

BHASKAR CHATTERJEE I.A.S.
SECRETARY



भारत सरकार
लोक उद्यम विभाग
भारी उद्योग एवं लोक उद्यम मंत्रालय
GOVERNMENT OF INDIA
DEPARTMENT OF PUBLIC ENTERPRISES
MINISTRY OF HEAVY INDUSTRIES & PUBLIC ENTERPRISES

D.O. No. 5(1)/2000-GM
April 05, 2010

Dear

This is regarding the Annual Performance Appraisal of top management incumbents of Central Public Sector Enterprises (CPSEs). It may be recalled that the guidelines for writing Performance Appraisal Report (PAR) of top management incumbents of CPSEs who do not belong to any organized service of the Central or State Governments were prescribed vide DPE O.M. No. 5(1)/2000-GM-GL-71 dated 18th October, 2005. Since then significant developments have taken place in the field of Human Resource Development and Performance Management, viz. bringing all CPSEs under the ambit of the MOU system, introduction of Performance-related Pay (PRP) for executives in CPSEs and introduction of new performance appraisal formats/rules for All India Service Officers. In view of the above developments, a need was felt for setting up of a robust and transparent performance management system in CPSEs.

2. In the above background, the existing format and procedure of writing PARs of the top management incumbents of CPSEs were reviewed by an Inter-Ministerial Committee set up by Department of Public Enterprises. The report of the Committee, which has been accepted by the Government, is available on the web-site of DPE (<http://dpe.nic.in/newgl/PAR.doc>). As recommended by the Committee, the revised procedure and guidelines for writing PARs of Chief Executives, Functional Directors, Executive Directors (E9) and General Managers (E8) of CPSEs are enclosed for **adoption by all CPSEs from the year 2010-11 onwards**. The salient features of the revised guidelines are also enclosed for your ready reference.

3. You may like to take necessary steps to ensure that all CPSEs under the administrative jurisdiction of your Ministry/Department comply with the revised Guidelines. The concerned CPSEs may be directed to nominate a suitable officer as the Nodal Officer for ensuring compliance with the prescribed guidelines. As prescribed under the revised Guidelines, suitable nodal officer in your Ministry/Department (concerned Joint Secretary in charge of Administration) may also be nominated under.

4. I would be grateful if this Department could be apprised of the action take in respect of your Ministry/Department. This would enable us to monitor the timely completion of the Performance Appraisal exercise in respect of top management incumbents in CPSEs.

With warm regards,

Encl : As stated above

Yours sincerely,
Sd/-
(Bhaskar Chatterjee)

To Secretaries of all administrative and nodal Ministries/Departments (by name)

Copy to :- Chief Executives of all CPSEs

Salient Features of the revised Guidelines on writing Performance Appraisal Reports (PARs) of Chief Executives, Functional Directors, Executive Directors (E9) and General Managers (E8) of CPSEs

1. **Format of PAR** :- There would be a common format for Chief Executives, Functional Directors, Executive Directors (E9) and General Managers (E8) (page 10 to 25).
2. **Components of PAR and their relative weights** :- The proposed weightage for achievement of MOU targets (as determined by DPE), individual targets, personal attributes and functional competencies for all the 3 levels of top management incumbents of CPSEs would be as under.

Designation	Weightage			
	MOU targets	Individual targets flowing from MOU targets	Personal attributes and functional competencies	Total
Chief Executives	75	-	25	100
Functional Directors	40	35	25	100
Executive Directors (E9) & General Managers (E8)	25	50	25	100

3. **Time Schedule** :- A detailed time schedule for each and every process of the Performance Appraisal exercise has been laid out so that the exercise is completed within one year after the Reporting year. (Table 2, Page 5 and 6).
4. **Channel of Submission** :- The channel of submission of PAR has been recommended in a tabular form so that it is clear and unambiguous (Table 1, Page 2). However, the Administrative Ministries, with the concurrence of DPE, can make modification(s) in the prescribed channel.
5. **Monitoring of PAR process** :- The PAR process would be monitored closely so that everybody involved in the process adheres to the prescribed time schedule. For the purpose of close monitoring of the

Performance Appraisal exercise, CPSEs and the administrative ministries/departments will nominate their senior officers as Nodal officers whose responsibilities are listed at page 6.

6. **Additional Information to be recorded in APR** :- The views of superiors on the integrity of their subordinates would be recorded while assessing the performance of the executives. The information regarding (i) annual medical examination, (ii) filing of annual property return, (iii) training programme(s) attended, (iv) additional qualification acquired and (v) awards/honours conferred in respect of officer reported upon would now be furnished in the PAR.
7. **Grading of executives** :- It may also be ensured that 'Bell Curve approach' is followed in grading the executives of CPSEs so that not more than 10%-15% executives are graded as Outstanding/Excellent(PAR score of 1.00 – 1.50).
8. While the prescribed PAR Form, guidelines and procedure are to be treated as "Core elements" of the Performance Management System in all CPSEs, in order to accommodate existing robust performance management practices, and future requirements unique to some CPSEs, the Boards of CPSEs may supplement the contents in the enclosed PAR form, under intimation to DPE and their administrative Ministry/Department, without losing any of its features.

**PERFORMANCE APPRASIAL REPORT OF
CHIEF EXECUTIVES/FUNCTIONAL DIRECTORS/
EXECUTIVE DIRECTORS/GENERAL MANAGERS
OF CENTRAL PUBLIC SECTOR ENTERPRISES**

PROCEDURE AND GUIDELINES

Procedure and guidelines for writing Performance Appraisal Report of Chief Executives, Functional Directors, Executive Directors (E9) and General Managers (E8) of Central Public Sector Enterprises (CPSEs)

1. **Definitions:**
 - a) **Accepting Authority:** Accepting Authority is the authority, which supervises the performance of Reviewing Authority and Reporting Authority and is responsible for the actions of the officer reported upon.
 - b) **Board level Executives:** Board level executives include the Chief Executive and the Functional Directors of the CPSE.
 - c) **Chief Executive:** Chief Executive of the CPSE means the head of the CPSE having substantial powers called by whatever name including Executive Chairman, Chairman and Managing Director and Managing Director.
 - d) **Nodal officer:** Nodal officer refers to a senior officer nominated as such by the CPSE or the Administrative Ministry/Department concerned to coordinate the activities relating to Performance Appraisal exercise for its smooth completion
 - e) **PAR Repository Authorities:** PAR Repository Authorities are those authorities that have been designated by the CPSE, Administrative Ministry/Department and Public Enterprises Selection Board (PESB) to keep the PARs of the top management incumbents of CPSEs in their custody.
 - f) **Reporting Authority:** Reporting Authority is the authority, which supervises the performance of the officer reported upon.
 - g) **Reporting year:** The reporting year of the PAR is the financial year i.e. from 1st April to 31st March.
 - h) **Reviewing Authority:** Reviewing Authority is the authority, which supervises the performance of the Reporting Authority and supervises the work of the officer reported upon through the Reporting Authority.
 - i) **Top Management incumbents:** Top management incumbents include Chief Executives, Functional Directors, Executive Directors (E9) and General Managers (E8) of Central Public Sector Enterprises (CPSEs).

