



CENTRAL WAREHOUSING CORPORATION

(A GOVT. OF INDIA UNDERTAKING)

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No. CWC/I-PMS/Rectt/2012-13

Dated: 31.01.2013

CIRCULAR

DPE vide OM No.2(70)/08-DPE(WC) dated 26th November, 2008, while conveying revision of pay scales of Board level and below Board level Executives and non-unionized supervisors in CPSEs w.e.f. 1.1.07 have also provided for the provision of variable pay/performance related pay to the executives and non-unionized supervisors of profit making CPSEs. The important ingredient of granting performance related pay (PRP) is introduction of a robust and transparent performance management system (PMS) in the CPSEs. As such the matter has been under consideration of the management for quite some time and a PMS/PRP Scheme has accordingly been devised and was placed for approval of the Board in its meeting held on 12.12.2012.

With the approval of the Board, it has been decided to introduce the PRP Scheme in the Corporation w.e.f. 2012-13. The PRP Scheme is applicable to all the executives/ non-unionized supervisors (Group 'A' & 'B') including those retired/retiring during 2012-13. The officials retired/retiring during 2012-13 will be paid PRP on pro-rata basis. The PMS is to be made operational w.e.f. 2013-14. A copy of the PRP/PMS Scheme is enclosed.

In this connection, it is informed to all concerned that the performance of all Gr. A&B officials, for the period 2012 & 2012-13 may be evaluated by their controlling officers very comprehensively/objectively and in case of any outstanding job, the same may be justified as per the rules, since PRP is to be linked with the Annual Performance. The ACRs for the **calendar year** may be made available/completed in all respect by **15.2.2013** positively and for the **financial year** by **15.4.2013** so that the necessary processing could be done to finalise the grading etc. for the purpose of PRP of 2012-13. The bell curve is to be followed invariably while deciding payment of PRP in terms of DPE Guidelines/PMS Scheme. **The APRs in the new format for all Gr. A&B officials would be written financial year wise w.e.f. 2013-14** since the target are to be fixed and evaluated on financial year wise in terms of the PMS Scheme. The revised APR formats will be circulated separately.

The concerned HODs/RMs are requested to go through the PMS scheme and finalise the KPAs for their sub-ordinate officers by 15.03.2013 so as to facilitate the fixing of target between Appraiser & Appraisee.

(Pawan Kant)
DGM(Pers.)

Encl. as above.

Distribution :

1. All HODs, CWC, CO, New Delhi.
2. All RMs/CC Heads

Copy to :

1. PS to MD/SAM to Dir(Pers.)/PA to Dir(MCP)/PS to Dir(Fin.)/PS to CVO
CWC, CO, New Delhi.
2. CR Cell, CWC, CO, New Delhi

PERFORMANCE MANAGEMENT SYSTEM
(PMS)

THE REPORT OF CONSTITUTED COMMITTEE FOR STUDY AND RECOMMENDATIONS ON PMS AS APPLICABLE IN BEL, BENGALURU

The committee consisting of Shri C.T. Thomas, Deputy General Manager and Regional Manager, CWC, RO, Bangalore, Dr. R.S. Shukla, Assistant General Manager (Personnel), CWC, CO, New Delhi, Shri G.Swaminathan, Manager (Accounts), CWC, RO, Bangalore, and Shri Dinesh Kumar, SAM (Personnel), CWC, CO, New Delhi, have been entrusted to make a spot study on the Performance Management System (PMS) prevailing in the Bharat Electronics Limited (BEL) and suggest a transparent and robust PMS for the Central Warehousing Corporation (CWC).

Accordingly, the committee has gone through the practices being followed in BEL, Bengaluru and discussed at length with the Senior Officers of BEL including Shri K.M.Shivkumaran, AGM-HR, Corporate Office, Shri M.R.Sathyanarayana Rao, Additional AGM-HR, Central Services Unit, Shri V.Sudheer, DGM-HR, Central Services Unit and Ms. Mangala, Deputy Manager, Central Services Unit. BEL had PMS for Senior Executives in vogue with them and they have substantially improved the system in 2009 and applied it for all up to the level of Non Unionized Supervisors. Accordingly, Performance Appraisal forms are designed and implemented to various categories of Officers including Board Level Appointees.

The committee after going through the systems and practices in PMS in Corporate Office, main plant in Bangalore and various sub units in plant is of the view that a robust and transparent PMS is necessary for CWC also in order to leverage individual performance so as to make CWC more sustainable in the competitive environment.

The committee proposed the following salient features for introducing PMS in CWC:-

1.0 OBJECTIVES OF PMS:-

The objective of Performance Management System (PMS) is to enhance the performance of individuals, groups and organization as a whole and enable CWC to become performance driven in the competitive

market of warehousing which is now open for private players, through the following process.

- Clarify roles and fix responsibility.
- Align individual activities with group goals and Organizational objectives.
- Optimal use of employee competencies.
- Focused work using competencies resulting in reduction of losses and overheads.
- Identify developmental needs and build competencies of individuals/groups and prepare for higher level jobs.
- Create database for rewards, motivation, promotions and
- Build value based performance culture.

2.0 COVERAGE:-

It is proposed that all the Officers and Executives starting from E-1 level up to Board Level Appointees may be catered in the PMS.

3.0 PERFORMANCE APPRAISAL FORMAT:-

In view of the Department of Public Enterprises guidelines, the committee proposes 4 types of Performance Appraisal Formats taken as sample from BEL and have been found to be appropriate for its implementation in CWC for different levels. The formats are attached as Annexures I to IV.

All the formats have more or less the same approach for grading various levels of officers and the various parameters slightly vary from level to level.

3.1 PART - I – PERFORMANCE:-

The “Performance” is devised into 4 parts given below:

- A) Performance Plan and Mid Year Review
- B) Year End Performance Review.
- C) Developmental Need Assessment and
- D) Performance Review Sheet.

3.1.1 PERFORMANCE PLAN AND MID YEAR REVIEW:- Performance planning is the first and most important part of PMS and is done at the beginning of the year, i.e. in the month of April. However, individual will have to first define his role, identify stakeholders, their needs and expectations. The need and expectations are thereafter will be prioritized and about 6-7 Key Performance Areas (KPA) or Key Result Areas (KRA) are to be formulated jointly with the help of his immediate Superior/Controlling Officer. The relative weightages (Marks) out of 100 have to be jointly fixed between Appraiser and Appraisee and to be filled in the relevant column. These KPA will be further split into various workable and measurable activities. These activities will differ from level to level. While Junior/Middle level Executives will concentrate mostly on execution of current jobs, the senior level Executives will focus mainly on vision, strategic planning and performance and measures/indicators (i.e., targets) have to be formulated jointly with the help of subordinates or supervisors. These activities and their measures/indicates against each KPA may not always be possible to fill up in the column and in such event, a separate sheet can be annexed.

The target finalized against each activity should be “SMART”, i.e., (Specific, Measurable, Agreed/Ambitious/Achievable, Realistic and Time bound).

The Performance Plan Areas agreed is to be jointly signed by the Appraiser and Appraisee under the relevant column. While the original format is to be kept with Appraiser, the Appraisee keeps a copy for his reference and regular monitoring. There could be KPA changing from year after year. After getting review of the planning and execution prevailing in the changed business scenario and are to be decided between the Appraiser and Appraisee for each of the various streams. The Committee for the sake of convenience is suggesting some of the activities for deciding KPAs by various functionaries which are as under:-

FOR GENERAL MANAGEMENT CADRE:-

CORPORATE OFFICE TO WAREHOUSE LEVEL:- Industrial relations, employee satisfaction, communication job orientation, implementation of PMS on time, recruitment physical occupancy, capacity, turn over, profit, loss, addition of new customers, addition of new business, commodities, opening of new centers, creation of additional capacity, acquisition of land, appointment of HTC, on time, deposit/delivery of stocks, timely

collection of storage charges, realization of outstanding, purchase of consumables, chemicals etc., disposal of graded samples, completion of investigations, preparation of reports, completion of inquiries and timely submission of reports and statement, etc.

TECHNICAL CADRE:- Various activities in PCS business including increase in revenue, DESS, FESS, supply of chemicals, dunnages, preventive and curative treatment, pest free storage and preservation of stocks, minimizing storage losses, etc.

