNCTIONAL ATTRIBUTES:

Please assess the incumbent’s performance in terms of her/his specific contributions in attributes mentioned as below:

(Select any five of the following which are considered the most relevant to the position)

		<i>Base Financial Year</i>		Performance
		<i>Actual</i>	<i>% Change over last year</i>	
6	HRD initiatives in introduction of systems.			1-2-3-4-5
7	Lab productivity/ <i>man-days</i> of training			1-2-3-4-5
8	HRD efforts in redeployment			1-2-3-4-5
9	Value added by labour/unit output			1-2-3-4-5
10	Man-days of production lost			1-2-3-4-5
11	Compliance with DIPAM Guidelines on Capital Restructuring			1-2-3-4-5
12	Achievements with respect to CAPEX targets			1-2-3-4-5
13	Treasury Management			1-2-3-4-5

B. TOTAL 6-13 (any five) []*2* 0.40 =

Assessment of the overall performance [total of A+B above] = []

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

Date: DD/MM/YYYY

Signature & Designation (Initiating authority)

Remarks for reviewing authority, if any:

Date: DD/MM/YYYY

Signature & Designation (Reviewing authority)

Note:

1. 40 – 50 - Outstanding
30 – 40 - Very Good

Total score in the SPR below 37.5 and any individual attribute score of less than 3(three) 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, 2(two) months in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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), 2(two) month in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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.

Guidelines/instructions regarding Special Performance Report (SPR)

ACC instructions regarding Confirmation of Board level appointees

Auth: (i) [DoPT's OM No.28\(30\)EO/2010\(ACC\) dated 31.03.2011](#);

(a) A CMD/MD/Functional Director would be deemed to be confirmed unless the Ministry / Department send a proposal to the PESB, to the contrary, within 30 days after the expiry of one year.

(b) Within this stipulated period of one year and thirty days, the officer would be deemed to have been confirmed and the Ministry shall issue necessary orders for confirmation, if the Ministry fails to send a proposal to the contrary, to the PESB.

(c) The PESB shall hold a Joint Appraisal on receipt of the proposal, within one month, after which the proposal shall be sent to the Ministry for placing before the ACC for orders.

(d) If the Ministry/Department is not inclined to confirm the appointee for reasons other than performance such as vigilance issues etc., then such proposals shall be submitted to the ACC directly atleast 30 days in advance of the expiry of the scheduled tenure of the incumbent.

Guidelines

1. This format of the form is **not** confidential and the same may be shared with the officer who is being assessed.
2. The enclosed sheet, *if any*, is to be filled in by hand by the initiating/reviewing officer.
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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. Extreme grading is to be justified in all cases [i.e. a score of 5 or 1] illustrating with clear examples why this grade was necessary.
7. The weighing of the two sets of attributes are different. The generic attributes carry a weight of 60% while the functional attributes carry a weight of 40%. The maximum score that an individual can have is 50 in 10 attributes. The minimum acceptable to PESB is a total of 37.5 in the aggregate with no attribute being less than 3. This scaling method may also be shared with the incumbent.
8. 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.
9. This appraisal form is based on the performance of the individual in the organization in the last one year. The performance of the individual; must be reflected in the performance of the organization.
10. The common factor between all these attributes is the assessment of the individuals 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 CONCERNED AUTHORITY REGARDING 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. has the incumbent, in the last year been able to create value for the organization

3. In terms of detailed definition/explanations:
 - 1) Leadership abilities must reflect the incumbent's ability to provide leadership not only within the organization but also in the industry.
 - 2) Team building attributes must reflect the incumbent's ability to manage diverse views and ensuring group processes yield synergy.
 - 3) 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.
 - 4) Business sense must include financial conservativeness coupled with the ability to take calculated risks based on sensitivity to the external environment.
 - 5) Above all, communication skills must reflect the incumbent's ability to communicate, both verbally as well as non-verbally, within and outside the organization.

SPECIAL INSTURCTIONS FOR THE CONCERNED AUTHORITY REGARDING THE FUNCTIONAL ATTRIBUTES

1. The functional attributes are different from the generic attributes inasmuch as they demand a certain level of quantification. In some cases, these may not be amendable to quantification. But as far as possible, figures must support the grade.
2. In case an incumbent has joined in the middle of the year, and has no figures to support his performance, part year figures, where available, or estimates may be used.
3. In terms of detailed definitions:
 - 1) HR initiatives in the introduction of new systems must be aimed towards efficient performance management including safety.
 - 2) Efficiency of training systems must be increases in increases in labour productivity.
 - 3) HR efforts in redeployment must also take into account reduction in labour numbers through VRS etc.
 - 4) Value added by labour per unit of output, must net out the effect of technological advances. The intervals thus must be short.
 - 5) *Man-days* of production lost must be measured in terms of market prices of loss in gross revenue.
 - 6) *DIPAM guidelines regarding payment of dividend and buy-back of shares.*

PESB/Special Performance Report for Confirmation

8. Director (Project)

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 and the confidentiality 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 to be attached to this sheet, also to be filled in by hand.

