

Annexure 11–Technical Requirement (Project Scope)

Bank is requesting a proposal for implementation of a comprehensive Performance Management System for all its officers.

The vendor is required to supply, configure, customize, implement, integrate and maintain the Performance Management System and provide the hardware sizing, including additional infrastructure/hardware required for integration, to support the proposed solution.

The vendor is also required to integrate SAP SuccessFactors PMS with core Human Resource Management Software (Oracle e-Business suite) and Data Warehouse (SAP BI/BO) including any changes for integration required to be carried out in applications HRMS, Finacle, AD, Data warehouse to import key data such as organization structure, roles etc., and data warehouse of the bank.

The solution/ application will be accessed by officers spread across multiple locations in India – this includes 5500+ branch network, and 100+ regional offices and back offices.

Broadly, the project focuses on the following:

1. Implementation, configuration and customization of SAP SuccessFactors (*detailed in Part I below*)
2. Integration of SAP SuccessFactors PMS with core Human Resource Management Software (Oracle e-Business suite) and Data Warehouse (SAP BI/BO) including any changes required for integration required to be carried out in applications HRMS, Finacle, AD, Data warehouse.
3. Development and implementation of bespoke PHP / web-based application to fulfil the following requirements. (*detailed in Part II below*)
 - a. Target setting process
 - b. Performance dashboard and analytics for Corporate Banking
 - c. Enhancement to existing retail banking web-based (PHP) tool**: modifications required to provide performance dashboards for deep-dive analysis at different levels (zone, region, branch) and enhance branch review rhythm
4. Integration with existing retail banking web-based (PHP) tool to create unified bank level view for top management
5. On-site support and maintenance of SAP SuccessFactors and PHP tool for 5 years

Note**: Bank has an existing web based application developed in PHP which supports functionalities such as assigning roles and key responsibility areas (KRAs) to individuals in the retail branch network, viewing performance dashboards and analytics based tool-tips for retail branches etc.

The entire project scope consists of two parts:

- **Part I:** Implementation and maintenance of SAP Successfactors product (performance

management module):

- **Part II:** Development, implementation and support of PHP based web applications:

1. Broad Scope of Work

Part I: Implementation and maintenance of SAP Success factors product (performance management module): The following modules need to be built using SuccessFactors Performance Management module. In some cases, the implementation partner can also explore building the components of these modules using out-of-box functionality or work-around solution where it is not possible to develop the functionality in SuccessFactors. A brief summary of modules required in the new PMS is provided below:

S. No.	Module name	Overview
1	Organization module	Used for looking at reporting structure by each employee, raising requests for modification in reporting structure and allocating Reporting authorities
2	Role clarity module – Role assignment	Every Reporting authority (branch head in case of branches) will allocate roles to his/her reportees through this module. No. of roles that can be allocated, role combinations, Key Result Areas (KRAs), weights of KRAs etc. are defined in this module
3	Role clarity module - Role modification	Every Reporting authority can modify allocated roles to his/her reportees, employees can request for role modification through this module
4	Target viewing	This module goes along with Role assignment, Role modification and performance dashboard modules. This module is used by employee to see his/her targets against each of the measurable or budgetary KRAs
5	Performance dashboard	This module forms the core of the new PMS. Every employee can view his/her performance on monthly basis with actuals against targets and comparison to historical performance for comparable period. Further, YTD scores and peer comparison is provided. Focus areas or areas of improvement is provided in the form of “digital nudges”. Further, all this process is system driven with no or minimal manual intervention
6	Performance history	This is an extension of performance dashboard where employee can see his/her historical performance in various roles and on various KRAs along with scores obtained. Employee will also be able to see Reporting authority comments, final rating received in previous years etc.
7	Employee recognition	All eligible employee can recognize any employee for the exceptional performance displayed by the employee. Every employee who is recognized will have his/her

		name/photo/badge displayed in the PMS landing page. This module works on gamification model, which pushes the employees to better their performance for recognition.
8	Mid-term review	Mid-term review involves employee completing self-appraisal and Reporting authority providing his comments on the performance (incl. areas of strength and development) of the employees.
9	End-term appraisal	End-term review involves employee completing self-appraisal, Reporting authority providing comments, scoring for non-measurable KRAs, conduct of cohort workshops, deciding the ratings and closing the roles.
10	HR admin	This module is an exclusive access to certain employees of HR for various activities revolving around the employee performance management including resolving employee queries/service requests, kick start appraisal process, follow-up for role allocation and closure etc.
11	Application admin	Application admin is a screen used for monitoring performance management system w.r.t downtime, logins, peak users, updating screens etc.
12	Help center	This module is used for raising service requests and also houses the FAQs sections along with meaning of the search terms, process involved, navigation help etc.