FINANCE CADRE:- Timely billing on the depositors, time to time realization of dues, disbursements to employees, release of bills within the specified period to the various clients including suppliers, HTC, etc., realization of storage charges as well as recoveries/realization of outstanding storage charges, etc.

ENGINEERING CADRE:- Timely preparation and submission of project estimates, lay out plans, completion of projects on time, monitoring various stages of projects, quality construction and payments to the clients/contractors on time, timely repairs and maintenance of godowns attending to leakages, etc. on cost effective parameters, etc.

The above Key Performance Areas are illustrative only and not exhaustive.

3.1.2 MID YEAR REVIEW:- The KPA's reported and agreed are to be reviewed half yearly in the month of October positively in a Performance Review Discussion meeting (PRD) to be held between the Appraiser and Appraisee. At the time of PRD meeting, the Appraisee will formally list out in the relevant column as to what extent he could achieve his half yearly targets and reasons for variance, if any. During the PRD, he will discuss with the Appraiser if he needs to amend the year and KPA, targets or marks. The Appraiser in the relevant column gives his concurrence or otherwise firm up KPA targets and weightages marks jointly for the year and the firmed up KPA for the year and are entered in the relevant column of page in year end performance review.

3.1.3 PERFORMANCE REVIEW DISCUSSION (PRD):- The PRD is a part of Mid year or year end review is important activity and therefore this process needs to be understood and clearly followed. The PRD aims at making appraiser and appraisee to understand each other by formal

communication and analysis of performance once in six months. The PRD meeting is fixed between appraiser and appraisee well in advance. Sufficient time of about 2-3 hours is to be allotted for PRD and is to be conducted in a cool and congenial environment without interruptions. During the PRD the proposal should be friendly supported with positive approach without personal bias and be ready to give and take the feedback. Precise task and targets are set and reviewed jointly. The review should be for the entire period and in no case it, should be based on the recent incident, if any, occurred between the appraiser and appraisee.

The PRD if done properly helps in solving the problems and help mutually understanding, development of trust and team spirit. During the PRD, appraiser will also give the feedback on competence, values and potential factors identifying training or developmental needs of subordinates. The summary of the PRD is to be recorded in the relevant column/page for future records. However, before the PRD is held one should properly monitor and analyze the system. The PRD may lead to negative results. Therefore, it is necessary to understand that performance has to be monitored and analyzed.

3.1.4 PERFORMANCE MONITORING (PM):- Having set the KPA and performance measures/indicators (targets), every individual has to be continuously monitored his own performance vis-à-vis targets set between him and Controlling Officer and see that the targets are achieved well within the time schedule. Similarly, one has to monitor the performance of the subordinates continuously, give feedback and make necessary corrections. It could be better if performance diary of subordinate is maintained which could be referred in PRD and used as an effective tool for review performance of subordinate during PRD.

3.1.5 PERFORMANCE ANALYSIS (PA):- The performance analysis is to be done by appraiser and appraisee first independently and later jointly during the PRD. The actual performance is analyzed vis-à-vis KPA/TARGET/TASK SET OUT EARLIER. During the performance analysis one has to find answers for various questions for falling short or exceeding the expectation and by how much, what factors related to appraisee (competence, motivation, ability, hard work) have helped him perform or fall and what factors of boss or subordinates or policies, etc., helped him to perform or fail. Which of these factors could have been

influenced by appraiser and appraisee and how? Once should not start rating based on simple fact that subordinates either has met or not met targets without finding answers to these questions.

3.1.6 YEAR AND PERFORMANCE REVIEW (YEPR):- The year end performance review of previous year and formulating KPAs/targets, etc., for next year should be done together in a well structured PRD meeting between appraiser and appraisee in April every year. The process should be followed for performance monitoring are same as mid year review except that at the end of the year end review, the appraiser also awards marks for performance of appraisee vis-à-vis set against each KPA. The total marks obtained out of 100 are prorated to 50%. Thus the weightage given for performance vis-à-vis targets during the year is 50% out of total marks. The marks are awarded confidentially by appraiser after PRD meeting is over. At the end of the PRD meeting and before awarding marks, the appraiser and appraisee sign on the page after filling in the relevant column (i.e., actual achievement by appraisee and review of appraiser). The methodology to be followed for awarding marks is as under:

- I) DEVELOPMENTAL NEED ASSESSMENT:- Developing performance and identified developmental needs is an important activity in PMS. This can be done at the year beginning/mid year review or year end review and recorded at the relevant page by the appraisee, appraiser and the reviewing officer or accepting authority as the case may be.

- II) DEVELOPMENTAL PRIORITIES:- During the PRD the appraisee should take initiative to identify his own developmental needs and recorded at the relevant page and express his desire and his commitment for improvement during PRD. The development needs should be expressed more in terms of 'Competency' and 'Capability' and developmental plans are finalized in consultation with the appraiser and reviewer. A copy of this page is taken and sent to the Establishment Section of RO/Personnel Division. Personnel Division will reconcile the developmental needs of various employees through the appraiser at the year end or mid year as the case may be. It shall be useful for the committees of middle level managers to review based on developmental needs of all employees and work out strategic plan to meet them. It will be a good

practice to inform every employee or Officer once a year the action taken/cannot be taken by the Establishment Section of RO/Personnel Division will arrange training programme as per the schedule. It will be the responsibility of every individual and his subordinate to ensure participation of individual in the training programme. The Personnel Division will prepare the list of Officers due for job rotation as per individual and organizational needs from appraisals and as per the management policy on the subject to enable Division or Department Heads to effect the job rotation as and when required. The job rotation is considered to be one of the best way of developing Executives on the job for higher position.

- III) PERFORMANCE REVIEW:- This review is use by appraiser to record the needs on performance and summary of PRD meetings in the middle, end, beginning of the year. Besides feedback on the performance, feedback on the values and potential and also recorded here. Any organizational support required to perform may also be recorded. The remarks of mid year review can be referred at year and review to assess the improvement made by the individual during six months period on feedback points.

Part-II COMPETENCIES:-

This part deals with assessment of nine functional/technical and managerial competencies required for successful completion of the job. Brief description of what is expected under each competency will be given in the format itself. The appraise is assessed and rated on a 5 point scale against each competency at the end of the year by the appraiser and reviewing Officer confidentially, 5 indicates exceptional competency and 1 indicates poor and unacceptable competency. The total marks scored out of the maximum marks given by the appraiser and reviewer is worked out and final score is to be worked out keeping in view the final KPA score and final employee score multiplied by 0.7 and 0.3 weightage respectively. The details will be available in the performance appraisal format. However, weightage will differ from level to level.

The average performance indicator for the Officers upto the level of AGM in CWC will be on the basis of KPA as well as the grade of various competency level. The officers above the level of AGM will be also evaluated on the above

parameters in addition to potential suitability, values, potential profile and potential appraisal. This could be described as under:

PART-III- VALUES:-

This part deals with assessment of 10 core values and ethical behavior values, which are required to be demonstrated in day to day activities by the appraisee. Brief description of what is expected under each value is given in the format itself. The appraisee is assessed and rated on a 5 point scale against each value at the end of the year by appraiser and reviewing Officer confidentially. 5 indicates exceptionally high value based behavior and 1 indicates poor and unacceptable behavior. The total marks given out of maximum of 100 marks by appraiser and Reviewing Officer are averaged and are pro-rated to 15%. Thus the weightage given to value based ethical behavior is 15% out of total marks.

PART-IV- POTENTIAL APPRAISAL:-

This part deals with 5 attributes which represent the leadership and managerial qualities required at senior level and to occupy higher positions. Brief explanation of what is expected against each attribute is given in the format itself. The appraisee is assessed and rated on 5 point scale against each attribute confidentially by appraiser and Reviewing Officer. 5 indicates exceptionally high potential, and 1 indicates poor and unacceptable leadership/managerial qualities. The total marks given out of maximum of 100 marks by appraiser and Reviewing Officer are averaged and are pro-rated to 15%. Thus, potential appraisal is given weightage of 15% out of total marks.

COMMENTS ON POTENTIAL SUITABILITY:-

At the end of the page 8 of the relevant format appraiser and Reviewing Officer will indicate whether the appraisee is suitable or not for higher positions or horizontal movement in different function/organization. The appraiser and Reviewing Officer should carefully fill in this page and clearly indicate whether one is fit to go to next level and by when (immediate/normal course), as it may have impact on subordinates promotional avenues.