2. **Applicability**

These procedures are applicable to all Board level executives and Executive Directors (E9) and General Managers (E8) and other equivalent officers of CPSEs. The Performance Appraisal Reports (PARs) of Government officers on deputation to posts in CPSEs will be written in the formats prescribed by their respective Cadre Authorities and the procedure for writing the same will also be as prescribed by those Authorities. The PARs of Chief Vigilance Officers will be written based on the instructions issued by Department of

Personnel & Training. Further, unless otherwise specified, the term 'he' mentioned in these guidelines includes 'she' also.

3. Authorities for initiation, review and acceptance of PARs for Top management incumbents of CPSEs

3.1 Table No.1 below specifies the Reporting Authority, Reviewing Authority and Accepting Authorities in respect of Performance Appraisal Report (PAR) of the Chief Executives, Functional Directors, Executive Directors (E9) and General Managers (E8) of CPSEs.

Table No.1 – Channel of submission of PAR

S. No.	Name of the officer whose PAR is to be written	Reporting Authority	Reviewing Authority	Accepting Authority	PAR Repository Authorities
I	Holding Companies				
i)	Executive Chairman	Secretary of the AM/D ¹	Minister-in-charge	Minister-in-charge	Original copy with the AM/D and one certified copy each with the Nodal officer of the CPSE and PESB
ii)	CMD ²	Secretary of the AM/D	Minister-in-charge	Minister-in-charge	-do-
iii)	MD ³	Executive Chairman	Secretary of the AM/D	Minister-in-charge	-do-
		Secretary of the AM/D	Minister-in-charge		
iv)	Functional Director	Executive Chairman	Secretary of the AM/D	Minister-in-charge	-do-
		CMD	Secretary of the AM/D	Minister-in-charge	
		MD	Executive Chairman	Secretary of the AM/D	
			Secretary of the AM/D	Minister-in-charge	

¹ AM/D – Administrative Ministry/Department

² CMD – Chairman & Managing Director of the CPSE

³ MD – Managing Director of the CPSE

v)	ED ¹ and other officers of equivalent posts (E9)				
a	In case the officer directly reports to Functional Director	Functional Director	Executive Chairman	Executive Chairman	Original copy with the Nodal officer of the CPSE.
			CMD	CMD	
			MD	Executive Chairman or MD	
b	In case the officer directly reports to Executive Chairman	Executive Chairman	Executive Chairman	Executive Chairman	
c	In case the officer directly reports to CMD	CMD	CMD	CMD	
d	In case the officer directly reports to MD	MD	Executive Chairman	Executive Chairman	
			MD	MD	
vi)	GM ² and other officers of equivalent posts (E8)				
a	In case the officer directly reports to ED	ED	Functional Director	Executive Chairman or CMD or MD	Original Copy with the Nodal officer of the CPSE.
			Executive Chairman or CMD	Executive Chairman or CMD	
			MD	Executive Chairman or MD	
b	In case the officer directly reports to Executive Chairman	Executive Chairman	Executive Chairman	Executive Chairman	
c	In case the officer directly reports to CMD	CMD	CMD	CMD	
d	In case the officer directly reports to MD	MD	Executive Chairman	Executive Chairman	
			MD	MD	

¹ ED – Executive Director in CPSE

² GM – General Manager in CPSE

e	In case the officer directly reports to Functional Director	Functional Director	Executive Chairman	Executive Chairman	
			CMD	CMD	
			MD	Executive Chairman or MD	
II	Subsidiary Companies				
i)	CMD	CMD or Executive Chairman of Holding Company	Secretary of the AM/D	Minister-in-charge	Original Copy with AM/D and one certified copy each with the Nodal officer of the CPSE and PESB
		MD of Holding Company	Executive Chairman of Holding Company or Secretary of the AM/D	Secretary of the AM/D or Minister-in-charge	
ii)	MD	Executive Chairman/ CMD of Holding Company	Secretary of the AM/D	Minister -in-charge	-do-
		MD of Holding Company	Executive Chairman of Holding Company or Secretary of the AM/D	Secretary of the AM/D or Minister-in-charge	
iii)	Functional Director	CMD/MD of subsidiary company	Executive Chairman or CMD of Holding Company	Secretary of the AM/D	-do-
			MD of Holding Company	Executive Chairman of Holding Company or Secretary of the AM/D	
iv)	GM and other officers of equivalent posts (E8)				
a	In case the officer directly reports to Functional Director	Functional Director	CMD	CMD	Original Copy with the Nodal officer of the CPSE
			MD	Executive Chairman or MD	

b	In case the officer directly reports to CMD	CMD	CMD	CMD	
c	In case the officer directly reports to MD	MD	Executive Chairman	Executive Chairman	
			MD	MD	

3.2 Notwithstanding the channel of Reporting, Reviewing and Acceptance mentioned in para 3.1 above, the administrative Ministry/Department may, in consultation with Department of Public Enterprises, adopt a different channel of submission of PAR on case by case for valid reasons.

4. Schedule of commencement and completion of PARs:

4.1 Table No.2 given below indicates the schedule of commencement and completion of Performance Appraisal exercise which should be strictly followed:-

Table No.2 - Schedule of commencement and completion of PARs

S. No.	Activity	Cut-off Date ¹
i)	Finalization of targets and relative weights by the Reporting Authority in consultation with the officer reported upon and sending a copy thereof to the Nodal officer for record	30 th June
ii)	Nodal Officer will circulate one copy of blank PAR form to the officer reported upon specifying the Reporting, Reviewing and Accepting Authorities	30 th September
iii)	Submission of the PAR form after self-appraisal by the officer reported upon to the Reporting Authority under intimation to the Nodal officer	31 st October
iv)	Submission of the PAR form after appraisal by the Reporting Authority to the Reviewing Authority under intimation to the Nodal officer	15 th November
v)	Submission of the PAR form after review by the Reviewing Authority to the Accepting Authority under intimation to the Nodal officer	30 th November
vi)	Furnishing of the PAR form after appraisal by Accepting Authority to the Nodal officer	15 th December
vii)	Disclosure of the PAR to the officer reported upon by the Nodal officer	31 st December
viii)	Submission of representation, if any, by the officer reported upon to the Nodal officer	15 th January

¹ Cut-off date will be in the year following the financial year for which PAR is written except for S. No. (i) where the cut-off date mentioned is 30th June of the Reporting year. In case these dates fall on holidays, the cut-off date will be automatically extended to the next working day.