Interfacing with other systems

The new PMS is proposed to be highly automated with minimal manual intervention. Given this, the new PMS has to interface with other bank systems such as HRMS and data warehouse (SAP BI/BO):

Source	Data requirement
HRMS	Employee details such as employee ID, name, scale, location, designation, unit / department, etc.
Data warehouse	All performance related numbers w.r.t budgetary or measurable KRAs at individual level

Organization structure

Broadly, the bank has the following organization structure and hierarchy:

- Branch network: There are > 5000 branches of the bank located all across the country; this unit is led by a branch head.
- Regions: Almost all branches report to the regions. There are > 50 regions of the bank. A regional manager along with dy. regional manager heads this unit

- Zone: All regions and some specialized branches report to the zone. There are > 10 zones of the bank. A zonal manager along with dy. zonal manager heads this unit.

Abbreviations used:

Abbreviation	Meaning
Rep A	Refers to reporting authority or immediate manager (L+1) of the employee
Rev A	Refers to manager's manager (L+2)
ZM	Zonal manager
DZM	Dy. zonal manager
RM	Regional manager
DRM	Dy. regional manager
YTD	Year to date

A detailed requirement of each of the modules is provided in following pages.

ORGANIZATION MODULE

Introduction

Every employee should know his/her reporting authority, scale, designation, role and other aspects including details of reportees. This module will help employee in identifying the employee related information captured in performance management system. Organisation module also deals with change triggers required for making changes in employee related parameters.

Organization module also houses "Rep A allocator" which ensures that system auto-allocates Rep A to every employee.

Org modification process if initiated by employee

If the employee finds that there's any mistake in the following information, he should be able to click on the relevant parameters and request for a modification:

- a. Name
- b. Designation
- c. Scale
- d. Role (primary, secondary, tertiary)
- e. Organisation name
- f. Rep A
- g. Cohort id
- h. Email id
- i. Mobile no.

Once the employee clicks on the parameter, a pop-up should open up which shows employee's current information w.r.t Name, Designation, Scale, Organisation name, Rep A name, Rep A employee code. All these fields will be accompanied by a free text field which will get activated and auto-populated with the same data as existing data on employee clicking the request modification. Please note that Rep A name will remain frozen and will be auto-populated basis the new Rep A employee code provided by the Employee. Also, employee will not be able to make

changes w.r.t cohort id & Role (which will be separately dealt through Role clarity module – however, a link should be provided for directing the employee to Role clarity change request module).

On clicking submit, an automated mail will be generated for HR who will be notified about the change request. HR will initiate an “off-line” process for updating the “HRMS Details” basis the request from employee. However, in case of Rep A change request, HR has to carry out an online process for manually overriding the system allocated Rep A with the new Rep A.

On HR updating the “HRMS details” in the system or HR manually allocating the Rep A, the employee details should reflect the changes and a notification mail should be sent to the employee stating that his details are updated as per the notification received and discussion with HR. Employee should be able to log in post that mail (or either through a link in the notification mail) to verify the changes. Further, notification mails should also be sent to affected Rep A’s about the changed reporting structure

Org modification process if initiated by Rep A

Any change in Rep A’s personal information can be done through the process mentioned in “Org modification process if initiated by employee”.

Rep A should be able to see his reportees through the “My Reportees” section. Following details should be displayed when Rep A enters the “My Reportees” section:

1. Name of the reportee
2. Designation of the reportee
3. Scale of the reportee
4. Role of the reportee
5. Location of the reportee

Rep A can request a change in any of the following cases:

1. Details of reportee shown are wrong i.e. wrong location, wrong designation or any other error that the Rep A notices
2. Org module shows employees reporting to Rep A but there are no such employees reporting to Rep A in reality
3. There are employees reporting to Rep A but Org module shows no such employee reporting to Rep A

Incuse of “changing the reportee details” or “Org module showing employees reporting to Rep A but there are no such employees reporting to Rep A in reality”:

Rep A should be able to click on the concerned employee on which a pop up will open with employee’s current details i.e. name, designation, scale, location and employee id. All these fields will be accompanied by a free text field which will get activated and auto-populated with the same data as existing data on employee clicking the request modification. Please note that Employee name will remain frozen and will be auto-populated basis the new employee code provided by the Rep A. Please note that an option should be provided to Rep A for marking a given employee as not reporting to him. This option of marking employees not reporting to Rep A should be made available on bulk basis also i.e. on the Org module’s initial page itself Rep A can select employees who are not reporting to him and report them as employees not reporting to him.