PART-V- PERFORMANCE & POTENTIAL PROFILE:-

This is summary of final marks scored by the appraise against performance, competencies, values and potential. The Reviewing Officer fills in prorated ratings allotted from previous pages.

IMPORTANT: It is very important that the PRD is held and Appraisal format duly filled in by all concerned and see that it reaches the Personnel Department by end of April positively for effective implementation of PMS and reaping the consequent benefits. It is the responsibility of each Appraisee, Appraiser, Divisional/Regional Head and Reviewing Officer to see that Appraisals reach the Personnel Department on time. The Regional Heads/Divisional Heads who are Appraising the Appraisers below them should also see that the subordinates conduct PRD with respective subordinates on time and Appraisals filled on time. Delays caused by individual in the chain should be brought to the notice of individuals during PRD of those individuals. It is worthwhile considering to include “Holding PRDs and timely submission of Appraisals of subordinates” as one of the KPAs with a weightage of 10% marks if the Appraiser experiences problem of on time submission by some of their subordinates.

GUIDELINES FOR RATINGS:

YEAR END PERFORMANCE REVIEW:- While doing year end performance Review marks have to be allotted for each KPA depending upon performance vis-à-vis targets. The total marks are out of 100. The performance can be judged as Exceptional, Excellent, Very Good, Good, Average and Below Average.

- Exceptional: Always exceeds targets despite the most unfavorable circumstances and/or completes assigned tasks will before time. Performance of exceptionally high order rarely equaled or exceeded by others. Such persons are given 90-100% marks.
- Excellent: Consistently fulfils targets and/or completes assigned tasks in time under unfavorable circumstances. Generally exceeds expected performance standards if facilitating standards exist. Such persons are given 80-90% marks.
- Very Good: Always meets expected performance standards both in terms of achievements of target and/or completion of assigned tasks even in

the face of some inhibiting factors. Generally completes job on time and maintains schedules. Such persons are given 70-80%.

- Good: Usually meets expected performance standards despite some constraints; but does not exceed. Such persons are given 60-70%,
- Average: Finds difficulty in meeting targets and/or accomplishing tasks under unfavorable conditions but manages to do so in the absence of inhibiting factors. Such persons are given 50-60%
- Below Average: Always fails to achieve targets and/or accomplish assigned tasks even in the absence of any inhibiting factors. Performance below expectation despite lack of constraints. Such persons are given below 50%.

COMPETENCIES, VALUES & POTENTIAL APPRAISALS:

The rating scale indicated for these parameters in 5 point scale. However, one may allot half mark (0.5%) wherever it is considered necessary. The grades in 5 point scale is as follows:

Exceptional	90-100%	(4.5-5)
Excellent	80-90%	(4-4.5)
Very Good	70-80%	(3.5-4)
Good	60-70%	(3-3.5)
Average	50-60%	(2.5-3)
Below Average	Less than 50%	(<2.5)

NORMALIZATION OF RATINGS:

The ratings given by Appraising Officer may not some time coincide with the view of Reviewing Officer. The reasons for variation may be many. In such situations where Reviewing Officer feels that the ratings need certain moderation he will discuss with Appraising Officer and arrive at consensus. However, the Reviewing Officer should take necessary care to see that the authority of Appraising Officer is not abrogated and similarly the Appraising Officer should be able to see the rationale behind Reviewing Officer's views and both should try to arrive at consensus.

Normally the distribution of performers in any Department/Division would be about 20% in exceptional or excellent category and about 20% are Average and Below Average performers. Rest 60% would be Good/Very Good category. The appraisers and Reviewers should make sure that ratings across their Department/Division follows normal standard BELL curve.

The DPE guidelines further envisage that a “BELL Curve Approach” is to be adopted in grading the Executives/Officers so as to ensure that not more than 10% to 15% of the Executives are graded “Outstanding/Excellent” and 10% are graded as “Below Par” while assessing the performance. In order to effectively implement PMS/PRP Scheme, the committee feels that it would be imperative to assess the Executive/Officer through a fair and judicious process and to follow the Bell Curve approach and for judicious distribution of ratings for keeping groups of Officers in grades for the purpose of PRP. It shall be appropriate to constitute Moderation Committee to independently evaluate and moderate rating wherever required to adhere to “Bell Curve” approach and to decide appropriate distribution pattern for assessment of Executives. The Moderation Committee will complete the job and will submit the ratings/grade by mid June each year.

Due to lack of proper understanding of the guidelines variation do occur between one Appraising Officer to another for the same or similar level of performance. Such variations are taken care by Reviewing Officers & Appraising Officer by mutual discussion. It is also not uncommon that Appraising Officers and Reviewing Officers together are either too lenient or too strict resulting in large variations between Department and Divisions. All out efforts should be made by the concerned Heads to reduce if not totally eliminate such variation since the ratings are sacrosanct for promotions and rewards. In order to reduce such variation, the Personnel Department would make study of previous year’s ratings of various Appraisees in each Department/Division and make a statistical analysis for each Department/Division and give feed back to Departmental/Divisional heads in March every year. In case of Senior Executives, Corporate Personnel may make such analysis Region wise/Division wise Statistics and give feedback to the concerned heads in the month of March every year. This will enable Officers concerned to take necessary steps when they finalize the current year’s KPA’s measures and ratings. All out efforts should be made by all concerned to see that ratings are normalized to see that there is no large variations between Department to Department, Division to Division and Unit to Unit. However, it is not uncommon though in rare situation certain departments have predominantly high performers or very low performers. One should not lost

sight of such exception in trying to statistically normalize and deny due ratings to genuinely performing or non-performing Officers.

The Committee is of the view that above proposal will suffice the need and requirement of the PMS in the Corporation which has been proposed on the basis of the PMS prevailing in the BEL. The committee further feels that once the PMS is introduced and adopted in the Corporation, we may have to introduce PRP scheme as per DPE guidelines. Further, with the adoption of PMS and the modern performance appraisal formats, the present system of appraisal of performance in the form of ACR will have to be dispensed with. As such we may have to evolve a modern progressive promotion policy for the employees of the Corporation. For this purpose, the committee has gone through the scheme related to PRP and promotion policy of BEL and after deliberations, the committee also suggests the adoption of PRP scheme and promotion policy for the Corporation and separate report is attached. Since, with the adoption of PMS, the performance would be adjudged on financial year wise since linked with payment of PRP, it shall be prudent to have performance appraisal written financial year wise for all category of employees.

Encl: as above.

PERFORMANCE RELATED PAY
(PRP)

RECOMMENDATION FOR ADOPTION OF PERFORMANCE RELATED PAY (PRP) SCHEME FOR BOARD LEVEL AND BELOW BOARD LEVEL EXECUTIVES IN THE CENTRAL WAREHOUSING CORPORATION.

1.0 Introduction:

1.1 The PRP is directly linked to the profit of the CPSE and to that of the performance of the Executives in a CPSE. The scheme calls for payment at a different rate which increases progressively from junior level to a senior level Executive. The PRP will be based on the financial performance of the Corporation and will come out of the profits earned by the Corporation.

2.0 Coverage:

2.1 The scheme will cover Board level & below Board level Executives/non-unionised Supervisors who are on the regular rolls of the corporation and are not covered under the purview of the Payment of Bonus Act. Trainees and Executives on contractual appointment will not be entitled for PRP.

3.0 Scheme:

3.1 The PRP Scheme will replace the existing PLI Scheme meant for group 'A' & 'B' Officers of the Corporation.

3.2 The PRP under this scheme will be paid annually. The computation will be done on the basis of audited figures of the financial year and the applicable incentive amount will be paid during the following financial year.

3.3 The Scheme will be implemented from the year 2007-08 onwards in terms of DPE guidelines.

4.0 Methodology:

4.1 For the year 2007-2008, being the first year of implementation, there will be no incremental profit. The total amount of PRP eligible for distribution for any year is the aggregate of the following:

1. 60% for PRP will be given with a ceiling of 3% of PBT
2. 40% of the PRP will come from 10% of incremental profit.

However, the above amount will be limited to 5% of the year's PBT.

4.2 Incremental profit is the increase in the profit as compared to the profit of the previous year. The component of the incremental profit will be zero if the Corporation does not have any incremental profit over the previous year. For the year 2007-2008, being the first year of implementation, the component of incremental profit will be considered as 'Zero' irrespective of profit available.