ix (a)	<u>If no representation is received:</u> The PAR as disclosed to the officer reported upon should be treated as final and forwarded to the concerned PAR Repository Authorities by the Nodal officer	31 st January
ix (b)	<u>If representation is received:</u> The Nodal officer shall put up the representation before the Accepting Authority for disposal in consultation with a committee of senior officers and with the Reporting/Reviewing Authority as may be required.	28 th February
ix (c)	Nodal officer shall make necessary entries in Section VI of the PAR about the final decision of the Accepting Authority on the representation and disclose the same to the officer reported upon	15 th March
ix (d)	Nodal officer will forward the completed PAR in original to the concerned PAR Repository Authorities and complete the process	31 st March

5. Nomination of Nodal officer by CPSE/Administrative Ministry/Department

5.1 The Nodal officers nominated by the CPSE and the concerned administrative Ministry/Department should ensure that only one copy of the PAR form in respect of the Chief Executives, Functional Directors, Executive Directors and General Managers is circulated and filled up. They should also ensure that the PARs are duly completed as per the schedule given in para 4.1 and copies (hard as well as digital) of the PAR are made and certified by them. The Nodal officer should send the certified copies of the PAR to the concerned PAR Repository Authorities within the prescribed time. The Nodal officers for the Board level and below Board level executives are indicated in Table No.3 given below:

Table No.3 - Nodal officers for the Board level and below Board level executives

Particulars of Post	Nodal officer
<u>Board level Executives</u>	Joint Secretary looking after administration in the concerned administrative Ministry/Department
Chief Executives and Functional Directors	
<u>Below Board level Executives (E9 & E8)</u>	A senior officer of CPSE looking after the Human Resource/Personnel/ Administration Deptt. so designated by the concerned CPSE
Executive Directors and General Managers	

6. Procedure for initiation, review and acceptance of PARs

6.1 Commencement of Performance Appraisal exercise: The performance appraisal should commence with the fixation of targets. The deliverables as well as relative weights in respect of each assigned tasks will be decided by the Reporting Authority after consulting the officer reported upon within two months from the start of the period of report. For example, for the year 2010-11, this work should be completed by 31st May, 2010. A copy of the approved targets as well as their relative weights should be sent to the Nodal officer by 30th June of the year of report by the Reporting Authority for record.

6.2 Nodal officer: The Nodal Officer shall, by 30th September of the year following the Reporting year, circulate one copy of PAR form after filling Section I to the officer reported upon specifying the Reporting, Reviewing and Accepting Authorities. The Nodal officers shall closely monitor the process of initiation and completion of PAR so that the remarks of the Reporting, Reviewing and Accepting Authorities are recorded without fail by the dates indicated in the schedule given in Para 4.1. In case the officer was on leave, training, ex-cadre foreign assignment for more than a year, the Nodal officer will record a certificate to the effect that no PAR is required to be written in respect of that officer for that period. Such a period shall be called 'No Report Period' and accordingly no PAR would be necessary for such period.

6.3 Officer reported upon: The officer reported upon shall forward his self-appraisal to the Reporting Authority before 31st October of the following year under intimation to the Nodal officer and keep a record of the same as evidence that he had submitted the same in time i.e. by 31st October.

6.4 Reporting Authority: The Reporting Authority should record his comments in the PAR and send it to the Reviewing Authority within the stipulated time i.e. by 15th November under intimation to the Nodal officer. When the Reporting Authority retires or otherwise demits office, he may be allowed to give his report on his subordinates within a month of his retirement or demission of office. The Reporting Authority should have at least 3 months experience of the work and conduct of the officer reported upon before writing an assessment of the work of that officer. However, when there is no Reporting Authority having the requisite experience of 3 months or more during the period of report, the Nodal officer should indicate this in Section III of the PAR.

6.5 Reviewing Authority: The Reviewing Authority should record his comments on the PAR of his subordinates forwarded to him by the Reporting Authority and send it to the Accepting Authority by 30th November under intimation to the Nodal officer. The Reviewing Authority can review the PAR of his subordinates within one month after his retirement or demission of his office.

6.6 Accepting Authority: The Accepting Authority shall within the timeframe specified in para 4.1, record his remarks on the PAR and forward it to the Nodal officer. Where the Accepting Authority has not seen the performance of the officer reported upon for at least three months during the period for which the PAR has been written, it will not be necessary for the Accepting Authority to accept any such report and an entry to this effect shall be made in the Performance Appraisal report by the Nodal officer. The Accepting Authority shall not accept any PAR after one month of his retirement from service or demitting office. Further, it is incumbent on the Accepting Authority to see whether the overall grade given to the officer by the Reporting/Reviewing Authority correspond with the pen picture given by them and in case they are different, he/she should harmonise them by suitably changing the overall grade.

6.7 Action plan to avoid delay in completion of the PAR process: In case the Reporting Authority fails to submit the PAR to the Reviewing Authority within the stipulated period i.e. by 15th November, the Nodal officer shall immediately obtain a copy of the self-appraisal from the officer reported upon and send it directly to the Reviewing Authority and authorize him to initiate the PAR. The Nodal officer shall also keep a note of the failure of the Reporting Authority to submit the PAR of his subordinate in time for making entry in

Item No.11 of Section I of the PAR of such Reporting Authorities. In case either the Reviewing Authority or both the Reporting Authority and Reviewing Authority fail(s) to submit the PAR to the Accepting Authority within the stipulated period i.e. by 30th November, the Nodal officer shall immediately obtain a copy of the PAR of the officer reported upon with self appraisal and appraisal of the Reporting Authority, if available and send them directly to the Accepting Authority and request him to either review or 'initiate and review' the PAR, as the case may be. The Nodal officer shall also keep a note of the failure of the Reporting or/and Reviewing Authority, as the case may be, to submit the PAR of his/their subordinates in time for an appropriate entry in Item No.11 of Section I of the PAR of such Reviewing/Reporting Authorities. When the PAR of an officer of the CPSE reported upon is initiated by the Accepting Authority due to delay in initiation and review by the concerned authorities, it will not be necessary for him to review and accept such report. Similarly, when the PAR of an officer of the CPSE reported upon is reviewed by the Accepting Authority due to delay in review by the Reviewing Authority, it will not be necessary for him to accept such report.

6.8 Comments on the integrity of the officer reported upon: The Reporting Authority is required to comment on the integrity of the officer reported upon. In recording remarks with regard to integrity, he/she need not limit him/herself only to matters relating to financial integrity but would also take into account any violation, by the concerned officer, of the code of conduct laid down by the Board of the CPSE or expected of him. The following procedure should be followed in filling up Column 8 relating to integrity: (i) If the Officer's integrity is beyond doubt, it may be stated; (ii) If there is any doubt or suspicion, a separate secret note should be recorded and sent to the Reviewing Authority after recording this fact in the column relating to integrity. (iii) Where it is not possible either to certify the integrity or to record secret note, the Reporting Authority should state that he/she has not received anything against the officer. The Reviewing Authority will ensure that the follow up action is taken expeditiously.