On clicking submit, an automated mail will be generated for HR and the concerned employee who will be notified about the change request. HR will initiate an “off-line” process for updating the “employee generic” basis the request from Rep A. However, incase of change request with respect to Rep A, HR has to carry out an online process for manually overriding the system allocated Rep A with the new Rep A.

On upload of the new “employee generic” in the system or HR manually allocating the Rep A, the employee details should reflect the changes and a notification mail should be sent to the employee and affected Rep As stating that the details are updated as per the notification received and discussion with HR. Rep A and Employee should be able to log in post that mail (or either through a link in the notification mail) to verify the changes.

In case employees reporting to Rep A but Org module shows no such employee reporting to Rep A

In such case, Rep A should be provided a trigger button through which Rep A can notify HR about the changes required. On clicking the trigger button, Rep A will be provided with a pop up which should provide the Rep A to input multiple employee codes. On filling the employee codes, employee names should be auto populated in the pop-up.

On clicking submit, notification mails will be generated for HR about the reporting structure change request from the Rep A. HR has to carry out an online process for manually overriding the system allocated Rep A with the new Rep A.

On HR manually allocating the Rep A, the employee details should reflect the changes and a notification mail should be sent to the employee and the affected Rep As stating that the details are updated as per the notification received and discussion with HR. Rep A and Employee should be able to log in post that mail (or either through a link in the notification mail) to verify the changes.

Employee screens:

1. After the initial log in, employee should be able to see following details on the home screen:
 - a. Name
 - b. Designation
 - c. Role (primary. secondary & tertiary)
 - d. Organisation name
 - e. Scale
 - f. Cohort id
 - g. Email and mobile no.
 - h. Rep A
2. If the employee finds that there’s any mistake/blank in the information, he should be able to click on the relevant parameters and request for a modification as described in the “Org modification process if initiated by employee”.
3. Employee should be able to save the modification request at any point without submitting it.
4. On submitting the modification request, a pop up will be provided to the employee stating that change request has been received and a unique service request no. should be provided to the employee. Employee should be able to check the status of existing service

requests through help center. (details of service requests and related screens will be discussed in detail in Help center section).

5. If the employee requests for modification while a previous request is still pending, a pop-up should be provided to inform the employee that a previous request is still in process and if any changes have to be made, please contact the HR directly.
6. Employee should also be able to see history of changes in his/her details for past three years. Following information must be displayed when employee wishes to see the history.
 - a. Name
 - b. Scale
 - c. Designation
 - d. Role
 - e. Organisation
 - f. Email and mobile no.
 - g. Rep A
 - h. Cohort id

Rep A screens:

1. Any change in Rep A's personal information can be done through the process mentioned in "Org modification process if initiated by Employee" and screens should be similar to "Employee screens"
2. Rep A should be able to see his reportees through the "My Reportees" section. Following details should be displayed when Rep A enters the "My Reportees" section:
 - a. Name of the reportee
 - b. Designation of the reportee
 - c. Scale of the reportee
 - d. Location of the reportee
 - e. Email id and mobile no. of the reporteeOn clicking reportee name, Rep A will be able to see the similar details of the employees reporting to the reportee. This view will be in the form of a "slide-down"
3. Change request from the Rep A in any of the following ways:
 - a. Details of the reportee shown are wrong i.e. wrong location, wrong designation or any other error that the Rep A
 - b. Org module shows employs reporting to Rep A but there are no such employees reporting to Rep A in reality
 - c. There are employees reporting to Rep A but Org module shows no such employee reporting to Rep A
4. If the Rep A finds that any information needs to be modified, he should be able to click on the relevant parameters and request for a modification as described in the "Org modification process if initiated by Rep A"
5. Rep A should be able to save his modification request at any time and revisit later
7. On submission of any modification request, a pop up will be provided to the Rep A stating that change request has been received and a unique service request no. should be provided. Rep A should be able to check the status of existing service requests through help center. (details of service requests and related screens will be discussed in detail in Help center section)

6. If the Rep A requests for modification while a previous request is still pending for a given employee, a pop-up should be provided to inform that a previous request is still in process and if any changes have to be made, please contact the HR directly.