5.0 FACTORS CONSIDERED:

5.1 The following factors will be considered while calculating the PRP.

- i) Basic pay
- ii) Grade incentive
- iii) Funds availability (Distributable Amount)
- iv) Performance of Corporation as per MoU with MOCAF&PD
- v) Individual Performance Rating.

PRP payable will be as product of
Basic Pay (B)

x

Grade Incentive (G)

x

Fund Availability Factor (FAF)

x

Corporation MoU Rating (C)

x

Individual Performance Rating (P)

PRP= B x G x FAF x C x P

5.1.1 Grade incentive:

5.1.1.1 The Grade incentive payable to various grades of Executive will be as follows:

Grade	% of Basic Pay
E 0 - E 3	40
E 4 - E 5	50
E 6 - E 7	60
Directors	150
MD	200

5.1.2 FUND AVAILABILITY FACTOR (FAF):

5.1.2.1 It is the ratio of Total Fund/Profit Available for distribution to the Amount required for payment of PRP.

$$\text{FAF} = \frac{\text{Total Fund available Distributable Profit of Corporation defined in Para 4.1 above}}{\text{Total Amount Required for PRP considering Bell Curve Distribution in Para 5.1}}$$

5.1.3 CORPORATION MOU:

5.1.3.1 The Factors will be applied as under:-

Rating	Factor
Excellent	1.0
Very Good	0.8
Good	0.6
Fair	0.4
Poor	0.0

5.1.4 INDIVIDUAL PERFORMANCE RATING:

5.1.4.1 The performance rating factor of the individual is linked to the Performance Management System. In case of Board level Executives, the MoU rating of the Corporation will be taken into consideration.

5.1.4.2 Following distribution is proposed to be followed in respect of individual performance rating:

Rating	Factor	% Executives
A+	1.0	15%
A	0.95	20%
B+	0.9	25%
B	0.8	20%
C	0.6	10%
D	0.4	10%

5.1.4.3 For Board Level Executives, this factor would be 1.0 for MoU rating of Very Good and above 0.9 for Good, 0.8 for Fair and Zero for Poor.

6.0 ATTENDANCE:

6.1 The PRP payable is for full attendance during the year. Days of LWP/AWL shall result in proportionate reduction in the PRP.

7.0 OTHER DETAILS:

7.1 Executives who may retire on superannuation/VR/die while in service will be eligible for payment of PRP under the scheme. Pro-rata payment of PRP will be made to the Executives who have put in service for part of the year subject to minimum service of six months.

7.2 In respect of Executives promoted during the course of the year, the PRP to such Executives will be proportionate to the service in each grade.

7.3 The payment of PRP to Executives suspended pending enquiry will be withheld till conclusion of Enquiry. The period of suspension will not be counted for the calculation of PRP unless the Executive is exonerated after conclusion of Disciplinary Proceedings.

7.4 Executives awarded major punishments during the financial year will not be entitled for PRP for that year.

7.5 Executives resigning from the service of the Corporation will not be entitled for payment of PRP under the provision of the PRP.

8.0 TRANSITIONAL ARRANGEMENTS:

8.1 The amount already paid under PLI Scheme for the year 2007-2008, 2008-2009, 2009-2010 and 2010-2011 will adjusted and only the balance will be paid for as PRP for the said years.

8.2 Executives who were on the regular rolls of the Corporation as on 01.04.2007 and since superannuated/expired will be eligible for the differential amount pro-rata.

9.0 EXCEPTION:

9.1 The management may reserve the right to add to, delete from, amend or modify any of the provisions of this scheme or altogether withdraw the scheme in its entirety, at any time, without any notice or assigning any reason whatsoever.

ENGINEERING CADRE

KPAs for Asst. Engineer/Executive Engineer/ (E-1, E-II) while posted at Construction Cells.

S.No.	KPAs
1.	Achievement of relevant MoU targets.
2.	Timely completion of Land Selection Committee report and submission of report
3.	Preparation of layout.
4.	Timely preparation/submission of the project estimate/detailed estimate.
5.	Calling finalization of tenders
6.	Completion of targeted construction
7.	Timely payments to vendors/contractors
8.	Timely repairs/maintenance of the property of the Corporation
9.	Obtaining timely approval of estimates.
10.	Reply of audit notes/preventive vigilance check reports etc.
11.	Defending court case/arbitration case related to construction.
12.	Responding to the report of IEMs for the contracts.

ENGINEERING CADRE

KPAs for Superintending Engineer (E-V) while posted at Construction Cells

S.No.	KPAs
1.	Achievement of relevant MoU targets.
2.	Taking up survey of the land offered for construction.
3.	Approval of layout.
4.	Timely preparation/submission of the project estimate/detailed estimate.
5.	Accord of technical sanction or the estimates for new work within his competence and timely inviting of tenders, evaluation and approval etc.
6.	Completion of targeted construction.
7.	Ensuring quality of construction.
8.	Monitoring various stage of construction.
9.	Timely payments to vendors/contractors
10.	Timely repair/maintenance of the property of the Corporation
11.	Obtaining timely approval of estimate.
12.	Reply of audit notes/preventive vigilance check reports etc.
13.	Defending court case/arbitration case related to construction.
14.	Responding to the report of IEMs for the contracts.

ENGINEERING CADRE

KPAs for Chief Engineer/Superintending Engineer (E-VI & E-V) while posted at Corporate Office

S.No.	KPAs
1.	Achieving relevant targets of MoU
2.	Obtaining approval of project estimates.
3.	Periodical inspection of construction works.
4.	Monitoring of progress of works and ensuring quality of construction works.
5.	Compilation & responding to the CTE's Technical Audit Paras/preventive check for examination of works by Vigilance Division received from CC Heads.
6.	Monitoring Arbitration/Corut cases.
7.	Disposal of RTI cases
8.	To assist Management in Policy making and giving directions to field units on various matters.
9.	Making efforts for bringing in deposit works from other organization.
10.	Recording of completion certificate of new works.
11.	Ensuring submission of timely reports to Ministry.
12.	Submission of replies to Audits for their report.

ENGINEERING CADRE

KPAs for Asstt. Engineer/Executive Engineer (E-1, E-II) while posted at Corporate Office

S.No.	KPAs
1.	Achievement of relevant MoU targets.
2.	Preparation of project wise costing budgets
3.	Processing and checking of project estimates received form CC heads
4.	Checking of estimates for technical sanction for new works/repairs estimates and their approval thereon
5.	Processing of tenders received from field formations.
6.	Processing of Arbitration awards published by Arbitrator.
7.	Monitoring various stages of construction.
8.	Proper upkeep of the related records.
9.	Responding to the report of Internal Audit/Audit/Vigilance
10.	Assisting in timely processing of VIP references/Ministry references and parliamentary question etc.

GENERAL CADRE

KPAAs for the post of Regional Manager

1.	Achievement of relevant MoU targets i.e. a. Income, b. Capacity utilization, c. PCS income, d. Realization of outstanding storage charges, e. Storage losses, f. Farmers training
2.	Physical/financial performance of the region.
3.	Realization of monthly bills on depositors & liquidation of outstanding dues.
4.	Ensure retention of existing customers and additions of new ones.
5.	Achieving targeted capacity utilization.
6.	Proper utilization of manpower & maintenance of good IR.
7.	Timely promotion to the officials being appointing authority for the category of officials.
8.	Additions of the capacity at potential places.
9.	Minimizing expenditure on various heads.
10.	Timely supply of equipment/chemicals to the warehouses etc.
11.	Planning and ensuring timely inspection of warehouses as per norms.
12.	To have proper distribution of work at various Cells in ROs
13.	To identify repair/maintenance of the assets within the stipulated limit and timely submission of proposals (By 31 st October every year).
14.	Undertaking regular visits and inspection of various warehouses as per norms.
15.	Effective follow-up of Court cases/arbitration.
16.	Use of official language
17.	Any other issue in relation to MoU.

GENERAL CADRE

KPA's for the Group 'A' & 'B' Officers at the Warehouses including Warehouse Manager

1.	Achievement of relevant MoU targets.
2.	Ensure good housekeeping of Warehouse.
3.	Maintain targeted occupancy
4.	Upkeep of stocks as per norms & restriction of storage loss within norms
5.	Financial performance (Income) of WH.
6.	Business development (New Business)
7.	Realization of outstanding dues
8.	Ensuring maintenance of records at WH.
9.	Timely submission of reports/returns.
10.	Proper accounting of stocks & ensuring timely deposit/delivery of stocks
11.	Hiring of additional capacity
12.	Addition of new customers/retention of existing customers.
13.	Work as assigned by RM/Superior Authority from time to time.
14.	Timely disposal of complaints/grievances (internal/external customer)
15.	Use of Official language.