GENERIC ATTRIBUTES:-

What is your assessment of the incumbent’s following qualities. (Subheading indicates factors to be kept in mind while assessing performance. These are only suggestive and not exhaustive)

[1] LEADERSHIP ABILITIES 1-2-3-4-5
demonstrate ability of guiding collective decision making process succession planning ability for crisis management, ability to take risks.

[2] TEAM BUILDING 1-2-3-4-5
demonstrate effectiveness in reorganizing his own department 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
demonstrate ability for change management demonstrated focus on long term issues, and strategic thinking ability to translate vision into goals, and focus on implementation

[4] BUSINESS SENSE 1-2-3-4-5
demonstrate sensitivity to surrounding business environment demonstrated ability to spot opportunities 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

A. TOTAL 1-5 [] *2 *0.60 =

FUNCTIONAL ATTRIBUTES:

Please assess the incumbent’s performance in terms of her/his specific contributions in attributes mentioned as below:

(Select any five of the following which are considered the most relevant to the position)

		<i>Base Financial Year</i>		Performance
		<i>Actual</i>	<i>% Change over last year</i>	
6	Average Time over run			1-2-3-4-5
7	Average Cost over run			1-2-3-4-5
8	Reduction in cost of projects			1-2-3-4-5
9	Reduction in project cycle time			1-2-3-4-5
10	Full capacity production time from project completion			1-2-3-4-5
11	Compliance with DIPAM Guidelines on Capital Restructuring			1-2-3-4-5
12	Achievements with respect to CAPEX targets			1-2-3-4-5
13	Treasury Management			1-2-3-4-5

B. TOTAL 6-13 (any five) []*2* 0.40 =

Assessment of the overall performance [total of A+B above] = []

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

Date: DD/MM/YYYY

Signature & Designation (Initiating authority)

Remarks for reviewing authority, if any:

Date: DD/MM/YYYY

Signature & Designation (Reviewing authority)

Note:

1. 40 – 50 - Outstanding
30 – 40 - Very Good

Total score in the SPR below 37.5 and any individual attribute score of less than 3(three) 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, 2(two) months in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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), 2(two) month in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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.

Guidelines/instructions regarding Special Performance Report (SPR)

ACC instructions regarding Confirmation of Board level appointees

Auth: (i) [DoPT's OM No.28\(30\)EO/2010\(ACC\) dated 31.03.2011;](#)

(a) A CMD/MD/Functional Director would be deemed to be confirmed unless the Ministry / Department send a proposal to the PESB, to the contrary, within 30 days after the expiry of one year.

(b) Within this stipulated period of one year and thirty days, the officer would be deemed to have been confirmed and the Ministry shall issue necessary orders for confirmation, if the Ministry fails to send a proposal to the contrary, to the PESB.

(c) The PESB shall hold a Joint Appraisal on receipt of the proposal, within one month, after which the proposal shall be sent to the Ministry for placing before the ACC for orders.

(d) If the Ministry/Department is not inclined to confirm the appointee for reasons other than performance such as vigilance issues etc., then such proposals shall be submitted to the ACC directly atleast 30 days in advance of the expiry of the scheduled tenure of the incumbent.

Guidelines

1. This format of the form is **not** confidential and the same may be shared with the officer who is being assessed.
2. The enclosed sheet, *if any*, is to be filled in by hand by the *initiating/reviewing* 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. Extreme grading is to be justified in all cases [i.e. a score of 5 or 1] illustrating with clear examples why this grade was necessary.
7. The weighing of the two sets of attributes are different. The generic attributes carry a weight of 60% while the functional attributes carry a weight of 40%. The maximum score that an individual can have is 50 in 10 attributes. The minimum acceptable to PESB is a total of 37.5 in the aggregate with no attribute being less than 3. This scaling method may also be shared with the incumbent.
8. While the generic attributes are bases 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.
9. This appraisal form is based on the performance of the individual in the organization in the last one year. The performance of the individual; must be reflected in the performance of the organization.
10. The common factor between all these attributes is the assessment of the individuals 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 CONCERNED AUTHORITY REGARDING 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. has the incumbent, in the last year been able to create value for the organization

