



भारत प्रतिभूति मुद्रण तथा मुद्रा निर्माण निगम लिमिटेड
Security Printing and Minting Corporation of India Limited

मिनिरत्न श्रेणी-I, सीपीएसई
(भारत सरकार के पूर्ण स्वामित्वाधीन)
Miniratna Category-I, CPSE
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No. CHO(HR)/PMS/24/2/2011/75/0

12th January, 2012

CORPORATE HR CIRCULAR

Sub: Introduction and implementation of Performance Management System for Executives and Supervisors in SPMCIL effective from the year 2011-12

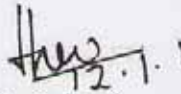
In dispensation with all previous practices prevalent in the Company in the matter of evaluation of annual performance after Corporatisation, and in discontinuation of the reporting format followed for writing of Annual Confidential Report of the Executives and Supervisors, and in conformity with the DPE OM No. 2(70)/08-DPE(WC)-GL-XVL/08 dated 26.11.2008, it is considered expedient to put a robust Performance Management System at place in SPMCIL for the Executives in E-1 to E-7 level and Supervisors in the level of S-1 and S-2 across nine Units and Corporate Office commencing from the year 2011-12.

2. Accordingly, attached please find herewith the comprehensive guidelines for the purpose of implementation of Performance Management System across the Company in respect of Executives in E-1 to E-7 level and Supervisors and Senior Supervisors holding substantive post in the Grade Pay of Rs. 4,200 (S-1) and Rs. 4,600 (S-2) respectively.

3. The efforts have been made to make the guidelines and procedure user friendly so that the Units should not face any inconvenience in rolling out the Performance Management System. Appraisal formats have been separately prescribed for Executives and Supervisors. The objectives of introduction of Performance Management System is to assess the performance scientifically and in a fair and transparent manner where both the Appraisee and the Appraiser decide the Key Performance Areas at the beginning of the year. End-Term review shall take place at the end of the year depending on the actual output which shall be quantitatively measured in the format by the Appraiser prior to sending it to Reviewing and Accepting Authority.

4. However, for the purpose of payment of Performance Related Pay, which is an important objective of the Performance Management System as envisaged by Department of Public Enterprises in IDA pattern of pay scale, a formal notification is awaited from the Administrative Ministry which should enable the Company to changeover and implement the IDA pattern of pay scale for the Executives and Non-unionised Supervisors and thus entail them the benefit of Perquisites and Performance Related Pay as per the DPE norms.

5. For the year 2011-12, the Reporting Officers are requested to complete the end-term review based on the performance of the individual during the year. However, for the year 2012-13 the Key Performance Areas has to be jointly agreed upon by the Appraisee and the Appraiser at the beginning of the year adhering to the time schedule prescribed in the guidelines. Introduction of Performance Management System is an important beginning for the Company and all are requested to diligently study the document and carry it forward accordingly.


(P. K. Sahoo)
Dy.GM (Personnel)

Encls: As above

Copy to:

1. OSD to CMD
2. Director (F) / Director (T) / Director (HR)
3. GM (IT) / CVO Incharge
4. GMs – Mints / Presses / Paper (By Name)
5. All Unit HR Heads
6. Assistant Company Secretary
7. Corporate HR Master Folder
8. Copy to Sh. Sanjeev Sharma, with the advice to upload in the SPMCIL Website



SPMCIL

**SPMCIL PERFORMANCE MANAGEMENT
SYSTEM-2011**

(FOR EXECUTIVES & SUPERVISORS)

भारत प्रतिभूति मुद्रण तथा मुद्रा निर्माण निगम लिमिटेड
(भारत सरकार के पूर्ण स्वामित्वाधीन)

**Security Printing and Minting
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CORPORATE OFFICE

NEW DELHI

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SPMCIL
PERFORMANCE MANAGEMENT SYSTEM
GENERAL GUIDELINES

1. **INTRODUCTION**

SPMCIL Performance Management System is a measurement tool for assessment of performance of the Executives and Supervisors. The process empowers the management to yield an insight for Career Planning, Compensation Management and building capacity by Training to bridge the skill gap. After a comprehensive review of the existing system and in tune with Company's HRD Plan, and in conformity with DPE guidelines, Performance Management System is hereby introduced effective from the year 2011-2012. Reports generated under this system will be hitherto known as "Performance Appraisal Report" in supercession of all previous practices provided for writing of the "Annual Confidential Report" of the Executives from E-1 to E-7 level and Supervisors at S-1 and S-2 level across the Company.