6.9 The Reviewing Authority will ensure that the follow up action is taken expeditiously on the secret note if any submitted by the Reporting Authority. If, as a result of the follow up action, the doubts or suspicions are cleared, the integrity of the officer reported upon should be certified and an entry made accordingly by the Reviewing Authority in the Performance Appraisal Report. If the doubts or suspicions are confirmed, this fact should also be recorded by the Reviewing Authority. If as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the officer's conduct should be watched for a further period of one year and the outcome should be recorded in the Performance Appraisal Report by the Reviewing Authority. The Nodal officer shall communicate the final decision on the integrity of the officer reported upon to the officer concerned as well as the Reporting Authority.

7. Disclosure of the entries recorded in the PAR and disposal of the representation, if any, received from the officer reported upon

7.1 Once the PAR is completed, the Nodal officer shall be responsible for communicating the full Performance Appraisal Report including the overall grade and assessment of integrity, to the concerned officer by 31st December of the year following the year of report.

7.2 The concerned officer reported upon shall be given an opportunity to make a representation, if any, within a period of fifteen days from the date of receipt of the PAR against the entries and the final grading given in the PAR. While communicating the entries,

it should be made clear that in case no representation is received within fifteen days, it shall be deemed that he/she has no representation to make. If the Nodal officer does not receive any representation from the concerned officer reported upon, on or before fifteen days from the date of disclosure, the PAR will be treated as final. The representation shall be restricted to specific, factual observations contained in the report on the assessment of the achievements against targets, personal attributes, functional competencies and integrity. A committee of three senior officers will be appointed by the Accepting Authority to advise him on the representation, if any, received from the officer reported upon. The Committee of officers will consider the representation received from the officer reported upon in consultation with the Reporting and/or Reviewing Authorities and submit their report to the Accepting Authority. The Accepting Authority shall decide the matter objectively based on the material placed before him within a period of 45 days from the date of receipt of the representation from the officer reported upon. The Accepting Authority after due consideration shall pass a self-contained, speaking order on the issue at hand. He may reject the representation or may accept and modify the PAR accordingly. The Nodal officer shall communicate to the officer reported upon, Reporting and Reviewing Authorities, the decision of the Accepting Authority and the final grading within fifteen days of its receipt and shall keep a record thereof in Section VI of PAR form.

8. Maintenance of PARs

The completed PARs in original of all Chief Executives and Functional Directors of CPSEs shall be retained in the Administrative Ministry and a certified copy of the PAR shall be kept in the concerned CPSE and PESB. The completed PARs in original of all Executive Directors (E9), General Managers (E8) and their equivalent executives of CPSEs shall be retained in the concerned CPSE. Maintenance of a copy of PAR of all Board level executives will facilitate Public Enterprises Selection Board (PESB) in its task of selection of Board level executives in CPSEs.

9. Oversight of Performance Appraisal exercise by Department of Public Enterprises (DPE)

By 30th April of every year, PESB will share with DPE the status of completion of Performance Appraisal exercise in respect of all Board level executives for the year which is two years prior to the year of sharing of status report. Based on the report of PESB, DPE will take up the issue of incomplete or delayed PARs with the administrative Ministries/ Departments for expediting the completion of the Performance Appraisal exercise.

**PERFORMANCE APPRASIAL REPORT OF
CHIEF EXECUTIVES/FUNCTIONAL DIRECTORS/
EXECUTIVE DIRECTORS/GENERAL MANAGERS
OF CENTRAL PUBLIC SECTOR ENTERPRISES**

FORM

FORM

**PERFORMANCE APPRAISAL REPORT OF THE CHIEF EXECUTIVES,
FUNCTIONAL DIRECTORS, EXECUTIVE DIRECTORS (E9) AND GENERAL
MANAGERS (E8) OF CENTRAL PUBLIC SECTOR ENTERPRISES (CPSEs)**

For the year/period from ----- to -----

Each and every section of this form should be filled in by the concerned officer/authority after carefully reading the instructions attached to this form.

Section I - Basic information

(To be filled in by the Human Resource/Personnel/Administration Department of the CPSE)

Recent
Photograph
of the officer
reported
upon to be
affixed

Personal Data of the officer reported upon

<p>1. Name of the Officer reported upon: _____</p> <p>2. Employee Number: _____</p> <p>3. Date of Birth: _____</p> <p>4. Brief Academic & Professional Qualifications : _____</p> <p>5. (a) Name of the Post held: _____</p> <p style="padding-left: 40px;">(b) Grade of Post held: _____</p> <p style="padding-left: 40px;">(c) Date of Continuous Appointment in this Post: _____</p> <p style="padding-left: 40px;">(d) Present Pay and Scale of Pay: _____</p> <p style="padding-left: 40px;">(e) Date of continuous Appointment in the same enterprise: _____</p>
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6. (a) Date of First Public Enterprise Appointment: _____
(b) Scale of Pay of the Post on First Appointment: _____

7. Reporting, Reviewing and Accepting Authorities during the year

	Name & Designation	Period worked	
		from	to
Reporting Authority			
Reviewing Authority			
Accepting Authority			

8. Period of absence on leave, etc. during the year

	Period	Type	Remarks
On Leave other than Casual Leave			
Others (specify)			

9. Qualification acquired and Training programmes attended during the year:

(a) Details of Qualification acquired during the year

S. No.	Details of Qualification	Institution from which studied	Details of subjects studied and the marks obtained

(b) Details of Training programme attended during the year

Date from	Date to	Institute	Subject

10. Awards/Honours received during the year

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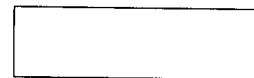
11. Number of officers for whom PAR was not written by the officer reported upon as Reporting/Reviewing Authority for the previous year

--

12. Date of filing the property return in the prescribed format (Appendix I) for the year ending 31st December, _____.

--

13. **Date of last prescribed medical examination (for officers over 40 years of age). Please attach a copy of the summary of the medical report. (Suggested format of detailed and summary of the medical examination report is at Appendix II)**



Signature:
Name & Designation of the officer of the
Human Resource/Personnel/Administration Department

Date:

Section II – Self-appraisal of the officer reported upon

1. **Brief description of responsibilities:**
(Objectives of the position you hold and the responsibilities you are required to discharge, in about 100 words)

2. Annual work plan and achievement:

Tasks to be performed	Weightage	Deliverables ¹	Achievement ²
I - MOU Targets	* ³	-	* ⁴
II - Other key assigned tasks flowing from MOU			
i)			
ii)			
iii)			
iv)			
v)			
vi)			
vii)			
viii)			
ix)			
x)			
Total (i to x)	* ⁵		
III – Grand Total	75		

1. Deliverables refer to quantitative or financial targets or verbal description of expected outputs. The deliverables and the weights for individual key assigned tasks will be decided by the Reporting Authority after consulting the officer reported upon within two months from the start of the period of report. The Reporting Authority shall send a copy of the details of the finally agreed key assigned tasks and their relative weights targets to the Nodal officer by 30th June.
2. Actual achievements refer to the achievements against the specified deliverables in respect of each task. No explanations for divergences are to be given in this table.
3. The weightage for MoU targets is 75 for Chief Executives, 40 for Functional Directors and 25 for Executive Directors/General Managers.
4. The final MoU score based on audited accounts conveyed by DPE should be filled in this space.
5. The total weightage for other assigned tasks flowing from MoU is nil for Chief Executives, 35 for Functional Director and 50 for Executive Directors/General Managers.