3. In terms of detailed definition/explanations:
 - 1) Leadership abilities must reflect the incumbent's ability to provide leadership not only within the organization but also in the industry.
 - 2) Team building attributes must reflect the incumbent's ability to manage diverse views and ensuring group processes yield synergy.
 - 3) 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.
 - 4) Business sense must include financial conservativeness coupled with the ability to take calculated risks based on sensitivity to the external environment.
 - 5) Above all, communication skills must reflect the incumbent's ability to communicate, both verbally as well as non-verbally, within and outside the organization.

SPECIAL INSTURCTIONS FOR *THE CONCERNED AUTHORITY REGARDING THE FUNCTIONAL ATTRIBUTES*

1. The functional attributes are different from the generic attributes inasmuch as they demand a certain level of quantification. In some cases, these may not be amendable to quantification. But as far as possible, figures must support the grade.
2. In case an incumbent has joined in the middle of the year, and has no figures to support his performance, part year figures, where available, or estimates may be used.
3. In terms of detailed definitions:
 - 1) Time and cost overruns are in terms of percentage to the DPR parameters.
 - 2) -do-
 - 3) Reduction in costs of the projects may be computed from documented international benchmarks, adjusting for specifics like technology, financing etc.
 - 4) Reduction in project cycle time may be computed either through inter-temporal comparisons or through international benchmarking.
 - 5) Reduction in the gestation lags between project completion and full capacity production
 - 6) *DIPAM guidelines regarding payment of dividend and buy-back of shares.*

PESB/Special Performance Report for Confirmation

9. Director (Research & Development)

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 and the confidentiality 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 to be attached to this sheet, also to be filled in by hand.

GENERIC ATTRIBUTES:-

What is your assessment of the incumbent’s following qualities. (Subheading indicates factors to be kept in mind while assessing performance. These are only suggestive and not exhaustive)

[1] LEADERSHIP ABILITIES **1-2-3-4-5**
demonstrate ability of guiding collective decision making process succession planning ability for crisis management, ability to take risks.

[2] TEAM BUILDING **1-2-3-4-5**
demonstrate effectiveness in reorganizing his own department 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**
demonstrate ability for change management demonstrated focus on long term issues, and strategic thinking ability to translate vision into goals, and focus on implementation

[4] BUSINESS SENSE **1-2-3-4-5**
demonstrate sensitivity to surrounding business environment demonstrated ability to spot opportunities 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

A. TOTAL 1-5 **[] *2 *0.60 =**

FUNCTIONAL ATTRIBUTES:

Please assess the incumbent’s performance in terms of her/his specific contributions in attributes mentioned as below:

(Select any five of the following which are considered the most relevant to the position)

		<i>Base Financial Year</i>		Performance
		<i>Actual</i>	<i>% Change over last year</i>	
6	Number of patents taken out this year			1-2-3-4-5
7	Number of patents commercialized			1-2-3-4-5
8	Contribution of R&D to gross margin			1-2-3-4-5
9	Reduction in manpower costs in R&D			1-2-3-4-5
10	Reduction in technical fees/royalty paid			1-2-3-4-5
11	Compliance of DIPAM Guidelines			1-2-3-4-5
12	Achievements with respect to CAPEX targets			1-2-3-4-5
13	Treasury Management			1-2-3-4-5

B. TOTAL 6-13 (any five)	[]*2* 0.40 =
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Assessment of the overall performance [total of A+B above]	= []
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If necessary, please attach a separate sheet, also in your own hand, for any additional information.

Date: DD/MM/YYYY

Signature & Designation (Initiating authority)

Remarks for reviewing authority, if any:

Date: DD/MM/YYYY

Signature & Designation (Reviewing authority)

Note:

1. 40 – 50 - Outstanding
30 – 40 - Very Good

Total score in the SPR below 37.5 and any individual attribute score of less than 3(three) 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, 2(two) months in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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), 2(two) month in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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.

Guidelines/instructions regarding Special Performance Report (SPR)

ACC instructions regarding Confirmation of Board level appointees

Auth: (i) [DoPT's OM No.28\(30\)EO/2010\(ACC\) dated 31.03.2011](#);

(a) A CMD/MD/Functional Director would be deemed to be confirmed unless the Ministry / Department send a proposal to the PESB, to the contrary, within 30 days after the expiry of one year.