2. **OBJECTIVES :**

The main objective of the new Performance Management System is to assess the effectiveness, potential, values, developmental needs and career progression of individual to achieve organizational needs and Business goals. Robust and transparent Performance Management System as contemplated, shall create a performance driven environment across the Company which shall enable:

- i. To achieve the overall Business goal of the Company
- ii. To put a system at place for Quantitative Measurement of annual performance having set the targets for the year.
- iii. To ensure Career progression of Employees correlating with Performance

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- iv. To identify the skill gap and plan for developmental needs
- v. To reward and recognize the high performers and linking Compensation with Individual Performance by means of Performance Related Pay.

3. **APPLICABILITY :**

For the Executives at the level of E-8 and above, DPE has prescribed Guidelines and system has already been implemented from the year 2010-2011.

The proposed Performance Management System applicable to the Executives from level of E-1 to E-7 and Supervisors in S1- & S-2 Levels is hereby introduced from the year 2011-2012.

4. **FORMAT FOR PERFORMANCE MEASUREMENT:**

Separate formats for Executives (from E-1 to E-7) and for Supervisors (S-1 & S-2) of SPMCIL are enclosed herewith.

- Format for Performance Assessment Report for Executives is enclosed herewith as ANNEXURE- 1
- Format for Performance Assessment Report for Supervisors is enclosed herewith as ANNEXURE -2

5. **EVALUATION COMPONENTS :**

Evaluation of Performance through the mode of PMS shall consist of following components and each shall carry weightage as mentioned below:

Sl. No.	Components	Weightage
1.	Key Performance	70%
2.	Competencies	10%
3.	Values	10%
4.	Potential Appraisal	10%
	Total	100

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6. UNDERSTANDING THE COMPONENTS:

6.1 Performance:

The System envisages performance to be evaluated on the basis of **Key Performance Areas (KPA)s**, with specific emphasis on contribution towards achieving the overall Business goals by having an Annual Performance Plan which shall be the basis of evaluation of 70% weightage in the area of KPA. The focus is to enable employees to set the Annual key deliverables and ensure that they do not loose track of important and critical areas. Under the KPA system, performance targets become more focused, concrete and measurable.

- The concerned appraisee and reporting officer would jointly set performance targets in the form of Key Performance Areas, at the beginning of the year.
- It is envisaged that there would be KPAs and the relative weightage to each of them would be mutually decided by the appraisee and the reporting officer on the basis of the importance and magnitude of the respective KPA. However, it is suggested to keep 'Staff Development' as mandatory KPA, in view of the increasing recognition of the onus of the superior in developing his/her group members.
- Since we do not have the KPA-system of Performance evaluation currently in place, we may initially find it difficult to institutionalize the same. But the system needs to stabilize over a period of time. Further, it may not always be possible for all positions to arrive at KPA. In such cases, it is suggested that the appraisee and reporting officer may workout a broad frame work of targets which comes closest to KPAs, so that parity can still be ensured in the evaluation system for various positions across the organization.

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- The total maximum marks for all Key Performance Areas will be 100. However, the score in the component of Key Performance Areas will be prorated to 70.

6.2 Competencies:

The system envisages evaluation of the competencies of the employee along two broad categories- Functional/Technical and Managerial. The rationale in including this component is basically three-fold:

FIRST, it can be evaluated if the employee has the right balance between functional and managerial competencies. This helps in categorizing employees as generalists and specialists and providing alternative career paths for them accordingly.

SECOND, there is equity in rewarding competencies and not just performance. Because, performance is often not just a factor of competence but several other factors which may or may not be under the control of the incumbent.

THIRD, competency based evaluation is a sine qua if it is envisaged to use the performance appraisal system as a developmental tool as well, because competency gaps become evident through such a process.

A suggestive list of competencies is included in the Appraisal format.

6.3 Values :

The increasing importance of "Values" in the personality-set of employees need not be over-emphasized, particularly in the context of corporate governance and organizational development. It is, therefore, felt that the component of "Values" is included and given adequate weightage in the performance appraisal system. Employees may be

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evaluated against the adopted organizational values which they are expected to demonstrate in their behaviour.