GENERAL CADRE

KPA's for the post of Supdt./SIO (E-1) posted at RO/CO

1.	Achievement of relevant MoU targets.
2.	Processing of appointment of vendors/HTC & service providers
3.	Timely submission of replies to various references received from field/RO
4.	Timely processing of papers/enquiry reports/investigation & other reports
5.	Timely processing of matters related to payment etc to various vendors
6.	Timely processing of CRs/conducting DPCs/maintenance of service book/processing transfer/posting matters/leave/LTC etc
7.	Timely processing of VIP reference/Ministry reference and Parliamentary questions etc
8.	Timely processing of proposals for business/capacity expansion etc
9.	Timely submission of returns to Ministry/CO & other organizations.
10.	Use of official language
11.	Proper upkeep of related records/files
12.	Any other work assigned by superiors in RO/CO

GENERAL CADRE

KPAs for the post of Manager/SAM (E-II) posted at RO/CO

1.	Achievement of relevant MoU targets.
2.	To supervise the work of the officials working under them.
3.	To allocate/distribute work properly to their subordinates working with them
4.	To ensure timely disposal of work by their subordinates
5.	Timely reply to the proposals of WHs/ROs for effective administration
6.	To organize/attend various Committee meetings for smooth working of the system
7.	Fixing target for their junior officers for processing/disposal of various time bound proposals
8.	Being sectional heads ensure that the section under them works properly
9.	Conducting inspections/investigations/survey for new centers etc as assigned from time to time
10.	To attend/meet the depositors at RO level to procure more business and maintaining good relations with the departments
11.	Ensuring H & T contractors are in place in time at the WHs
12.	To encourage use of official language

GENERAL CADRE

KPAs for the post of AGM/DGM (E-III & E-V) posted at CO

1.	Achievement of relevant MoU targets.
2.	To analyze issues for top management to take decisions
3.	Timely finalization of tenders/contracts/business proposals
4.	Timely decision as per DOP prescribed
5.	Timely completion of investigation/inquiries/business survey as per procedure
6.	Exercising powers of appointing authority/DA as per Staff regulations.

FINANCE CADRE

KPAs for the post of Acctt./AM(A/cs)/SAM(A/cs)/Manager(A/cs) (E-I & E-II)
posted at RO/CO

1.	Achievement of relevant MoU targets.
2.	Monitoring and timely raising of storage charge bills/MF etc. on depositors
3.	Monitoring funds and its timely remittance to Corporate Office.
4.	Realization of outstanding dues of Corporation.
5.	Processing of bills of vendors/service providers & arranging timely payments
6.	Processing of personal claims of staff & arranging payments including salary.
7.	Preparation of budget and its monitoring.
8.	Timely finalization of Accounts.
9.	Ensuring insurance of stocks and property of the Corporation
10.	Timely financial concurrence of various proposals.
11.	Coordination with auditors and reply to audit paras
12.	Ensuring compliance of statutory financial requirements.

FINANCE CADRE

KPAs for the post of Acctt./AM(A/cs)/SAM(A/cs)/Manager(A/cs) (E-I & E-II)
posted at CC

1.	Achievement of relevant MoU targets.
2.	Processing of bills of vendors/service providers & arranging timely payments
3.	Processing of personal claims of staff & arranging payments including salary.
4.	Preparation of budget and its monitoring.
5.	Timely finalization of Accounts.
6.	Timely financial concurrence of various proposals.
7.	Coordination with auditors and reply to audit paras
8.	Ensuring compliance of statutory financial requirements.

FINANCE CADRE

KPAs for the post of AGM /DGM (E-III & E-V) posted at RO/CO

1.	Achievement of relevant MoU targets.
2.	Finalization of budget and its monitoring/annual accounts
3.	Monitoring and timely raising of storage charge bills/MF etc. on depositors.
4.	Realization of outstanding dues.
5.	Timely concurrence to various proposals from other divisions
6.	Vetting of tenders
7.	Monitoring of timely payment of bills of vendors and internal customers
8.	Timely reply to audit paras
9.	Timely completion of Accounts
10.	Ensuring compliance of statutory financial requirements.

TECHNICAL CADRE

KPAs for the post of SAM (T)/Manager(T)/AGM (T)/DGM (T)

(E-II, E-III & E-V) posted at RO

1.	Achievement of relevant MoU targets.
2.	To plan and carry out technical inspections
3.	To ensure timely treatment of the stocks at the WHs
4.	To ensure proper and timely supply of chemicals/dunnage & other equipment to the WHs
5.	Ensure storage losses within the norms and monitoring of the same
6.	Pursue with the depositors to write off the cases of storage losses etc
7.	To ensure timely disposal of damaged stocks at the WHs
8.	Undertaking PCS activities and achieving targets
9.	To ensure proper weighing/grading at WHs
10.	Implementation of FESS

TECHNICAL CADRE

KPAs for the post of SAM (T)/Manager(T)/AGM (T)/DGM (T)

(E-II, E-III & E-V) posted at CO

1.	Achievement of relevant MoU targets.
2.	To monitor technical inspections
3.	To ensure proper and timely supply of chemicals/dunnage & other equipment to the WHs
4.	To ensure storage losses within the norms and monitoring of the same
5.	Pursue with the depositors to write off the cases of storage losses etc
6.	To ensure timely disposal of damaged/sub-standard stocks at the WHs
7.	Fixing targets for PCS activities and monitoring targets
8.	Devising code of practices of storage for various commodities
9.	To analyze the trend of storage at various WHs and making policy guidelines for preservation and storage etc
10.	To arrange research for various type of chemicals/dunnage etc
11.	To encourage use of official language

GENERAL CADRE

KPAs for the post of Secretary (E-VI)

1.	Achievement of relevant MoU targets.
2.	To organize and arrange Board/EC meeting from time to time as per provision of the Act and prepare minutes of meetings
3.	To attend to the work related to the amendment in the Warehousing Corporation Act, 1962 and the rules.
4.	To coordinate with various State Warehousing Corporations
5.	To attend to the work related to nomination of directors and appointment of Chairman/MD of State Warehousing Corporation
6.	To attend the work related with accounts of the State Warehousing Corporations
7.	To attend the work of Annual Report and organization & conduction of Annual General Meeting of the Corporation.
8.	Reply of parliamentary questions on time
9.	Coordination with various divisions for agenda etc. for BOD /EC/RC/ Audit Committee/other sub-committee of BOD meetings.
10.	To get the material from other divisions for Annual Report
11.	To attend to the matters related to the non-official directors on the BOD
12.	Use of official language
13.	Any other work

**KPAs for the post of General Manager (Gen) (E-VII) while working as HOD
in Corporate Office**

1.	Achievement of relevant MoU targets.
2.	Being HOD to exercise the DOP of HOD and working as Appointing Authority and Disciplinary Authority
3.	To assist Management in policy making and giving directions to the field units/ROs on various matters
4.	Help Corporation in diversification of business and increase in capacity and proper planning of manpower
5.	Monitoring timely appointment of service providers/H&T contractor and making other agreements etc. on behalf of the Corporation
6.	To defend the Corporation in various legal matters through suitable advocate/counsels etc.
7.	To arrange promotion, recruitment as per policy of the organization while working in Personnel Division
8.	To arrange procurement of various articles/services from the vendors
9.	To review and give appropriate guidance to field units/ROs with reference to the business of the Corporation.
10.	To attend the work related to various parliamentary committee etc.
11.	To ensure proper industrial relations with the employees of the Corporation
12.	To address the grievances of the employees/customers in time.
13.	To liaise with the Ministry and other statutory organizations on various matter as per requirement.
14.	Use of official language
15.	Timely purchase of chemicals as per indents given from time to time
16.	Monitoring and ensuring timely supply of indented items.
17.	Monitoring finalization of AMC for various items.
18.	Monitoring and ensuring inspection of warehouses.
19.	Examination and analysis of inspection reports.
20.	Any other work

KPAs for the post of General Manager (Tech) (E-VII)

1.	Achievement of relevant MoU targets.
2.	Fixing and monitoring of PCS targets.
3.	Monitoring of Technical inspection
4.	Monitoring and settlement of storage loss.
5.	Supply of chemicals
6.	Supply of dunnage
7.	Farmers Extension Services scheme (FESS)
8.	Code of storage practices
9.	Write off of storage losses
10.	To advise/arrange disposal of substandard/damaged stocks after proper adherence to guidelines etc.