(b) Within this stipulated period of one year and thirty days, the officer would be deemed to have been confirmed and the Ministry shall issue necessary orders for confirmation, if the Ministry fails to send a proposal to the contrary, to the PESB.

(c) The PESB shall hold a Joint Appraisal on receipt of the proposal, within one month, after which the proposal shall be sent to the Ministry for placing before the ACC for orders.

(d) If the Ministry/Department is not inclined to confirm the appointee for reasons other than performance such as vigilance issues etc., then such proposals shall be submitted to the ACC directly atleast 30 days in advance of the expiry of the scheduled tenure of the incumbent.

Guidelines

1. This format of the form is **not** confidential and the same may be shared with the officer who is being assessed.
2. The enclosed sheet, *if any*, is to be filled in by hand by the *initiating/reviewing* 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. Extreme grading is to be justified in all cases [i.e. a score of 5 or 1] illustrating with clear examples why this grade was necessary.
7. The weighing of the two sets of attributes are different. The generic attributes carry a weight of 60% while the functional attributes carry a weight of 40%. The maximum score that an individual can have is 50 in 10 attributes. The minimum acceptable to PESB is a total of 37.5 in the aggregate with no attribute being less than 3. This scaling method may also be shared with the incumbent.
8. 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.
9. This appraisal form is based on the performance of the individual in the organization in the last one year. The performance of the individual; must be reflected in the performance of the organization.
10. The common factor between all these attributes is the assessment of the individuals 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 CONCERNED AUTHORITY REGARDING 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. has the incumbent, in the last year been able to create value for the organization
3. In terms of detailed definition/explanations:

- 1) Leadership abilities must reflect the incumbent's ability to provide leadership not only within the organization but also in the industry.
- 2) Team building attributes must reflect the incumbent's ability to manage diverse views and ensuring group processes yield synergy.
- 3) 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.
- 4) Business sense must include financial conservativeness coupled with the ability to take calculated risks based on sensitivity to the external environment.
- 5) Above all, communication skills must reflect the incumbent's ability to communicate, both verbally as well as non-verbally, within and outside the organization.

SPECIAL INSTRUCTIONS FOR THE CONCERNED AUTHORITY REGARDING THE FUNCTIONAL ATTRIBUTES

1. The functional attributes are different from the generic attributes inasmuch as they demand a certain level of quantification. In some cases, these may not be amendable to quantification. But as far as possible, figures must support the grade.
2. In case an incumbent has joined in the middle of the year, and has no figures to support his performance, part year figures, where available, or estimates may be used.
3. In terms of detailed definitions:
 - 1) Patents must be measured in numbers and compared to last year
 - 2) Number of patents that have been commercialized.
 - 3) Contribution of R&D. Would gross margin have changed if the R&D activity was outsourced.
 - 4) Manpower costs in R&D and changes in it, compared to last year.
 - 5) Technical fees and royalty paid to both foreign as well as Indian firms
 - 6) ***DIPAM guidelines regarding payment of dividend and buy-back of shares.***

PESB/Special Performance Report for Confirmation

10. Director (Raw Materials)

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 and the confidentiality 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 to be attached to this sheet, also to be filled in by hand.

GENERIC ATTRIBUTES:-

What is your assessment of the incumbent’s following qualities. (Subheading indicates factors to be kept in mind while assessing performance. These are only suggestive and not exhaustive)

[1] LEADERSHIP ABILITIES **1-2-3-4-5**
demonstrate ability of guiding collective decision making process succession planning ability for crisis management, ability to take risks.

[2] TEAM BUILDING **1-2-3-4-5**
demonstrate effectiveness in reorganizing his own department 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**
demonstrate ability for change management demonstrated focus on long term issues, and strategic thinking ability to translate vision into goals, and focus on implementation

[4] BUSINESS SENSE **1-2-3-4-5**
demonstrate sensitivity to surrounding business environment demonstrated ability to spot opportunities 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

A. TOTAL 1-5	[] *2 *0.60 =
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FUNCTIONAL ATTRIBUTES:

Please assess the incumbent’s performance in terms of *her/his* specific contributions *in attributes mentioned as below:*

(Select any five of the following which are considered the most relevant to the position)

		<i>Base Financial Year</i>		Performance
		<i>Actual</i>	<i>% Change over last year</i>	
6	Prod. /procurement costs or raw mat.			1-2-3-4-5
7	Raw material stocks/days of production			1-2-3-4-5
8	Transit losses			1-2-3-4-5
9	Reduction in lead time			1-2-3-4-5
10	Non- material procurement costs			1-2-3-4-5
11	Compliance with DIPAM Guidelines of Capital Restructuring			1-2-3-4-5
12	Achievements with respect to CAPEX targets			1-2-3-4-5
13	Treasury Management			1-2-3-4-5

B. TOTAL 6-13 (any five)	[]*2* 0.40 =
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Assessment of the overall performance [total of A+B above]	= []
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If necessary, please attach a separate sheet, also in your own hand, for any additional information.