6.4 Potential:

Potential Appraisal consists of Attributes which are to be demonstrated in day to day activities. Potential Appraisal will be assessed on Leadership Abilities , Team building ,Business Sense ,Communication Skills, Strategic Vision etc. The Potential will be assessed by the Appraiser / Reporting Officer.

7. DIFFERENT LEVELS OF PAY OF EXECUTIVES AND SUPERVISORS IN CDA PATTERN AND CORRESPONDING IDA PAY SCALES:

The details regarding the different levels of Executives and Supervisors and their pay in CDA Pattern and corresponding IDA Pay Scales is enclosed as (ANNEXURE – 3)

8. LEVEL OF REPORTING/ REVIEWING/ ACCEPTING AUTHORITIES :

The details regarding the different levels of reporting / Reviewing and Accepting Authorities applicable to the different level of Executives and Supervisors is enclosed as (ANNEXURE -4)

9. CONTENTS OF THE ASSESSMENT REPORT FORMAT:

The form is divided into six parts as under:

Part	Contents	To be filled by
Part- I(A)	Annual Performance Plan should be prepared jointly between Appraiser and Appraisee.	Appraisee

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Part-I (B)	Year end performance review	Appraiser
Part-I(C)	Performance Review Sheet	Appraiser
Part-II	Competencies	Appraiser
Part-III	Value	Appraiser
Part-IV	Potential Appraisal	Appraiser
Part-V	Final Marks Scored.	Appraiser
Part-VI	Training needs identification	Appraiser

10. GRADATIONS:

In assessing the performance of the Executives & Supervisors, the following gradation points/marks scored and corresponding categorization are to be followed:

Sl. NO.	Scored Marks/Gradations	Category
(i)	85 & Above	Excellent
(ii)	75 to 84	Very Good
(iii)	60 to 74	Good
(iv)	50 to 59	Average
(v)	49 & below	Poor

11. BELL CURVE APPROACH:

As per DPE guidelines/instructions, SPMCIL has to adopt Bell curve approach while assessing the performance of Executives & Supervisors. In line with instructions of DPE both Reporting and Reviewing Officer while assessing the performance of Executives and Supervisors, should keep the "Bell Curve Approach" in their respective thoughts. Accordingly, the performance should be assessed in such way that graded Executives should not exceed 15% under "Excellent" category and 10% should be under "Poor" Category.

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12. **PERIODICITY:**

Annual Performance Appraisal Reports are required to be written annually according to financial year i.e. 1st April to 31st March.

13. **PART REPORTS:**

If an appraisee is transferred completing 3 months, in that case, Reporting Officer of transferee will write the APAR for 3 months and rest periods will be written by the Reporting Officer at his/her transferred place respectively on 100 point basis. Final marks will be the average of 3 months and rest of period. Before completing three months, if an Executive is transferred, in that case, past reports is not required. In such cases Reporting Officer of transferred place will write APAR for entire period. If reporting Officer is transferred same principle will be applicable. In such cases Reporting Officer will complete APAR writings and handover to HR Department before his relieving.

14. **TIME SCHEDULE FOR COMPLETION OF APARs:**

Sl.No.	Activity	Date by which to be completed
1.	Distribution of Blank forms to appraisee through Appraiser/ Reporting Officer. (Unit HR head shall make the blank forms available to the appraisers and responsibility shall be on the Appraiser to carry forwarded the process as defined). (Corporate HR will ensure distribution of form to Appraiser at the Corporate Office)	20 th March to 31 st March

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2.	The Appraisee in consultation with Appraiser / Reporting officer will make a performance plan for the Assessment year on mutually agreed upon key Performance Areas.(KPAS) and submit the APAR formats to the Reporting officer.	30 th April
3.	The Reporting officer will retain the APARs with him and will Review the mutually agreed takes performed by the Appraisee in regular intervals. After year – end review, the Reporting officer will assess the performance and will submit the completed APARs to the Reviewing officer.	5 th April Subsequent year.
4.	Submission of APARs by Reviewing officer to the Accepting Authority.	10 th April
5.	Acceptability of APARs should be completed.	15 th April
6.	Unit Head remarks if applicable should be completed and sending completed APARs to concerned HR Dept.	15 th May

15. **PARs IN CASE VIGILANCE DEPARTMENT:**

In case of Vigilance Dept. only the Executives of Vigilance Dept. at appropriate level as applicable will be Reporting, Reviewing and Accepting Authority.