3. During the period under report, do you believe that you have made any exceptional contribution, e.g. successful completion of an extraordinarily challenging task or major systemic improvement (resulting in significant benefits to the Company and/or reduction in time and costs)? If so, please give a verbal description (within 100 words):

--

4. What are the constraints that hindered your performance?

--

5. Please indicate specific areas of training that will add value to you:

For the current assignment:

For your future career:

Note:

Chief Executives and Functional Directors should send their updated CV, including additional qualifications acquired, training programmes attended, publications/special assignments undertaken to the Nodal officer of the CPSE as well as the Nodal officer of the Administrative Ministry once in 5 years so that updated records are available with them. However, the Executive Directors and General Managers should send such information once in 5 years to the nodal officer of the CPSE only.

6. Declaration

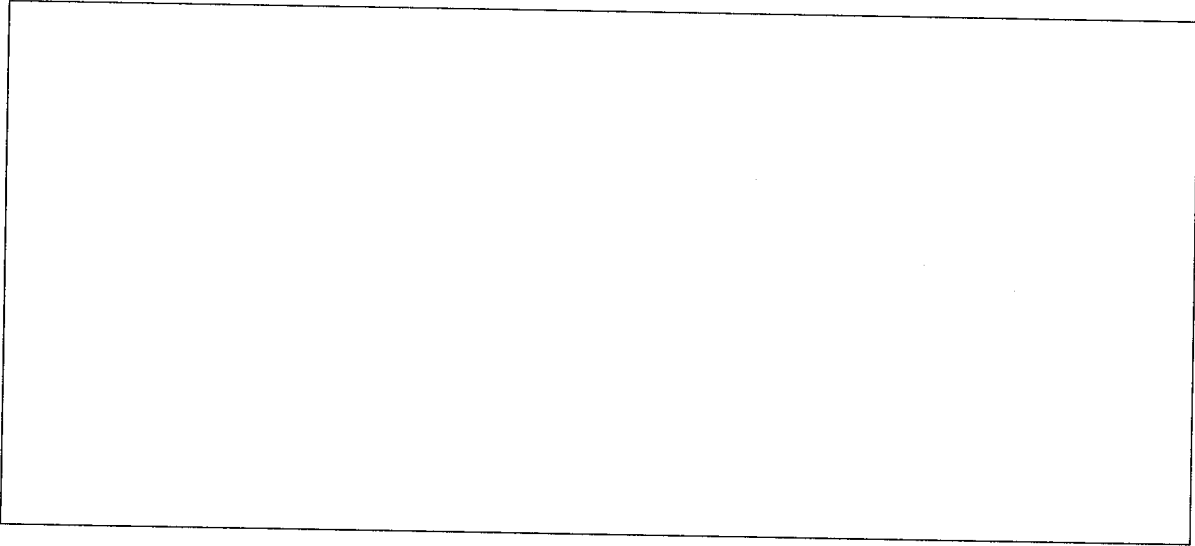
Have you filed your immovable property return in the prescribed format as due? If yes, please mention the date.	Yes/No	
Have you undergone the suggested medical check up?	Yes/No	
Have you set the annual work plan for all officers for the current year, in respect of whom you are the Reporting Authority?	Yes/No	

Signature of the officer reported upon

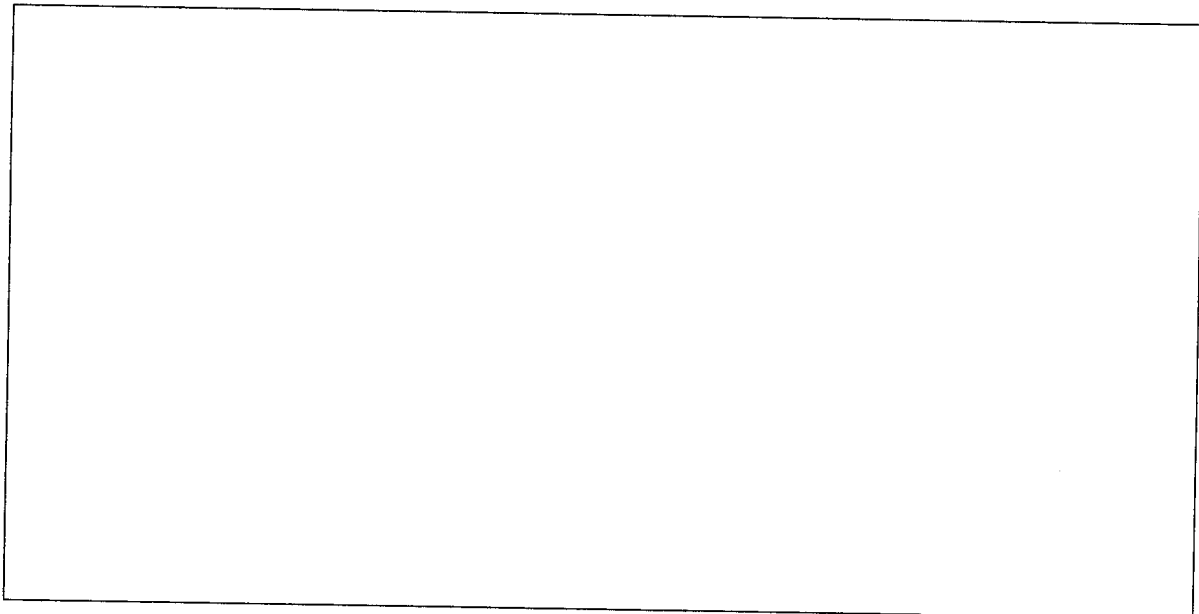
Date:

Section III - Appraisal of the Reporting Authority (Please read the relevant instructions attached to this form before filling up this section)

1. Please state whether you agree with the responses relating to the accomplishments of the work plan as filled out in Section II. If not, please furnish factual details.