HR screens

1. This is an administrative page for “Org Module” change process. Adequate checks and controls should be in place so that work flows can be appropriately delegated within the HR team. Stakeholders within the HR team who will be working on the end term appraisal process are:
 - a. Central HR team
 - b. Zonal HR team
 - c. Regional HR teams
 2. After the initial log in, HR should be provided with a link which will direct HR to “Org module changes” page where HR will be able to see the following information:
 - a. List of zones with no. of service requests pending
 - b. Categorisation of each service request (by person who raised it and by nature of request)
 3. Central HR should be able to deep dive into zones, regions, branches & employees in any of the parameters if need be. However, Zone/Regional HR should be able to deep-dive only for their respective zones/regions and will not be able to see others’ service requests
 4. On clicking any of the service request, HR should be directed to different screen where HR will be able to see the following information:
 - a. Date of request
 - b. Requestor name, employee code, scale, designation and organisation name
 - c. Nature of request (name change, scale change, designation change, org. change, Rep A change, others)
 5. HR team should be able to mark any of the service requests as completed with adequate maker checker concept in place i.e. resolution of service requests is an off-line process, once the HR completes the off-line process of change updation in HRMS, HR should be able to select relevant service request and mark it as complete. However, on marking and submitting it as complete, the same will flow to a “checker” who will confirm that the HRMS is indeed updated. On such submission, a notification mail will be sent to the respective stakeholders that their service request has been closed and system is now updated.
- 6. HR team should be able to approve single/bulk service requests**
7. In the backend, when the HRMS is updated, the screens should automatically update the new information in real time.
 8. In case of Rep A change requests, on clicking the change request, HR should be directed to separate sub-module within “Org module” to manually over-ride the existing Rep A allocation. HR should be able to see this screen in either of the following ways:
 - a. Input Rep A employee id and get a list of all employees reporting to Rep A
 - b. Input employee id and get Rep A detailsOn clicking any of the options above, HR will be directed to screens where he will be able to change the Rep A basis the employee code. This revision is finalised only after due maker/checker validation
 9. MIS analytics should be provided. HR should be able to download the reports in excel formats. Some of the key data downloads will involve information pertaining to
 - a. Employee code who raised the request

- b. Employee name
- c. Nature of service request
- d. No. of days since when the request is raised
- e. Branch/unit from where the service request is raised
- f. Region & zone from where the service request is raised

Above information should be made available for download in the initial screen of “Org module changes”

Role clarity module

Introduction

Role clarity module is meant for providing clarity to officers in terms of their roles, KRAs and targets. **For non-branch employees, role clarity module needs to be implemented in SuccessFactors. For branch employees, PHP tool is being used for role assignment and modification. Integration between these two tools is required to provide seamless experience to end-users and ensure data integrity.** This note details on the process to be followed for the same

Role clarity overview

1. Every reporting authority (Rep A) should allocate roles to all his/employees at the beginning of the year or when a new employee joins or an existing employee leaves the branch/office – whichever is earlier
2. Rep A can allocate at max three roles to his/her reportees
3. On transfer or employee leaving the branch/office or new employee joining, Rep A has to re-allocate the roles
4. Rep A has the option to re-allocate the roles at any point of time during the year for any number of times. However, for revisions after 2nd re-allocation, Reviewing Authority (Rev A) approval is required for making the re-allocation. System should have checks in place for getting Rev A approval if re-allocation is happening after 2nd re-allocation.
5. **Flexibility to assign multiple roles to employees from the available list of roles. In such cases, system should allow Rep A to select the KRAs from list of KRAs instead of selecting a role from list of roles.**
6. On Rep A allocating the roles, employees will get to know their roles, KRAs and corresponding weights, and targets on which they are being assessed
7. On such allocation, employee shall acknowledge the role allocation and state that he/she has discussed the role, responsibilities and expectations from him/her with the Rep A.
8. Employee can request for a role change at any point of time
9. All role changes should be saved in the backend with following details:
 - a. Name, id, scale and designation of the employee (incl. Sol id, alpha, org name, region and zone)
 - b. Primary, secondary and tertiary roles
 - c. Start date of the role
 - d. End date of the role
 - e. Rep A who allocated the role with details on name, id, scale and designation

HR should be able to download the above reports

Rep A screens

1. Rep A can log into the PMS module and then select “Role Allocation” module for accessing the same
2. On logging into the “Role allocation” module, Rep A should be shown an overall summary view page with following details of his/reportees (basis the org module reporting structure):
 - i. Employees with roles assigned – no. of employees
 - ii. Employee with roles to be assigned (incl. employee triggered requests – should be differentiated from normal employees) – no. of employees
 - iii. Employee with roles assigned but requested for change – no. of employees
 - iv. Employees with roles assigned pending acceptance – no. of employees
 - v. Employees with role assigned but in appeal – no. of employees

Below the above summary, a list of reportee employees should be provided with following employee details:

- a. Employee name, id, scale, designation and location
- b. Employee role status (assigned, to be assigned, closed)
- c. Employee role, if applicable

Option to be provided to sort the employees on any of the above criteria mentioned in “a” to “c”. If Rep A clicks on any of the options in (i) to (v), the employee list should be automatically sorted to display the relevant employees.