16. **ROUTING AND MAINTENANCE OF APARs:**

Unit HR Head is required to send APARs of Executives at E-4 and above Level to Corporate HR Dept. after completing at appropriate level/Unit Level. A designated HR Executive will maintain APARs of E-4 and above at Corporate office. In case of Executives at E-3 and below and Supervisors, the Unit HR head will maintain all APARs at Unit level. Unit HR head is responsible for this.

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17. **PERFORMANCE APPRAISAL OF PROBATIONERS:**

In case of Executives and Supervisors on probation, eleven months APAR will be raised from date from which he holds the post on probation. If eleven month period exceed 31st March, the period after 31st March will be treat one phase on 100 point basis and upto 31st March one period on 100 point basis. The average marks of both periods will be treated as performance for clearance of probation. In Assessment report, both the Reporting Officer and Review Authority are required to indicate the suitability or otherwise for confirmation of Executives and Supervisors.

18. **FEEDBACK SYSTEM:**

Oral feedback should be an ongoing process given by the appraisers to the appraisee on his/her performance. It is necessary to encourage progress and correct the mistakes. The appraisee should be encouraged the areas which his immediate attention for improving his performance should be highlighted.

The Reporting Officer should inform the appraisee in writing as and when need arises. It is not necessary to wait until the appraisal report is raised.

The HR Department should ensure the communications of areas for improvements to the appraisee by the Reporting Officer after the report is accepted by the concerned Accepting Authority. In Unit, Unit HR Head will ensure this in case of Supervisors and Executives upto E-3 Level. Corporate HR will ensure this in case of Executives of E-4 to E-8 Level.

In case of Executives² and Supervisors who score below 50% marks/who are graded under "Poor" category, must be communicated by the Unit Head in case of Executives E-3 Level & below and in case of

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Executives E-4 Level & above by concerned Director/CMD, indicating his/her the areas of weakness/below level performance and suggestions for improvement within a specified period and consequential actions by the Competent Authority, if improvement is not done by appraisee concerned in a specified period.

Concerned HR Department will ensure this. Such cases should not be dealt in a routine manner. The issue regarding the communication in writing should be discussed with concerned appraiser. This communication should be maintained properly.

18.1 Letter of Appreciation:

The Executives & Supervisors whose performance is graded under "Excellent" Category should be encouraged with issuing them a letter of appreciation by concerned Unit Head/Director/CMD as the case may be. The appreciation letter should be maintained in individual records.

19. SAVINGS:

The Management of SPMCIL reserves the right to amend any of the clauses as and when required.

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FOR EXECUTIVES (E-1 to E-7)

Performance Assessment Report

For the Period : _____ From _____ To _____

PERSONAL DATA

(To be filled by the HR Department)

Name Of Unit/Office	
Name of Employee	
Designation	
Employee Code	
Department	
Grade Pay/Level	

Qualifications Academic & professional

Date of Birth

Date of joining in SPMCIL

Whether confirmed or in probation

Date of Joining in Present Grade Pay

POSITIONS HELD :(To be filled by the Appraisee)

From	To	Unit/Location	Position held

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B. YEAR-END PERFORMANCE REVIEW :

The KPAs and measures, after incorporating changes, if required, will be recast from the previous page, year-end review will be carried out by the Appraiser.

YEAR-END REVIEW					
Key Performance Areas	Measures/ Indicators	Maximum Marks	Actual Achievement (given by Appraisee)	Review (by Appraiser)	Marks* Awarded
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

Total Performance Marks for the Year = $\frac{\text{Total Marks obtained} \times 70}{\text{Total Maximum Marks}}$ =

(Prorated to total Marks of 70)

Signature of the Appraisee

Signature of the Appraiser

***The Column "Marks Awarded" will be filled in only by the Appraiser.**

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PART C- PERFORMANCE REVIEW SHEET

COMMENTS ON PERFORMANCE , BY THE APPRAISER AFTER REVIEW DISCUSSION
INCLUDING TRAINING NEEDS AND DEVELOPMENT.