Date: DD/MM/YYYY

Signature & Designation (Initiating authority)

Remarks for reviewing authority, if any:

Date: DD/MM/YYYY

Signature & Designation (Reviewing authority)

Note:

1. 40 – 50 - Outstanding
30 – 40 - Very Good

Total score in the SPR below 37.5 and any individual attribute score of less than 3(three) 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, 2(two) months in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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), 2(two) month in advance of completion of first year of tenure and send to the Secretary of the concerned Administrative Ministry /Department for review/ comments and send to PESB, within 30 days after the expiry of one year, if 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.

Guidelines/instructions regarding Special Performance Report (SPR)

ACC instructions regarding Confirmation of Board level appointees

Auth: (i) [DoPT's OM No.28\(30\)EO/2010\(ACC\) dated 31.03.2011](#);

(a) A CMD/MD/Functional Director would be deemed to be confirmed unless the Ministry / Department send a proposal to the PESB, to the contrary, within 30 days after the expiry of one year.

(b) Within this stipulated period of one year and thirty days, the officer would be deemed to have been confirmed and the Ministry shall issue necessary orders for confirmation, if the Ministry fails to send a proposal to the contrary, to the PESB.

(c) The PESB shall hold a Joint Appraisal on receipt of the proposal, within one month, after which the proposal shall be sent to the Ministry for placing before the ACC for orders.

(d) If the Ministry/Department is not inclined to confirm the appointee for reasons other than performance such as vigilance issues etc., then such proposals shall be submitted to the ACC directly atleast 30 days in advance of the expiry of the scheduled tenure of the incumbent.

Guidelines

1. This format of the form is **not** confidential and the same may be shared with the officer who is being assessed.
2. The enclosed sheet, *if any*, is to be filled in by hand by the *initiating/reviewing* 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 officer's 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. Extreme grading is to be justified in all cases [i.e. a score of 5 or 1] illustrating with clear examples why this grade was necessary.
7. The weighing of the two sets of attributes are different. The generic attributes carry a weight of 60% while the functional attributes carry a weight of 40%. The maximum score that an individual can have is 50 in 10 attributes. The minimum acceptable to PESB is a total of 37.5 in the aggregate with no attribute being less than 3. This scaling method may also be shared with the incumbent.
8. 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.
9. This appraisal form is based on the performance of the individual in the organization in the last one year. The performance of the individual; must be reflected in the performance of the organization.
10. 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 CONCERNED AUTHORITY REGARDING 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. has the incumbent, in the last year been able to create value for the organization

3. In terms of detailed definition/explanations:

- 1) Leadership abilities must reflect the incumbent's ability to provide leadership not only within the organization but also in the industry.
- 2) Team building attributes must reflect the incumbent's ability to manage diverse views and ensuring group processes yield synergy.
- 3) 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.
- 4) Business sense must include financial conservativeness coupled with the ability to take calculated risks based on sensitivity to the external environment.
- 5) Above all, communication skills must reflect the incumbent's ability to communicate, both verbally as well as non-verbally, within and outside the organization.

SPECIAL INSTURCTIONS FOR *THE CONCERNED AUTHORITY REGARDING THE FUNCTIONAL ATTRIBUTES*

1. The functional attributes are different from the generic attributes inasmuch as they demand a certain level of quantification. In some cases, these may not be amendable to quantification. But as far as possible, figures must support the grade.
2. In case an incumbent has joined in the middle *of* the year, and has no figures to support his performance, part year figures, where available, or estimates may be used.
3. In terms of detailed definitions:
 - 1) Cost must be detailed in terms of total material costs per unit production.
 - 2) For stock maintained under the Raw Material Director cost per unit production.
 - 3) Transit losses must be in market value terms, not in terms of costs.
 - 4) Lead time would be defined as time between the indent and that of supplying the material, to the indenter.
 - 5) Non material and non-production procurement costs would include the costs of tendering including the variance from L1, demurrage etc.
 - 6) ***DIPAM guidelines regarding payment of dividend and buy-back of shares.***