2. Please comment on the claim (if any) made by the officer reported upon about his exceptional contribution.



3. **Has the officer reported upon met with any significant shortfall in achieving the targets? If yes, please furnish factual details.**

4. **Do you agree with the constraints mentioned by the officer reported upon that had hindered his performance and, if so, to what extent?**

5. **Do you agree with the competency up-gradation needs as identified by the officer?**

6. **Assessment of the achievements made against the targets.** (This assessment should rate the officer vis-à-vis his peers and not the general population. Grades should be assigned on a scale of 1-5, in maximum of 2 decimal numbers, with 1.00 referring to the best grade and 5.00 to the lowest grade. Weightage to this Section will be 75%).

Particulars	Weightage	Reporting Authority		Reviewing Authority		Initials of Reviewing Authority
		Absolute grade	Weighted grade	Absolute grade	Weighted grade	
	(a)	(b)	(c = a x b)	(d)	(e = a x d)	
I - MOU Targets	*¹	*²				
II - Other key assigned tasks						
i)						
ii)						
iii)						
iv)						
v)						
vi)						
vii)						
viii)						
ix)						
x)						
Total (i to x)	*³	-		-		
III – Grand Total II & III	75	-		-		
Overall Grade = Grand Total/100	-	-		-		

Weighted grade is to be computed by multiplying the absolute grade by the relative weights. Overall grading is to be computed by summing up the weighted grade and dividing the total by 100 and rounding off to 2 decimals.

1. The weightage for MoU targets will be 75 for Chief Executives, 40 for Functional Directors and 25 for Executive Directors/General Managers.
2. The final MoU score based on audited accounts conveyed by DPE should be filled in this space.
3. The weightage for other key assigned targets will be nil for Chief Executives, 35 for Functional Directors and 50 for Executive Directors/General Managers.

7. **Assessment of Personal Attributes and Functional Competencies** (Grades should be assigned on a scale of 1-5, in maximum of 2 decimal numbers, with 1.00 referring to the best grade and 5.00 to the lowest grade. Weightage to this Section will be 25%)

S. No.	Particulars of Personal Attributes and Functional Competencies	Grade by Reporting Authority	Grade by Reviewing Authority	Initials of Reviewing Authority
i	Effective communication skills			
ii	Strategic orientation and Decision making ability			
iii	Problem solving and Analytical ability			
iv	Ability to develop and motivate team members			
v	Ability to coordinate and develop collaborative partnerships			
vi	Innovation and change orientation			
vii	Planning and Organising			
viii	Result orientation			
ix	Business Acumen			
x	Role based functional competency			
	Total (i to x)			
	Overall Grading of Personal Attributes and Functional competencies (Total/40)			

All the personal attributes and functional competencies (S. No. i to x) carry equal weights. Overall grading is to be computed by dividing the total grade by 40 and rounding off to 2 decimals.

8. **Integrity** (Please comment on the integrity of the officer reported upon by choosing any one of the following options):

i)	Beyond doubt	
ii)	Integrity of the officer is doubtful. A separate secret note is attached.	
iii)	Nothing adverse has been received about the officer	

9. **Pen picture by Reporting Officer. Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and those which need improvements. The pen picture should be consistent with the overall grade furnished in Item no. 10.**

10. **Overall grade (on a grade of 1 - 5) based on the grades awarded in Item no. 6 & 7. This should be computed by summing up the weighted average grade indicated in Item no. 6 and Item no. 7.**

Date:

**Signature of Reporting Authority
Name & Designation of the Reporting Authority**

Section IV – Review by the Reviewing Authority (Please read the relevant instructions attached to this form before filling up this section)

1. Do you agree with the assessment made by the Reporting officer with respect to discharge of responsibilities and various attributes of the officer reported upon in Section III? (In case you agree with the assessments made by the Reporting Authority, please make a note to that effect in the space provided for you in Item No. 6 and 7 of Section III and initial it. If you do not agree with any of the numerical assessments made by the Reporting Authority, please record your assessments in the space provided for you in Item No.6 and 7 of Section III and initial your entries).

Yes/No

2. Do you agree with the assessment of the Reporting officer in respect of extraordinary achievements and/or significant shortfalls of the officer reported upon?

Yes / No

3. In case of difference of opinion, details and reasons for the same may be given.

--

4. Comments, if any, on the pen picture written by the Reporting Authority.

--

5. Overall grade on a scale of 1 – 5 (Grades should be assigned on a scale of 1-5, with referring to the best grade and 5 to the lowest grade). The overall grade should be computed by summing up the weighted average grade obtained in Item No.6 and 7 of Section III.

--

Signature of Reviewing Authority _____
Name & Designation of the Reviewing Authority

Date:

Section V – Acceptance by the Accepting Authority (Please read the relevant instructions attached to this form before filling up this section)

1. Is the overall grade given by the Reporting/Reviewing Authority is consistent with the pen picture given by them?

Yes/No

2. Do you agree with the remarks of the Reporting /Reviewing Authorities?

Yes/No

3. In case of difference of opinion, details thereof and reasons for the same may be given.

4. Overall grade on a grade of 1 – 5 (*Grades should be assigned on a scale of 1-5, with 1 referring to the best grade and 5 to the lowest grade*).

Signature of Accepting Authority
Name & Designation of the Accepting Authority

Date:

**Section VI – Review by the Acceptance Authority in the light of the
representation received from the officer reported upon**

1. **Whether the Accepting Authority considers any merit for revising the overall grade given earlier to the officer reported upon in the light of the representation made by him/her?**

Yes/No

2. **If Yes, please indicate the revised overall grade on a grade of 1 – 5 (Grades should be assigned on a scale of 1-5, with 1 referring to the best grade and 5 to the lowest grade).**

**Signature of the Nodal officer
Name & Designation of the Nodal officer**

Date:

Note:

The concerned Nodal officer shall fill this section based on the orders passed by the Accepting Authority. Copies of the representation made by the officer reported upon and the orders of the Accepting Authority thereon are to be attached.

Name of the Officer:

Employee No.:

Name of the post held:

Proforma for Annual Property Return

Appendix I

1	S.NO.
2	Description of Property
3	Precise location (Name of Distt., Division, Taluk & village in which the property is situated and also its distinctive number, etc.
4	Area of land (in case of land and building)
5	Nature of land (in case of landed property, etc)
6	Extent of interest
7	If not in own name, state in whose name held, his her relationship, if any, to the Governments servant
8	Date of acquisition
9	How acquired (whether by purchase, mortgage, lease in heritance, gifted or otherwise) and name with details person(s) from whom acquired addresses and connection of the Govt. servant, if any, with the person(s) concerned (Please see not 1 below)
10	Value of property (see note 2 below)
11	Particular of sanction of prescribed authority, if any
12	Total annual income from the property
13	Remarks

Appendix II

SUGGESTED PROFORMA FOR HEALTH CHECK UP OF TOP MANAGEMENT OF CPSEs

Date:

Name:

Age:

Sex: M/F

Employee No.:

Name of the Post held:

Brief clinical history, if any:

A: Examination

Physical

Systemic

Investigations:

Haemogram

Hb%

TLC

DLC

Peripheral Smear

Blood Sugar

F

P.P

Lipid Profile

Total Cholesterol

HDL Cholesterol

LDL Cholesterol

VLDL Cholesterol

Triglyceride

Liver Function Test

Total Bilirubin

Direct Bilirubin

Indirect Bilirubin

SGOT

SGPT

ALK Phosphatase

Kidney function Test

Urea

Creatinine

Uric Acid

Electrolytes

Na⁺

K

Calcium

Inorganic Phosphates

Cardiac Profile

CPK
CK-MB
LDH
SGOT

Urine

Routine
Sugar
Albumin

Microscopic

E.C.G.**X-Ray****Ultra Sound Abdomen****Any other Investigation****Advice****B. Medical Report of the Officer**

1.	Haemoglobin level of the officer	Normal/Low
2.	Blood Sugar level	Satisfactory/Normal/High/Low
3.	Cholesterol level of the officer	Normal/High/Low
4.	Liver functioning	Satisfactory/Normal/Dysfunctional
5.	Kidney status	Normal/Both-One Kidney not functional optimally
6.	Cardiac Status	Normal/Enlarged/Blocked/Not normal

C. Summary of Medical Report

1.	Overall Health of the officer	
2.	Any other remarks based on the health check up of the officer	
3.	Health profile grading	

Designation

Date:

Instructions for filling up the Performance Appraisal Report (PAR) of the Chief Executives, Functional Directors, Executive Directors (E9) and General Managers (E8) of Central Public Sector Enterprises (CPSEs)

1. Introduction

The Performance Appraisal Report is an important document. It provides the basic and vital inputs for further development of an officer. The officer reported upon, the Reporting Authority, Reviewing Authority and the Accepting Authority should, therefore, undertake the duty of filling up the form with a high sense of responsibility.

Performance Appraisal should be used as a tool for career planning and training, rather than a mere judgmental exercise. Reporting Authorities should realize that the objective is to develop an officer so that he/she realizes his true potential. It is not meant to be a fault-finding process but a developmental tool. The Reporting Authority, the Reviewing Authority and the Accepting Authority should not shy away from reporting shortcomings in performance, attitudes or overall personality of the officer reported upon. The columns should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a casual or superficial manner will be easily discernible to the higher authorities.

Performance appraisal is expected to be used as a tool for human resource development, career planning and training rather than a mere judgemental exercise. Thus the Reporting Authority and the officer reported upon should meet at the beginning of the year to set targets and goals of performance.

2. Section I – Basic information

This Section should be filled up in by the Nodal officer or the Human Resource/Personnel/ Administration Department of the CPSE. Period of report could be either the entire reporting year, namely, from 1st of April to 31st March or a part of the year (exceeding 3 months). In case the period of report is a full year, it should be indicated accordingly; for example, 2010-2011. In case the period of report is less than the entire year, specific start and end dates should be indicated, for example, 10th September 2010 to 31st March 2011.

Item No.1: Name of the officer reported upon should be written in capital letters

Item No.8: The period of absence from duty, on leave other than casual leave, training, or for other reasons should be mentioned in this section.

Item No.12: The date of filing the annual property return in the prescribed format is to be mentioned.

Item No.13: This Section provides for annual medical examination of the officer reported upon from an approved medical institution. The health check up is, however, mandatory for all officers above the age of 40. The officer concerned should get his medical examination completed by 30th June every year at a medical institution designated by the concerned CPSE. A suggested format for the medical report is appended to the PAR form. CPSEs may, however, prescribe a separate form provided it includes all the details specified in the form suggested by the Committee. A copy of the summary of the medical report of the officer

reported upon is to be attached to the Performance Appraisal Report Form by the Nodal officer or the Human Resource/Personnel/Administration Department of the CPSE before circulating the same to the concerned officer for completing self-appraisal.

3. Section II – Self-appraisal of the officer reported upon

Item No.1: The officer reported upon is first required to give a brief description of his responsibilities, which would normally not exceed about 100 words. Ideally, this should be in bullet form.

Item No.2: In this section, the officer reported upon is required to furnish the details of targets and achievements unless revised by the new Reporting officer. While the targets for the Chief Executive will be only MOU targets; for others, the targets will be both MOU targets as well as other assigned tasks flowing from MOU targets. All officers are required to develop a work plan for the year and agree upon the same with the Reporting officer. The work plan should incorporate the work related to the area of functioning of the concerned officer and it should emanate from the MOU targets/goals. The work plan would normally consist of quantifiable targets. The exercise is to be carried out at the beginning of the year and finalized by 31st May, positively. The work plans, duly signed by the officer reported upon and the Reporting Authority has to be submitted by 30th June to the nodal officer for record.

After the work plan is prepared, it is possible that the officer reported upon is transferred out. There need not be more than one work plan for one post each year. In case of a change of the Reporting officer during the year, the work plan agreed with the previous Reporting officer would continue to apply unless revised by the new Reporting officer. The contribution of the officer reported upon during the period spent by the officer on the post could be considered for evaluating his performance against the work plan.

Item No.3: This section provides an opportunity for the officer to reflect upon his performance during the year and indicate one item in which he/she had made significant contribution during the year. It is always possible for any officer to make significant contribution even in activities otherwise regarded as routine in nature.

Item No.5: The officer reported upon is required to indicate specific areas in which he/she feels the need to upgrade competencies and attend training programmes. He/she should also mention the specific steps that he/she has taken or proposes to take to upgrade his/her competencies in the identified area.

4. Section III – Appraisal of the Reporting Authority

Item No.1: The Reporting Authority is required to comment on the self-appraisal made by the officer reported upon in Section II, and specifically state whether he/she agrees with the responses relating to accomplishments. In case of disagreement, the Reporting Authority should highlight the specific portions with which he/she is unable to agree to and the reasons for such disagreement.

Item No.6: In this Section, the Reporting Authority is required to record a numerical grade (not more than 2 decimals) in respect of the work output of the officer reported upon against each of the key assigned tasks.