[Empty box for performance review comments]

SIGNATURE OF THE APPRAISER.

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PART II-COMPETENCIES

(This section consists of functional/technical and managerial competencies required for successful performance in the job.)

Sr. No.	COMPETENCIES	RATINGS 1-2-3-4-5
1	Excellence in own domain -Demonstrates excellence for job related knowledge and eagerness to acquire necessary specialized knowledge, skills and judgment to surpass results.	
2	Analytical Thinking - Disciplined analysis to data and situations, to see cause and effect and to use this to make effective decisions. It also includes approaching a situation by defining the problem or issue; determining its significance; collecting data; using tools to disclose meaningful patterns in the data, breaking down complex task or problem into its component parts, identifying many possible causes for a problem	
3	Business Acumen -Understanding what drives the organization and what are its cause & effect relationships. Understanding of market, industry and legislative conditions under which the organization operates.	
4	Quality Consciousness -Accomplishment of one's work goals through absolute focus on quality and standard procedure for all aspects of the job.	
5	Customer Focus - Ability to develop and sustain long term relationships with customers both internal and external and satisfy their needs and expectations. It is the ability to anticipate customer needs and deliver solution, which meets their expectations. It is the orientation towards discovering customer needs and expectations.	
6	Optimum utilisation of Resources - Make effective and efficient use of time, resources both internal and external to achieve work related goals and strategic objectives. They devise, develop and coordinate plans, make use networks, people strengths such that they can leverage the existing resources to achieve work related goals	
7	Cost Effectiveness - An orientation and understanding of cost associated practices and processes within the organization. It is the ability to understand value creation through cost optimization and to understand cost benefit criteria and base investment decisions using appropriate information and metrics.	
8	Innovation and Creativity - Generating Innovative solutions in work situations, trying different and novel ways to deal with work problems and opportunities, develop creative improvements to organisation's process and procedures, recognise opportunities to use unusual ideas Thinking and promoting new ideas for improvement in methods, product,	
9	Inspire People - Identifying appropriate needs and creating conducive environment for learning, development and skill building. Coaches people to strengthen their skills set of experiences and general development, to improve their performance and motivate them towards achieving common organizational goals	
10	Contribution to Team success - Consistently develop and sustain co-operative working relationships. Understand dynamics that result in high performance of teams and encourage & facilitate co-operation within the organization and bonding within team members.	

Rating on Competencies (Prorated to 10 Marks) = $\frac{\text{Total of all the ratings} \times 10}{50}$ =

Signature of the Appraiser

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PART III-VALUES

(This section consists of Value which are to be demonstrated in day to day activities)

Sr.No.	VALUES	RATINGS 1-2-3-4-5
1	Fairness- Decisions are made objectively, free from patronage and reflect the just treatment of employees .	
2	Transparency- There is open communication about every aspect of managerial decisions which concern people.	
3	Trust- Allowing staff the freedom to grow and develop and relating to others on the basis of mutual respect.	
4	Candour- Give and receive constructive criticism\suggestions. One who can openly discuss performance deficiencies and take corrective action , being consistent in words and deeds.	
5	Collaboration- Being open in sharing information and in seeking suggestions\opinions . Being sensitive to concerns of others and encouraging team work across department \functions.	
6	Involvement- Being dedicated and committed to work, build commitment by encouraging wide participation in decision making process to the maximum extent possible.	
7	Flexibility- Ability to participate and adapt to changing circumstances using sound judgment. Being open to accepting new ideas , willingness to learn from anyone and to do things differently . Being prepared to operate and adapt to different environments.	
8	Willingness to accept challenge- Willingness to experiment and abilit to learn from failures.	
9	Discipline- refers to adherence to accepted norms, respect for others time and space and demonstration of self control.	
10	Ethical Behavior- Demonstration of honesty and sincerity in every action and showing consistency with principles, values and behaviours.	