3. On clicking the option “Employees with roles to be assigned” or “Employee with roles assigned but requested for change”, the employee list should update with list of all employees for which this option holds true
4. On clicking any of these employees, Rep AA should be re-directed to “Role assignment” page where he/she should be able to assign role for that particular employee.
5. “Role assignment” page should have following three dropdowns with auto populated “Role names”
 - o Primary role
 - o Secondary role
 - o Tertiary role

Further, all the three dropdowns should be a selection field but not write field. PMS should be capable of not allowing certain role combinations.

6. Apart from the drop downs, the “Role assignment” page should have details of employees – name, id, scale, designation, location. These details should flow into subsequent pages too until Role is finally allocated by the RA
7. On selecting the role fields above, Rep A to click “submit” page. On clicking “submit”, Rep A will be directed to “KRA assignment” page which is auto populated on the basis of predetermined criteria for a given primary, secondary and tertiary roles. Every KRA will be assigned a pre-determined weightage based on the pre-determined criteria. The KRAs and weights should be captured from “Employee role master table”. The algorithm for KRA assignment and weights is provided in “Role Allocation – Annexure – II” (shown at end of module). However, in case of certain roles, Rep A has the option to choose the KRAs instead of any auto allocation of KRAs. In such cases, on KRA assignment page, Rep A will be displayed a list of KRAs for a given

combination of roles. Every KRA should have a checkbox which can be selected by the Rep A and submitted by the Rep A. However, system shouldn't allow selection of more than 3 KRAs for a given role and every role must have at-least one KRA selected. After selecting the KRAs, Rep A can click submit upon which he/she will be directed to a new page where the KRAs and weights are displayed based on selection. Please note that weights are allocated basis the role combination with primary role KRAs having higher weightage, secondary role KRAs having next higher weightage and tertiary role KRAs having the lowest weightage on overall basis. Please note that in future, Rep A has the option to chose weights with some set criteria. The new PMS system should have the capability of allowing the Rep A to set weights. However, this feature should be de-activated for the time being with System Admin having the power to activate it in future.

8. RA should be directed to next page where he should be able to see targets for each of the KRA that he/she selected. Targets to be populated from "Target table" for branch roles and employees.
 - i. On being satisfied with the targets provided, Rep A to click submit which will finalize the role allocation & targets for the employee. However, in case of re-allocation of roles more than two times in a year, a notification mail should be generated for the Rev A for approval of re-allocation. Only on Rev A approval, role allocation is considered final. Simultaneously, Rep A should get a notification stating the allocation is pending Rev A approval.
 - ii. If not satisfied, Rep A should be given an option to go back until the role selection page for changing the role. On being satisfied with final roles, KRAs, weights and targets, Rep A can click submit button which will generate an automated notification mail to following people
 - a. RA – FYI mail saying that Role has been assigned to a given employee (employee name, id, designation, scale and location) with KRAs and targets against KRAs
 - b. E-mail to reportee that a given role is assigned to him with KRAs, weights and targets. This mail should have an automated link that takes it to the page where it says whether the employee accepts or appeals the given role, KRAs, weights and targets. Reportee has the option to either accept the mail role allocation or go on appeal for role allocation. Please note that no notification mail will be generated for employee if the re-allocation is pending Rev A approval. Only on approval by Rev A, a notification mail will be generated for the employee.**
 - 1) On acceptance, FYI mail will be sent to both employee and Rep A that given role is now assigned and accepted by the employee along with the KRAs, weights, and targets. In the background, the "target table" should be updated with employee id. If no such acceptance or appeal is made within 2 working days, employee is deemed to have accepted the new role. Employee should be able to download the role allocated, KRAs, weights and targets in the form of a pdf.
 - 2) If employee choses to appeal to Rep A, he can click on "Appeal", upon which he will be directed to comments page where Employee will give his comments for appeal. Once final comments are submitted, notification mails will be sent to employee and RA. These mails should contain
 - Details of employee (employee name, id, scale, designation, location),
 - Details of Rep A (employee name, id, scale, role, designation and location)
 - RA allocated roles, KRAs, weights and Targets allocated,
 - Employee comments on why he is appealing