Item No.7: In this section, the Reporting Authority is also required to record a numerical grade (not more than 2 decimals) in respect of personal attributes and functional competencies of the officer reported upon. To ensure that the personal attributes and functional competencies are clearly understood by all stakeholders of the PAR process, the descriptions of each of them are given in Table No.1 below:

Table No.1 – Description of Personal Attributes and Functional Competencies

S. No.	Personal Attributes and Functional Competencies	Description of Personal Attributes and Functional Competencies
i)	Effective communication skills	Communicates articulately and assertively to influence critical stakeholders and strives to achieve a win-win solution.
ii)	Strategic orientation and Decision making ability	Demonstrates comprehensive business and environment awareness including related laws and rules; develops/aligns self and team to the long term business strategy and overall organizational vision. Considers multiple factors while taking decisions for long term organization impact.
iii)	Problem solving and Analytical ability	Analyzing and solving a problem by identifying the elements and relationships of a problem in a systematic way and identifying logical links.
iv)	Ability to develop and motivate team members	Provides direction and support, encourages team work, inspires and motivates team and manages conflict to accomplish group objectives while focusing on capability enhancement of the team
v)	Ability to coordinate and develop collaborative partnerships	Builds collaborative partnerships with internal and external stakeholders and leverages relations through networking to meet organizational objectives.
vi)	Innovation and change orientation	Takes initiative; manages and champions change and learning processes; encourages new and innovative approaches.
vii)	Planning and Organising	Ability to plan and organize own as well as team activities, prioritize and handle contingencies to meet set goals and objectives within defined timelines.
viii)	Result orientation	Demonstrates drive for results and ensures that operating practices and performance results adhere to high standards of efficiency and excellence
ix)	Business Acumen	Understands the tie between and revenue and expenses; utilizes financial data and information to make sound business decisions that promote cost consciousness, profitability, revenue and growth.
x)	Role based functional competency	Demonstrates knowledge of rules and laws, systems and processes, functional domain and IT applications in order to carry out the assigned role with conviction

In order to bring in more objectivity in the assessment of the attributes and competencies and minimize bias, benchmarking for assigning grades to various Personal Attributes and Functional Competencies are indicated in the Table No.2 given below:-

Table No. 2 – Benchmarking for assigning grades to Personal Attributes and Functional Competencies

Grade	Description of the benchmark	Details of Behaviour competencies
1	Consistently exceeds expectations	Demonstrates exemplary behaviours, consistently in all situations far above that are required for effectiveness in the current role. Demonstrates outstanding professional attributes, which indicates strong potential for rapid future development.
2	Consistently meets expectations	Consistently demonstrates behaviours which surpass those required for effectiveness in current role. Demonstrates professional skills that indicate strong potential for future advancement.
3	Meets expectations most of the times	Regularly demonstrates behaviours at the level required for effectiveness in current role. Displays the required level of proficiency for this competency, exceeding expectations at times.
4	Partially meets expectations	Inconsistently or partially demonstrates behaviours required for effectiveness in current role; however significant progress is required to achieve the expected proficiency level for this competency.
5	Consistently does not meet expectations	Does not sufficiently demonstrate behaviours required for effectiveness in current role and immediate improvement is needed to achieve the required proficiency level for this competency.

Item No.8: In this section, the Reporting Authority is required to comment on the integrity of the officer reported upon. In recording remarks on integrity, he/she need not limit him/herself only to matters relating to financial integrity but would also take into account any violation, by the concerned officer, of the code of conduct laid down by the Board of the CPSE. The following procedure should be followed in filling up column relating to integrity: (i) If the Officer's integrity is beyond doubt, it may be stated; (ii) If there is any doubt or suspicion, a separate secret note should be recorded and sent to the Reviewing Authority after recording this fact in the column relating to integrity. (iii) Where it is not possible either to certify the integrity or to record secret note, the Reporting Authority should state that he/she has not received anything against the officer reported upon.

The Reviewing Authority will ensure that the follow up action on the secret note submitted by the Reporting Authority is taken expeditiously. If, as a result of the follow up action, the doubts or suspicions are cleared, the integrity of the officer reported upon should be certified and an entry made accordingly by the Reviewing Authority in the Performance Appraisal Report. If the doubts or suspicions are confirmed, this fact should also be recorded by the Reviewing Authority in the PAR. If as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the officer's conduct should be watched for a further period of one year and the outcome should be recorded in the Performance Appraisal Report by the Reviewing Authority. The Nodal officer shall communicate the final decision

on the integrity of the officer reported upon to the officer concerned as well as the Reporting Authority.

Item No.9: The Reporting Authority is also required to record a descriptive pen-picture on the overall qualities of the officer reported upon and his performance and this should be consistent with the numerical grade given to the officer. This should try to cover overall qualities of the officer, including areas of strengths. The pen-picture is also meant to be a qualitative supplement to the quantitative assessments made in earlier part of this section.

Item No.10: Finally, the Reporting Authority is required to record an overall grade. This should also be done on a scale of 1-5, with 1 referring to the best grade and 5 to the lowest. This should be computed by adding the weighted average grade indicated in Item no. 6 & 7.

5. Section IV – Review by the Reviewing Authority

Item No.1: This Section is to be filled up by the Reviewing Authority. He/she is required to indicate whether he/she agrees with the assessments made by the Reporting officer. In case of disagreement, he/she may record his own assessment about the work output and/or any of the attributes in the column specifically provided for the purpose in Item No.6 and/or Item No.7 of Section III. The numerical grades should not be given in more than 2 decimals.

Item No.3: In case of disagreement with the assessment made by the Reporting Authority, the Reviewing Authority should record the details of disagreement and the reasons for the same in this section.

Item No.4: In this section, the Reviewing Authority should comment on the pen picture written by the Reporting Authority.

Item No.5: Finally, the Reviewing Authority is required to record in this section an overall grade in the scale of 1-5 with 1 referring to the best grade and 5 to the lowest. This should be computed by adding the weighted average grade indicated in Item no. 6 & 7 of Section III.

6. Section V – Acceptance by the Accepting Authority

Item No.1: This Section is to be filled by the Accepting Authority. He/she is required to indicate whether he/she agrees with the assessments made by the Reporting Authority/Reviewing Authority.

Item No.2: In case of difference of opinion, the Accepting Authority is required to give details and reasons for the same in this section.

Item No.3: Finally, the Accepting Authority is required to record in this section an overall grade in not more than two decimals in the scale of 1-5 with 1.00 referring to the best grade and 5.00 to the lowest. In case the overall grade given to the officer reported upon by the Reporting/Reviewing Authority is not consistent with the pen picture given by them, the Accepting Authority should make suitable changes to the overall grade to make them consistent.

7. Section VI: Review of the overall grade by the Acceptance Authority

In this section, the Nodal officer will fill in the form, the final decision of the Acceptance Authority on the representation, if any, made by the officer reported upon.

8. Numerical Grades

At several places, numerical grades are to be awarded by Reporting/Reviewing Authorities. It is expected that any grading of 4.00 or 5.00 (against work output or personal attributes and functional competencies or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 1.00 or 2.00 would be justified with respect to specific accomplishments. In awarding a numerical grade, the Reporting, Reviewing and Accepting Authorities should rate the officer against a larger population of his peers that may be currently working under them or would have worked under them in the past.

9. Weightage & Mean:

Weights have been assigned to work output, personal attributes and functional competencies. The overall grade in not more than 2 decimals will be based on the addition of the weighted mean value of each group of indicators.

10. Benchmarking of the Grade:

The overall grade obtained by the officer shall be benchmarked as under:

Outstanding	1.00 - 1.50
Very Good	1.51 - 2.50
Good	2.51 - 3.50
Fair	3.51 - 4.50
Poor	4.51 - 5.00