Rating on Values
(Prorated to 10 Marks)

$$= \frac{\text{Total of all the ratings X 10}}{50} =$$

Signature of the Appraiser

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PART IV- POTENTIAL APPRAISAL

(This section consists of Attributes which are to be demonstrated in day to day activities. Attributes would represent the core values required for Senior Level Positions)

Sr.No.	GENERIC ATTRIBUTES	RATINGS 1-2-3-4-5
1	Leadership Abilities : Demonstrates ability for guiding collective decision making ,managing crisis and possesses the ability to take risks.	
2	Team Building : Demonstrates effectiveness in reorganizing his/her own department and has the ability to manage diverse and divergent views and group processes without losing sight of objectives.	
3	Ability to build a strategic Vision : Demonstrates ability to focus on long term issues and translate vision into goals, displays the ability to manage change	
4	Business Sense : Commitment to bottom line results and addressing interest of customers and stakeholders. Balancing need for viable short and long term performance and spotting and pursuing new business opportunities wherever possible.	
5	Communication Skills : Communicate ideas and information effectively and market key points effectively through public speaking and presentation,ability to convert ideas through action plan and ensure acceptability within the organization and performance at meetings.	

Rating on Potential
(Prorated to 10
Marks) = $\frac{\text{Total of all the ratings} \times 10}{25}$ =

Signature of the Appraiser

Appraiser's Comments On Potential Suitability

The Appraiser will indicate suitability of the Appraisee for higher positions or Horizontal movement in different functions/organizations and/or suitability for any specific or particular sector or further continuance.

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PERFORMANCE & POTENTIAL PROFILE

Final Marks Scored

		Total Marks	Marks Scored
PART I	PERFORMANCE	70	
PART II	COMPETENCIES	10	
PART III	VALUES	10	
PART IV	POTENTIAL	10	
	TOTAL	100	

Name of the Appraiser

Signature :
Designation :

Date:

Comments of Reviewing Officer

Signature :
Name :
Designation :

Date:

Comments of Accepting Authority

Signature :
Name :
Designation :

Date:

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Assessment of Training and Competence Development Needs

(This sheet should be sent to Head of the HR Department by the accepting officer for necessary action at their end.)

- 1 Name of the Executive
- 2 Designation
- 3 Department
- 4 Ticket No.\Section No.

Please indicate the training and competence development needs of the appraisee and his/her potential. Specify the areas in which the person needs counseling.

By the Appraiser

Date

Signature :

Designation :

By the Reviewing Authority

Date

Signature :

Designation :

By the Accepting Authority (if considered necessary)

Date

Signature :

Designation :

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FOR SUPERVISORS (S1 and S2)

Performance Assessment Report

For the Period : _____ From _____ To _____

PERSONAL DATA

(To be filled by the HR Department)

Name Of Unit/Office	
Name of Employee	
Designation	
Employee No.	
Department	
Grade Pay/Level	

Qualifications Academic & professional

Date of Birth

Date of joining in SPMCIL

Whether confirmed or in
Probation

Date of Joining in Present
Grade Pay

POSITIONS HELD :(To be filled by the Appraisee)

From	To	Unit\Location	Position held

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PART - I: PERFORMANCE**A: PERFORMANCE PLAN**

Key performance Area (KPAs) together with measures\ indicators and maximum marks are to be jointly agreed upon between the Appraiser at the beginning of the review period and then filled in format given below :

PERFORMANCE PLAN		
Key Performance Areas	Measures/ Indicators (These are the parametrs on which performance is evaluated in the relevant KPA)	Maximum Marks
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

Signature of the Appraisee

Signature of the Appraiser

* Total Maximum Marks = 100

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B. YEAR-END PERFORMANCE REVIEW :

The KPAs and measures, after incorporating changes, if required, will be recast from the previous page, year-end review will be carried out by the Appraiser.

YEAR-END REVIEW					
Key Performance Areas	Measures/ Indicators	Maximum Marks	Actual Achievement (given by Appraisee)	Review (by Appraiser)	Marks* Awarded
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

Total Performance Marks for the year (Prorated to total Marks of 70) = $\frac{\text{Total Marks obtained X 70}}{\text{Total Maximum Marks}}$ =

Signature of the Appraisee

Signature of the Appraiser

*The Column "Marks Awarded" will be filled in only by the Appraiser.

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PART - C PERFORMANCE REVIEW SHEET

COMMENTS ON PERFORMANCE AND REVIEW DISCUSSIONS IF ANY, BY THE APPRAISER INCLUDING TRAINING NEEDS AND DEVELOPMENT.

[Empty box for performance review comments]

SIGNATURE OF THE APPRAISER.

[Handwritten signature]

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PART II-COMPETENCIES

(This section consists of functional/technical and managerial competencies required for successful performance in the job.)