- 3) Until the role is accepted or appealed, the given employee should figure in “Role assigned pending acceptance” (to show whether pending acceptance or appealed) and should be removed from the list of “Employees with roles to be assigned”.
- If the role is accepted, it should be moved to “Employees with roles assigned”
 - If the role is appealed, it should be moved to “Employee with roles assigned but in appeal”
- c. Rep A’s mail on appeal will have a button which directs him to “Reportee role appeal” page where he should be provided an option to submit his views/comments on the appeal and submit, or accept the employee’s proposed role and weights.
- 1) If Rep A accepts the employee proposed modification, Rep A should be re-directed to “Role assignment” page for the respective employee. Rep A has to restart the role modification process to update the employee role. On such modification, old allocation should be replaced with the new allocation with new KRAs and targets assigned
 - 2) However, if the Rep A doesn’t accept the employee’s appeal, he can provide his comments and press submit button which would direct the appeal to Reviewing Authority (Rev A) on which three notification mails are generated to reportee, Rep A and Rev A that a given role allocation has been appealed. These mails should contain
 - Details of employee (employee name, id, scale, designation, location),
 - Details of Rep A (employee name, id, scale, role, designation and location)
 - RA allocated roles, KRAs, weights and Targets allocated,
 - Employee allocated roles, KRAs, weights and targets allocated.
 - Employee comments on why he is appealing
 - Rep A’s comments on the appeal
- d. Rev A mail should contain a dispute resolution button which will direct the Rev A to a page where Rev A will comment on what the role of the employee will be. System generated reminder mails/HR follow up mails should be put in place. Once Rev A submits his views, Rep A and the employee should be sent notification mails on how the appeal is resolved.**
- e. On receipt of Rev A appeal resolution mail, Rep A has to go to “Employees with role assigned but appealed” page for role modification in line with the Rev A comments. Once the role is assigned, notification mails are sent to Rep A and employee that the new role is assigned to the employee with following details
- 1) Details of employee (employee name, id, scale, designation, location),
 - 2) Details of Rep A (employee name, id, scale, role, designation and location)
 - 3) New roles, KRAs, weights and Targets allocated
 - 4) In the background, on such acceptance or modification, “Employee Generic” and “Target Table” should be updated with the new final decided roles and employee ids
- This role will be final role and no further appeal is provided. Only acceptance button is provided in this case.
9. For an allocated role, if any given budgetary or measureable KRA has no targets populated against it, a notification mail should be generated in the backend for HR and Planning Team (Regional, zonal and central teams) stating that a given role allocation has budgetary or measurable KRAs which have no targets against it. HR should be able to trigger notifications for planning team to act on setting targets for the role.

10. An employee is deemed to be present in a given role from the date on which he accepts the role or when his appeal is settled as the case may be.
11. It's possible that all employees listed in the org module may not be necessarily present due to long leaves or other reasons. Rep A should have the option of selecting those employees and marking them as so (with expected return date – any return date more than 6 months has to be approved by HR). On such marking, role allocation is deemed to be completed for those employees. However, on the expiry of expected return date, employee's name should pop up in "employees with roles to be assigned"
12. If a new employee is transferred/reporting to the Rep A, then the role allocation for that employee has to be completed by Rep A. Transferred/newly reporting employee will have no roles allocated to them unless Rep A allocates one. HR and Rep A should get a notification mail that a new employee is reporting to Rep A and that role allocation has to be completed for the transferred or newly reporting employee by Rep A. HR should receive a notification mail on completion of role allocation for the transferred or newly reporting employee
13. The new Rep A and HR will receive a notification for completion of role allocation for the transferred employee. However, previous roles of transferred employee should be stored in backend for tracking purpose.