KPAs for the post of General Manager (Finance) (E-VII)

1.	Achievement of relevant MoU targets.
2.	To exercise the DOP of HOD
3.	Finalization of budget/annual accounts.
4.	To ensure realization of outstanding dues of the corporation.
5.	Timely concurrence of finance for various prospects etc.
6.	Vetting of tenders/MOU in time relating to business of the corporation.
7.	To supervise and plan the working of internal audit
8.	To get the accounts audited from statutory auditors as well as from Govt. auditors
9.	To look after/supervise working of various Trusts of the Corporation like Gratuity, CPF, Benevolent Fund etc.
10.	Ensuring compliance of statutory financial requirements/tax laws.

**KPAs for the Executives working in the Personnel Division of the
Corporate Office**

1.	Achievement of relevant MoU targets.
2.	Sanction of Leave, LTC, advances on time
3.	Monitoring/ensuring/processing of proposals relating to the transfer/posting.
4.	Pay fixation on appointments/promotions/wage revision.
5.	Maintenance of service records.
6.	Release of retiral dues on time.
7.	Disposal of personal claims on time.
8.	Redressal of public/individual grievances
9.	Monitoring/organizing structured meetings of the unions.
10.	Monitoring of court cases relating to IR, Establishment, Recruitment, Administration
11.	Preparation of annual training calendar
12.	Monitoring/organizing trainings as per annual training calendar
13.	Maintenance of central reservation roster
14.	Verification of caste certificates of newly recruited employees.
15.	Monitoring and ensuring maintenance of reservation roster at various Regional Offices.
16.	Liaison with National Commission for SC/ST/OBC
17.	Monitoring and organizing indoor treatment of various employees.
18.	Empanelment of hospitals/Pathological labs.
19.	Timely payment of various utility bills.
20.	Departmental promotions
21.	Recruitment and appointments.
22.	Amendment of Staff Regulations as and when required.
23.	Framing of policies.
24.	Maintenance of statistical data relating to staff
25.	Any other work

KPAs for the Executives working in RO/CO in Purchase Division

1.	Achievement of relevant MoU targets.
2.	Processing and planning of requirement of various store items to be supplied.
3.	Supply of items against indents
4.	Processing and supply of livery items to eligible class of employees.
5.	Processing and supply of computer and other items and AMC etc.
6.	Processing of matters related to LWB.
7.	Processing and supply of chemicals for the WHs.
8.	Processing and supply of various dunnage items.
9.	Processing and supply of office diaries etc.

KPAs for the Executives working in RO/CO in Inspection Division

1.	Achievement of relevant MoU targets.
2.	Planning of inspection calendar of the WHs for the year.
3.	Arranging timely inspection of the WHs
4.	Processing of inspection reports
5.	Follow up with various divisions for necessary action on the extracts of inspection reports.
6.	The Corporate Office will arrange inter region inspection in case of short fall.
7.	Monitoring of inspections being done by various regions.

KPAs for the Executives working in RO/CO in Vigilance Division

1.	Processing of the complaints received from various quarters.
2.	After the orders of Competent Authority, taking up investigations wherever required.
3.	Processing of investigation reports
4.	Preparation of charge sheets wherever required.
5.	After receipt of reply from the officials of the charge sheets, appointment of IO/PO in the case.
6.	After receipt of enquiry report, processing of the report.
7.	Conveying orders of the Competent Authority after completion of the disciplinary proceedings.
8.	Disposal of charge sheets.

KPAs for the Executives working in RO/CO in Publicity Division

1.	Achievement of relevant MoU targets.
2.	Arranging designing and printing of various reports of the Corporation.
3.	Arranging various advertisement, publications for the Corporation.
4.	Arranging publicity/exhibition for the Corporation.
5.	PR work with Media/Doordarshan etc.
6.	Publications of tenders in the newspapers.
7.	Sanction of payment to vendors in time.

CENTRAL WAREHOUSING CORPORATION
(A Government of India Undertaking)

PERFORMANCE APPRAISAL FORM

For the Period _____ to _____

Group B Non-Unionized Supervisors up to E1 (Acctt/SPA/Supdt./AM/SIO/AE & Equivalent)

1. NAME
2. DESIGNATION
3. DATE OF BIRTH
4. PLACE OF POSTING
5. DATE OF JOINING
6. QUALIFICATION
ON DATE OF JOINING
DURING SERVICE
7. REPORTING OFFICER
(NAME & DESIGNATION)

PROPERTY Returns due as on 1.1 _____ were filed by me on dt _____

SIGNATURE OF APPRAISEE: _____

(A) Performance Planning & Review

Goal Setting			Annual Review	
Key Performance Areas (KPA) (Please select from the attached list)	Measures / Indicators	Max. Marks	Score Appraiser	Score Reviewer
1.				
2.				
3.				
4.				
Total Score		100		
Average KPA Score				

Appraisee (Signature & Date)

Appraiser (Signature & Date)

Appraiser
(Signature & Date)

Mid Year Review by Appraiser

Remarks:

Appraiser
(Signature & Date)

Reviewer
(Signature & Date)

(B) Annual Review – Competencies

Competencies	Key Behavioural Indicators	Max Marks	Score	
			Appraiser	Reviewer
1. Engaging & Energizing Teams	Effectively manages the team towards common goal.	30		
	Being part of the team and working together to achieve team goals.			
2. Drive for Excellence	Demonstrates commitment to quality and schedules.	30		
	Focuses on continuous improvement.			
	Shows commitment to processes and uses resources with care.			
3. Passion for Achievement	Self motivated and completes assignments beyond set expectations.	40		
	Demonstrates commitment, sense of pride and attachment to the work.			
	Seeks more information constantly with a view to meet targets.			
Total Score		100		
Average Competency Score				

Overall Feedback on Annual Performance
Remarks by Appraiser (Reason for extreme scores – above 90% and below 60% need for job rotation etc.)

Remarks by Reviewer

Final Score

Description	Weightage	Actual Score	Weighted Score
Final KPA Score (Total KPA Score X Weightage for KPAs)	0.8		
Final Competency Score (Total Competency Score X Weightage for Competencies)	0.2		
Final Score (Summation of Weighted Scores)			

Appraiser (Signature & Date)

Reviewer (Signature & Date)

(C) General Evaluation

Description	Appraiser
Integrity	Doubtful* / Not Doubtful
Commendable Work done in Hindi (Please provide remarks)	

*If Doubtful, a secret note to be attached. HR to inform Vigilance/Concerned Director, who will take further action.

Appraiser
(Signature & Date)

Reviewer
(Signature & Date)

Observations, if any, by Accepting Authority

Accepting Authority
(Signature & Date)

OVERALL GUIDELINES

- ❖ The Performance Management Process includes the following stages – Goal Setting, Mid Year Review and Annual Review.

- ❖ **Goal Setting**
 - In the beginning of the Performance Appraisal Cycle (i.e. April/May), the Appraisee in discussion with the Appraiser is required to fill the 'Goal Setting' Section.
 - The number of Key Performance Areas (KPA's) will be 4. All KPA's should be measureable and realistic in nature.
 - KPA's should be prioritized in order of importance by assigning higher marks to more important KPA's. The total marks for all KPA's should equal 100.

- ❖ **Mid Year Review**
 - In October, as part of the Mid Year Review, the Appraiser is required to conduct a performance review and record his remarks.

- ❖ **Annual Review**
 - At the end of the Performance Appraisal Cycle (i.e. April), the Appraiser and Reviewer are required to provide actual scores on the appraisee's annual performance and competencies.
 - The Appraiser and the Reviewer have a weightage of 1:1 for the Annual Review.
 - **Overall Feedback:** Overall feedback on Annual Performance to be recorded by Appraiser and Reviewer.
 - Final score will be arrived at based on the weightage of 80:20 for KPA's and Competencies respectively.