Sr. No.	COMPETENCIES	RATINGS 1-2-3-4-5
1	Excellence in own domain -Demonstrates excellence for job related knowledge and eagerness to acquire necessary specialized knowledge, skills and judgment to surpass results.	
2	Analytical Thinking - Disciplined analysis to data and situations, to see cause and effect and to use this to make effective decisions. It also includes approaching a situation or problem by defining the problem or issue; collecting data; using tools to disclose meaningful patterns in the data, breaking down complex task or problem into its component parts.	
3	Taking Workplace Decision -Use work related data to support effective and timely work decisions by systematically gathering relevant work related information and by identifying the strengths and weaknesses of a particular business line	
4	Quality Consciousness -Accomplishment of one's work goals through absolute focus on quality and standard procedure for all aspects of the job.	
5	Customer Focus - Ability to develop and sustain long term relationships with customers both internal and external and satisfy their needs and expectations. It is the ability to anticipate customer needs and deliver solution, which meets their expectations. It is the orientation towards discovering customer needs and expectations.	
6	Optimum utilisation of Resources - Make effective and efficient use of time, resources both internal and external to achieve work related goals and strategic objectives. They devise, develop and coordinate plans, make use networks, people strengths such that they can leverage the existing resources to achieve work related goals	
7	Cost Effectiveness - An orientation and understanding of cost associated practices and processes within the organization. It is the ability to understand value creation through cost optimization using appropriate information and metrics.	
8	Innovation and Creativity - Generating Innovative solutions in work situations, trying different and novel ways to deal with work problems and opportunities, develop creative improvements to organisation's process and procedures.	
9	Inspire People - Identifying appropriate needs and creating conducive environment for learning, development and skill building. Coaches people to strengthen their skills set of experiences and general development and motivate them towards achieving common organizational goals	
10	Contribution to Team success - Consistently develop and sustain co-operative working relationships. Understand dynamics that result in high performance of teams and encourage & facilitate co-operation within the organization and bonding within team members.	

Rating on Competencies (Prorated to 10 Marks) = $\frac{\text{Total of all the ratings} \times 10}{50}$ =

Signature of the Appraiser

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PART III-VALUES

(This section consists of Value which are to be demonstrated in day to day activities)

r.No.	VALUES	RATINGS 1-2-3-4-5
	Fairness- Decisions are made objectively, free from patronage and reflect the just treatment of subordinates .	
	Transparency- There is open communication about every aspect of supervisory decisions which concern people.	
	Trust- Allowing staff the freedom to grow and develop and relating to others on the basis of mutual respect.	
	Openness- Give and receive constructive criticism\suggestions. One who can openly discuss performance deficiencies and take corrective action , being consistent in words and deeds.	
	Collaboration- Being open in sharing information and in seeking suggestions\opinions . Being sensitive to concerns of others and encouraging team work across department \functions.	
	Involvement- Being dedicated and committed to work, build commitment by encouraging wide participation in decision making process to the maximum extent possible.	
	Flexibility- Ability to participate and adapt to changing circumstances using sound judgment. Being open to accepting new ideas , willingness to learn from anyone and to do things differently . Being prepared to operate and adapt to different environments.	
	Willingness to accept challenge- Willingness to experiment and abilit to learn from failures.	
	Discipline- refers to adherence to accepted norms, respect for others time and space and demonstration of self control.	
	Ethical Behavior- Demonstration of honesty and sincerity in every action and showing consistency with principles, values and behaviours.	

Rating on Values
(Prorated to 10 Marks) = $\frac{\text{Total of all the ratings X 10}}{50}$ =

Signature of the Appraiser

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PART IV- POTENTIAL APPRAISAL

(This section consists of Attributes which are to be demonstrated in day to day activities. Attributes would represent the core values required for Senior Level Positions)

Sr.No.	GENERIC ATTRIBUTES	RATINGS 1-2-3-4-5
1	Leadership Abilities : Demonstrates ability for guiding collective decision making ,managing crisis and possesses the ability to take risks.	
2	Team Building : Demonstrates ability to manage diverse and divergent views and group processes without losing sight of objectives.	
3	Ability to build a strategic Vision : Demonstrates ability to focus on long term issues and translate vision into goals,deals effectively with situations involving structural or functional change	
4	Business Sense : Commitment to bottom line results and addressing interest of customers and stakeholders. Balancing need for viable short and long term performance and spotting and pursuig new business opportunities wherever possible.	
5	Communication Skills : Communicate ideas and information effectively and market key points effectively through public speaking and presentation,ability to convert ideas through action plan and ensure acceptability within the organization and performance at meetings.	