Rep A transfer

- A. If a Rep A gets transferred during a given year, then the employee list of the Rep A in "Role Allocation" module should be automatically updated from the effective date of transfer
- B. Any change in reporting structure that Rep A believes to be made should follow the work flow as described in "Org Module"
- C. Existing reportee roles will not change on Rep A transfer

Employee view of Role Allocation module for Role Clarity

1. Employee can log into the PMS module and then select "Role Clarity" module for accessing the same
2. On logging into the "Role clarity" module, employee should be shown an overall summary view page with following details:
 - i. Primary, secondary and tertiary roles allocated
 - ii. KRAs expected from the employee
 - iii. Weights of each of the KRAs
 - iv. Targets against each of the KRAs
3. A trigger button should be provided to employee in following cases
 - a. Request for role modification i.e allocating a new role or re-allocating roles for the given employee
 - b. If the employee is not yet allocated a role, he/she should be able to activate a trigger for non-allocation of role
On clicking such trigger button, a pop-up should open with auto-populated dropdown that the area of trigger is in Role Clarity module. Pop-up should contain a free text field enabling the employee to provide any comments. On clicking submit, a notification mail will go to Rep A on the request and gets populated in the overall summary screen of the Rep A
4. Employee should be provided an option to "accept" or "appeal" a newly allocated

role/KRAs/weights/targets

- a. In case employee accepts, a specific text should pop-up asking whether employee had conversation with Rep A on the role allocation. Role is deemed to be accepted only on confirming yes on the popup screen.
 - b. In case employee chooses to appeal, he should be provided a field to input his reasons for the appeal
 - c. Employee should be able to view the status of his appeal until it is resolved in following stages
 - i. Pending with Rep A for comments
 - ii. Pending with Rev A for resolution
5. If an employee is transferred after the role allocation, role of that employee should be reset from the effective transfer date. The new Rep A and HR will receive a notification for completion of role allocation for the transferred employee. However, previous roles of transferred employee should be stored in backend for tracking purposes.

Rev A view of Role Clarity module

1. In addition to Role allocation and Role Clarity module, Rev A should have access to “Appellate Authority” module. The process for “Role allocation” and “Role clarity” module will remain same as mentioned above. The process below is for “Appellate Authority” module.
2. Rev A can log into the PMS module and then select “Appellate Authority” module for accessing the same
3. On logging into the “Appellate Authority” module and selecting “Role clarity” option, Rep A should be shown an overall summary view page with following details:
 - i. No. of appeals to be resolved
 - ii. No. of appeals to be resolved and are beyond due date of 5 working days

Below the above summary, a list of appeals (pending resolution) should be provided with following details:

- a. Appellant name, scale, grade and location
- b. RA name, scale, grade and location
- c. No .of days since the appeal is launched
- d. Reasons for appeal

Option to be provided to sort the employees on any of the above criteria mentioned in “a” to “c”. If Rev A clicks on any of the options in (i) to (ii), the employee list should be automatically sorted to display the relevant employees.

4. Rev A should be able to click on any of the employee name/id and be directed to a resolution page
5. On landing in such page, Rev A should be able to see details of appeal, Employee comments on appeal, Rep A’s comments on appeal
6. Rev A should be provided with a comment box where he will provide his views and resolve the appeal. On clicking “submit” next to that box, notification mails are sent to respective effected parties that their appeal has been resolved.
7. On the Role allocation module, apart from the list which Rep A sees, Rev A should also be

able to see list of employees where Rev A approval is required as roles are being re-allocated more than 2 times. Following information should be displayed:

- a. Name, id, scale and designation of the employee
- b. Name, id, scale and designation of the Rep A
- c. No. of times role has been re-allocated for the employee
- d. Comments made by Rep A for re-allocation
- e. Approve/reject button for either approving or rejecting the role allocation. Such approval or rejection should be in the form of a pop-up where Rev A will be able to provide his/her comments for approval or rejection

On clicking the employee id/name, Rev A will be able to see (in the form of a pop-up) the roles allocated to the employee by the Rep A along with all the other information mentioned above. On approving or rejection, a notification mail shall be generated for Rep A that role re-allocation made by him/her has been approved or rejected. If approved, employee should also get a notification mail that his/her role has been modified

HR screens

1. After the initial log in, HR should be provided with a link that directs HR to Role clarity module
2. On the home screen of Role Clarity module, HR should be able to see following information w.r.t his/her region/zone or bank as a whole:
 - a. No. of employees assigned roles for his/her region/zone/bank as a whole
 - b. No. of employees yet to be assigned roles
 - c. No. of service requests from employees pending for resolution
 - d. No. of role allocation appeals pending for resolution

Please note that a regional HR can see information only w.r.t his/her region, zonal HR w.r.t his/her zone, and central HR w.r.t. whole bank. There should checks and balances in place for division of responsibilities among HR personnel.