CENTRAL WAREHOUSING CORPORATION
(A Government of India Undertaking)
PERFORMANCE APPRAISAL FORM

For the Period _____ to _____

E II to E V (SAM/Manager/EE/AGM/DGM/SE & Equivalent)

1. NAME
2. DESIGNATION
3. DATE OF BIRTH
4. PLACE OF POSTING
5. DATE OF JOINING
6. QUALIFICATION
ON DATE OF JOINING
DURING SERVICE
7. REPORTING OFFICER
(NAME & DESIGNATION)
8. REVIEWING OFFICER:
(NAME & DESIGNATION)

PROPERTY Returns due as on 1.1 _____ were filed by me on dt _____

SIGNATURE OF APPRAISEE: _____

(A) Performance Planning & Review

Goal Setting			Annual Review		
Key Performance Areas (KPA's) (Please select from the attached list)	Measures / Indicators	Max. Marks	Actual Achievement by Appraisee	Score Appraiser	Score Reviewer
1					
2					
3					
4					
5					
6					
Total Score		100			
Average KPA Score					

Appraisee (Signature & Date)

Appraiser (Signature & Date)

Appraisee(Signature & Date)

Mid Year Review by Appraiser

Remarks:

Appraiser
(Signature & Date)

Appraiser
(Signature & Date)

Reviewer
(Signature & Date)

(B) Annual Review – Competencies

Competencies	Max. Marks	Score	
		Appraiser	Reviewer
1. Seizing Opportunities	10		
2. Leveraging Partnerships	10		
3. Winning with Change (People, Technology & Processes)	10		
4. Drive for Excellence	15		
5. Passion for Achievement	15		
6. Customer Centricity / Focus	10		
7. Effective Influencing	10		
8. Engaging and Energizing Teams	10		
9. Active Learning	10		
Total Score	100		
Average Competency score			

Overall Feedback on Annual Performance and Inputs for Career Growth
Remarks by Appraiser (Reason for extreme scores – above 90% and below 60% suitability for higher positions, need for job rotation / re-location, development of specific competencies etc).
Remarks by Reviewer

Final Score

Description	Weightage	Actual Score	Weighted Score
Final KPA Score (Total KPA Score X Weightage for KPAs)	0.7		
Final competency Score (Total Competency Score X Weightage for Competencies)	0.3		
Final Score (Summation of Weighted Scores)			

Appraiser (Signature & Date)

Reviewer (signature & Date)

(C) General Evaluation

Description	Appraiser
Integrity	Doubtful* / Not Doubtful
Commendable Work (Please provide remarks)	

*If Doubtful, a secret note to be attached. HR to inform Vigilance / Concerned Director, who will take further action.

DEVELOPMENT PLAN/TRAINING NEEDS

(To be filled at the Goal Setting Stage)

Development Plan/Training Needs (To be filled by Appraisee)	Remarks by Appraiser
1.	
2.	
3.	
4.	

Appraisee
(Signature & Date)

Appraiser
(Signature & Date)

(D) Observations, if any, by Accepting Authority

Accepting Authority
(Signature & Date)

Note: The training calendar of Unit / CO may be referred for identifying training programmes.

OVERALL GUIDELINES

- ❖ The Performance Appraisal Form includes the following stages: Goal Setting and Mid Year Review, annual Appraisal (Self Appraisal and Annual Review). Development Planning and Inputs for Career Growth.

- ❖ **Goal Setting**
 - In the beginning of the Performance appraisal Cycle (i.e., April/May). the appraisee in discussion with Appraiser is required to fill the 'Goal Setting' Section.
 - The number of key performance areas (KPA's) will be 6. All KPA's should be measurable and realistic in nature.
 - KPA's should be prioritized in order to importance by assigning higher marks to more important KPA's. The total marks for all KPA's should equal 100.
 - During the Goal Setting Stage, the Appraisee is also required to fill his Development Plan/Training Needs for the year.

- ❖ **Mid Year Review**
 - In October, as part of the Mid Year Review, the Appraiser is required to conduct a performance review and record his remarks.

- ❖ **Annual Appraisal**
 - At the end of the Performance appraisal cycle (i.e., April) the Appraisee is required to indicate the extent of achievement of KPA's set for the year.
 - The Appraiser and Reviewer are required to provide actual scores on the Appraisee's annual performance and competencies.
 - The Appraiser and the Reviewer have a weightage of 1:1 for the Annual review.
 - **Overall Feedback:** Overall feedback on Annual Performance and Inputs for career growth to be recorded by Appraiser and Reviewer.
 - Final score will be arrived at based on the weightage of 70:30 for KPA's and Competencies respectively.

APPENDIX
DEFINITION OF BEHAVIOURAL COMPETENCIES

Competency	Definition
Seizing Opportunities	This competency highlights the ability to Translate CWC's vision by being proactive in spotting opportunities through a clear understanding of the external environment, industry and organizational capabilities. It is about having the required business and commercial acumen and being able to assess long term implications of what is being done today. It also involves articulating strategies that need to be adopted/designed to achieve long term goals and then operationalizing them in the market place to advance business results.
Leveraging Partnerships	This competency focuses on identifying opportunities for critical partnerships and areas of joint collaboration (which may be in the form of JVs, co-design, co-production, acquisitions, sub contracting, outsourcing etc) to drive growth for CWC and its partners. It involves displaying maturity in dealing with critical partners, cross-sharing capabilities and managing conflicts effectively.
Winning with Change	This competency highlights the ability and commitment to question the status quo, conceptualize or create a business case for change, using different approaches to meet diverse organizational requirements. This competency also includes aspects of adapting and upgrading of newer technologies by thinking differently and adopting new workable methods of doing things. Hence change here is defined in terms of People, Process and/ or Technology change.
Drive for Excellence	This competency highlights the focus for excelling in one's own area of work and the drive for delivering results and on over-achieving the outcome. This competency stresses on the point that achieving high standards of quality within optimal cost and time is the basis for delivering superior performance. This competency aims at constantly raising the bar. On performance and focusing on improved processes, systems and procedures that help seamless delivery. It also looks at the ability to translate goals into workable action plans by planning effectively and using resources optimally
Passion for Achievement	This competency highlights the ability of an individual to inspire self and others in order to achieve beyond set expectations. It calls for an organizational commitment and deep sense of pride and attachment to the purpose of the business. It is the ability to analyze situations, think through problems, determine and prioritize action steps while keeping the long term strategic focus of the organization. It includes the need to take practical risks in order to enhance speed of decision making for the benefit of the organization.

Customer Centricity / Focus	This competency highlights the ability to orient and drive self and others to deliver as per customer needs. It implies an underlying desire and understanding of the importance of providing excellent service to delight the customer. It includes the ability to build and maintain customer relationships as well as work on customer feedback, in order to retain the customer. It also includes the ability to proactively identify and satisfy implicit and explicit needs to customers. The customer may be an external or internal customer.
Effective Influencing	This competency focuses on the ability of individuals to have a positive effect on others. It is the ability to persuade, convince, influence or facilitate others in order to get their support in achieving work related goals. It includes building and maintaining relationships/ network of contacts with people to achieve desired results. Presence of this competency at a lower level enables individuals to successfully achieve personal objectives that would contribute to organizational success. At higher levels, this competency enables the role holder to impact decisions in the organization as well as the trends in the industry.
Engaging and Emerging Teams	This competency has facets of Team Leadership as well as Team Membership. Team Leadership is about effectively managing teams towards common goal, sometimes with conflicting individual priorities. It focuses on being intensely involved with the team, managing conflicts and inspiring them to perform. It involves building trust. It may or may not include a formal level of authority. Team membership is about being a part of the team and working together as opposed to working alone or in competition. It involves being committed to achieving team goals by developing a deep sense of trust and relationship amongst team mates.
Active Learning	This competency focuses on the desire and pursuit of an individual towards continuous learning for self as well as for others. It is the drive to build knowledge in areas beyond one's current responsibilities. It focuses on the genuine intent to foster development of others for the benefit of the individual and the organization. It is also the ability to leverage an individual's skills and abilities to the maximum and to create further opportunities for growth. It includes the ability to understand the impact of knowledge on business and promote knowledge management from external and internal sources.

CENTRAL WAREHOUSING CORPORATION
(A Government of India Undertaking)

**PERFORMANCE
APPRAISAL**

(FOR BELOW BOARD LEVEL EXECUTIVES)
E VI & above (Secretary/CE/GM & Equivalent)
FOR THE YEAR

NAME:

DESG:

PLACE OF POSTING:

PART I : PERFORMANCE

A: PERFORMANCE PLAN AND MID YEAR REVIEW

Key Performance Areas together with measures / indicators and max. marks to be jointly agreed upon between the Appraiser and Appraisee at the beginning of the review period and then filled in the format given below – (Copy can be taken by Appraisee).