Rating on Potential
(Prorated to 10
Marks) = $\frac{\text{Total of all the ratings X 10}}{25}$ =

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Signature of the Appraiser

Appraiser's Comments On Potential Suitability

The Appraiser will indicate suitability of the Appresee for higher positions or Horizontal movement in different functions\organizations and\or suitability for anyspecific or particular sector or further continuance.

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PERFORMANCE & POTENTIAL PROFILE

Final Marks Scored

		Total Marks	Marks Scored
PART I	PERFORMANCE	70	
PART II	COMPETENCIES	10	
PART III	VALUES	10	
PART IV	POTENTIAL	10	
	TOTAL	100	

Name of the Appraiser

Date

Signature :

Designation :

Comments of Reviewing Officer

Date

Signature :

Name :

Designation :

Comments of Accepting Authority

Date

Signature :

Name :

Designation :

Space for Administrative Use.

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Assessment of Training and Competence Development Needs

(This sheet should be sent to Head of the HR Department by the accepting officer for necessary action at their end.)

- 1 Name of the Executive
- 2 Designation
- 3 Department
- 4 Ticket No.\Section No.

Please indicate the training and competence development needs of the appraisee and his/her potential. Specify the areas in which the person needs counseling.

By the Appraiser

Date

Signature :
Designation :

By the Reviewing Authority

Date

Signature :
Designation :

By the Accepting Authority (if considered necessary)

Date

Signature :
Designation :

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ANNEXURE - 3

**DIFFERENT LEVEL OF EXECUTIVES AND SUPERVISORS WITH THEIR
PAY IN CDA PATTERN AND CORRESPONDING IDA PAY SCALES**

FOR EXECUTIVES			
Level of Executive	Designation	Corresponding Grade pay	Corresponding IDA pay scale
E-1	Officer (Technical / Operation / Production / Safety / Purchase / Marketing / HR / IT etc.)	4800	16400-40500/-
E-2	Assistant Manager	5400	20600-46500/-
E-3	Deputy Manager	6600	24900-50500/-
E-4	Manager	7600	29100-54500/-
E-5	Chief Manager	8100	32900-58000/-
E-6	Deputy General Manager	8700	36600-62000/-
E-7	Senior Deputy General Manager	8900	43200-66000/-
E-8	General Manager	10000	51300-73000/-
FOR SUPERVISORS			
Level of Supervisor	Designation	Corresponding Grade pay	Corresponding IDA Pay scale
S-1	Supervisor (Technical / Operation / Production / Maintenance / Safety / Purchase / Marketing / Finance / HR / IT etc.)	4200	12300-25400/-
S-2	Senior Supervisor	4600	14500-32600/-

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LEVEL OF REPORTING /REVIEWING/ ACCEPTING AUTHORITIES**(For Executives -E-1 to E-9 and Supervisors - S-1 and S-2):**

Level of Appraisee	Reporting Officer/Appraiser	Reviewing Authority	Accepting Authority
Executives (E-8 & E-9)	Directors in their respective functional areas and coordinated by Director (Tech.)	CMD	CMD
Executives (E-6 & E-7)	Executives (E-8/E-9)	Concerned Director	CMD
Executives (E-4 & E-5)	Executives (E-6 and above)	Executives (E-8 and above)	Concerned Director
Executives (E-1 to E-3)	Executives (E-4 and above)	Executives (E-5 and above)	Unit Head (E-7 and Above).
Supervisors (S-1 and S-2)	Executives (E-1 to E-3)	Executives (E-4 and above)	Unit Head at the level of E-7 and above.

N.B.

- If Reporting/Reviewing Officer is not in position , then the reporting and Review shall be done by the next level superior Authority.
- In case of HR/ Finance/ Marketing Heads of the Units, GM of the Unit shall be the Reporting Officer and the concerned Directors shall review and accept the report
- CVO will be the Reporting Officer for Dy. CVO and CMD will review and accept.

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