PERFORMANCE PLAN		MID YEAR REVIEW		
Key Performance Areas (KPAs) (Please select from the attached list)	Measures / Indicators	Maximum Marks Total (100)	Actual Achievement (given by Appraisee)+	* Review (by Appraiser)
1.				
2.				
3.				
Total				

Signature of the Appraisee

**Appraiser's Name}
and Designation}**

+ Reasons for variance, if any to be given by the Appraisee

*During mid year review if the appraiser & appraisee mutually agree to amend KPAs, measures and marks, the same may be recorded (Copy can be taken by Appraisee)

Signature of the Appraiser

B: YEAR END PERFORMANCE REVIEW

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

Key Performance Areas (Please select from the attached list)	Measures / Indicators	Max. Marks 100	YEAR-END REVIEW			
			Actual Achievement (given by Appraisee)*	Review (by Appraiser)	Marks Awarded	
1.					Appraiser	Rev. Officer
2.						
	Total					
				Average Total Marks		

Total Performance Marks for the year = $\frac{\text{Av. Total Marks Obtained} \times 50}{\text{Total Maximum Marks (100)}} =$

Prorated to total marks of (50)

Signature of the Appraisee

Signature of the Appraiser

Signature of the Reviewing Officer

*Reasons for variance, if any to be given by the Appraisee

*Appraiser may record whether he agrees or disagrees with the reasons if any given by Appraisee for variance.

C : DEVELOPMENT NEED ASESSMENT

BY APPRAISEE:

Name :

Degn.:

Place of Posting:

Appraisee

COMMENTS OF APPRAISER / REV. OFFICER

(Copy of this may be sent to corporate HRD)

Appraiser
Reviewing Officer

D: Performance Review Sheet

COMMENTS ON PERFORMANCE AND REVIEW DISCUSSIONS IF ANY, BY APPRAISER

Signature of the Appraiser

PART II COMPETENCIES

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

SI. NO.	COMPETENCIES	Ratings 1-2-3-4-5	
		Appraiser	Rev. Officer
1.	Business Environment Knowledge – Knowledge and understanding of economic, legal, socio-political trends.		
2.	Profession specific Knowledge – Knowledge related, to profession as a whole, knowledge which is determined by authority and responsibility of other positions; knowledge of mission, values and standard operating procedures, policies.		
3.	Making Business Decision – Use business related data to support effective and timely business decisions by *Systemically gathering relevant business information *Identifying the strengths and weaknesses of a particular business like *Recognizing opportunities or threats and acting on them rapidly *Using business facts collected in daily decision making.		
4.	Vision – Develop a vision for the future of the organisation by: *Grasping the meaning of trends and interrelationships between the organisation and its environment at the local, national and international level *Identifying fundamental values and beliefs to guide the organisation into the future.		
5.	Systematic Thinking – Identifying connections between situations that are not obviously related *Using common sense. past experience and basic rules to identify key underlying issues *Generating and testing bunches which may explain complex situations or problems.		
6.	Networking – To cultivate an informal network which may help to get things done through *Developing contacts with people outside of the immediate work unit *Using networks as a		

	source of information and support.		
7.	Organising Resources – Ensure that all financial personnel and / or other resources are in place to meet needs by *Identifying and acquiring the resources *Allocating and utilising the resources in a timely and cost effective way *Monitoring and controlling all resources required to maintain the efficiency of operations.		
8.	Inspire people – to generate a sense of purpose for the work done by the organisation through instilling enthusiasm, loyalty and commitment among team members at all levels of the organisations *Inspiring, motivating and guiding other towards organisational goals and objectives *Setting an example for others by behaving in ways that are consistent with espoused beliefs and values and the organisation’s vision and direction.		
9.	Team Player – To contribute to group objectives in a team environment through *Cooperating and interacting well with others *contributing actively and fully to team projects *Working collaboratively as opposed to competitively with others *Acknowledging diverse opinions, addressing relevant and working towards consensual solutions that enhance the output of the team.		
Total			
Average Total Ratings			

Rating on Competencies = $\frac{\text{Av. Total}}{45}$ ratings x 20 =

(Prorated to 20 marks)

Signature of the Appraiser

Signature of the Reviewing Officer

PART III VALUES

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

SI. NO.	VALUES	Ratings 1-2-3-4-5	
		Appraiser	Rev. Officer
1.	Fairness – Decisions are made objectively, free from patronage and reflect the just treatment of employees and applicants.		
2.	Transparency – There is open communication about every aspect of managerial decisions which concern people.		
3.	Trust – Trustworthiness leading to confidence *Allow staff the freedom to grow-and –develop *relate to others on the basis of mutual respect *Courage to stand by our convictions.		
4.	Candour – Frank and forthright *Give and receive constructive criticism/suggestions *Openly discuss performance deficiencies and take corrective action *Appreciate good performance *Be consistent in words and deeds *Face upto your mistakes.		
5.	Collaboration – working in tandem *Be open in sharing information and seeking suggestions/opinions *Be sensitive to concerns of others *Honour your commitment *encourage team work across departments/function.		
6.	Involvement – total commitment *Be 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 judgement. *Be open to accepting new ideas *Be willing to learn from anyone and to do things differently *Be prepared to operate and adapt to different environments.		
8.	Willingness to accept challenge – Be willing to experiment *Allow for freedom to fail, but learn from it too		

9.	Discipline – Adherence to accepted norms *Honour the promises and adhere to agreed system *Respect for others time and space *Exercise self control.		
10.	Ethical Behaviour – Demonstrate honesty and sincerity in every action *apply sound business and professional ethics *show consistency with principles, values and behaviours.		
Total			
Average Total Ratings			

Rating on Values = $\frac{\text{Av. Total ratings}}{50} \times \square 15 =$
 (Prorated to 15 marks)

Signature of the Appraiser

Signature of the Reviewing Officer

PART IV – POTENTIAL APPRAISAL

(This section consists of Attributes which are to be demonstrated in day to day activities. Attributes would represent the leadership and managerial qualities required to go to higher position)

S. N	Generic Attributes	Ratings (1-2-3-4-5)	
		Appraiser	Rev. Officer
1.	Leadership Abilities – Demonstrates ability * For guiding collective decision making * For succession planning * Crisis Management and * Ability to take risks.		
2.	Team Building – Demonstrates effectiveness in re-organising his-her own department *Manage diverse and divergent views and group processes without losing sight of objectives.		
3.	Ability to build a Strategic Vision – Demonstrates ability to manage change *Focus on long term issues *Strategic thinking *Translate vision into goals.		
4.	Business Sense - *Commitment to bottomline results by enhancing revenue generation by addressing interest of customers and stakeholders *Balancing need for viable short and long term performance *Optimising unit/organisation's contribution while supporting Corporate objectives *Spotting and pursuing new business opportunities wherever possible.		
5.	Communication Skill – 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 organisation and performance at Board meetings.		
	Total		
	Average Total Rating		

Rating on Values = $\frac{\text{Av. Total ratings}}{25} \times 15 =$

(Prorated to 15 marks)

Signature of the Appraiser

Signature of the Reviewing Officer

Comments on Potential Suitability

The Appraiser/Reviewing Officer will indicate suitability of the Appraisee for higher Positions or horizontal movement in different functions/organisations and/or suitability for any specific or particular sector or further continuance.

Appraiser	Reviewing Officer
Signature of the Appraiser	Signature of the Reviewing Officer

PART V : PERFORMANCE & POTENTIAL PROFILE

Final Marks Scored (To be filled by Reviewing Officer)

		Max. Marks	Prorated Ratings
PART I	PERFORMANCE	50	
PART II	COMPETENCIES	20	
PART III	VALUES	15	
PART IV	POTENTIAL	15	
	TOTAL	100	

Name and Designation of Reviewing Officer

Signature & Date

Comments of Reviewing Officer / Functional Director / CVO

Signature & Date

Comments of Accepting Authority (MD)

Signature & Date

Space for Administrative Use

- Note: 1. The Appraiser shall be atleast one level above Appraisee.
2. The Reviewing Officer would be atleast one level above the Appraiser