3. HR should be able to deep dive on any of the above number by clicking on them. On clicking the number, HR should be shown following information:
 - a. Employee name, id and scale
 - b. Alpha, region and zone
 - c. Rep A of the employee
 - d. Date of service request/trigger/appeal (if applicable)
 - e. Employee name, id and scale with whom service request/appeal is pending (if applicable)

HR should be able to download the above lists in the form of an excel. On clicking on the employee id in option (e), a pop-up should open where HR will be shown following details

- A. Nature of service request or appeal
- B. Date of service request or appeal
- C. Comments provided by employee, if any, for raising the request or appeal
- D. A trigger button for sending out notification mail and SMS to employee who has to take action on the service request or appeal
- E. Submit button – clicking of which will generate a notification mail and SMS to the concerned employee to take action on a given appeal or request raised by a particular employee id and name.

4. HR should have access to report where allocated roles with budgetary or measurable KRAs have no targets against them. The report should contain following fields:
 - a. Employee id & name
 - b. Rep A id & name
 - c. Alpha
 - d. Region
 - e. Zone
 - f. Primary Role allocated to employee with date
 - g. Secondary Role allocated to employee with date
 - h. Tertiary Role allocated to employee with date
 - i. KRA on which target is not set

HR should be able to download the above report in the form of excel sheets

HR screens can also be made available to respective Zonal and regional managers for viewing the completion of Role clarity.

PERFORMANCE DASHBOARD

Introduction

Performance dashboard shows employee's current performance w.r.t KRA score achieved, how he/she has performed against targets, things he/she can do to improve score etc. This will be landing page for all employees after logging in. **There is flexibility to develop such dashboards outside of SuccessFactors if the requirement cannot be on SAP system. However, summary dashboards are required in Successfactors.**

Employee screens – retail branches

1. On clicking the date, a drop down should open that employee should be able to go back into previous months for any given year or months starting from April 2017 subject to a maximum of 36 months. On selecting the month, employee will be able to see his performance for that particular month on YTD basis (financial year basis). All the fields mentioned in point 1 above should update basis the month selected.
2. Clicking any KRA provides key details such as target, actuals, % achievement, target for next month, relative position in the cohort / group etc.
3. A link will be provided to go into deep dive analysis of each parameter, with information and drill down details such as historical performance, input drivers, key focus areas based on pre-defined logic etc.

RM/DRM screens

1. RM/DRM screens will be similar to "Employee screens – retail branches" with branch performance as additional parameter. In addition to information provided "Employee screens – retail branches", employee will be shown branch mix as follows for each KRA. Full list of information provided in the RM/DRM screens at home page level similar to branch head page including employee details, monthly score per branch, KRA wise score, trend, relative performance, focus areas etc.
2. On clicking on any branch, RM/DRM should be able to view details of the branch – this view needs to be similar to branch head view providing key details such as KRA wise score, trend in score, target vs achievement, relative performance etc.

3. On clicking on any of the branches, RM/DRM should see the full flow of branch head screens for that particular branch.

ZM/DZM screens

1. ZM/DZM screens will be similar to “Employee screens – retail branches” with Region performance as additional parameter. In addition to information provided “Employee screens – retail branches”, employee will be shown Region mix as follows for each KRA
2. On clicking on Region mix on any of the KRA, ZM/DZM should be able to view key details such as employee details, monthly score per branch, KRA wise score, trend, relative performance, focus areas etc.
3. On clicking any of the region, ZM/DZM should be able to see view region-wise and branch-wise drill down details including monthly score per branch, KRA wise score, trend, relative performance, focus areas etc.
4. On clicking on any of the branches, RM/DRM should see the full flow of branch head screens for that particular branch.

PERFORMANCE HISTORY

Introduction

Every employee would be interested in knowing how he/she has been graded in the past, what were achievements against the targets, what is his/her score etc. “Performance history” is the module which deals with any queries that an employee has w.r.t his/her historic past information on performance. This module can also be used by the HR for looking in to employees’ performance history.

Employee screens

1. After the initial log in employee should be provided a link that directs him to “performance history” module
2. On the landing page of “Performance History” module, employee will be shown his current role, current overall YTD score, KRA wise YTD score, current cohort, YTD discretionary score achieved, and Rep A (including name and employee id) comments on employee’s performance and areas of development.
3. **An employee should be able to see any historical form- employee should be shown all the information at that point of time**
4. Another link should be provided to employee for seeing a summary of all years. This screen should show following information:
 - a. YTD score obtained every time score is banked. If score is not banked for a given period, then reason for non-scoring (leave, absconding, sabbatical etc.)
 - b. Period for which score is banked.
 - c. Grade obtained, if applicable
 - d. Role, scale, designation and location during the period score is banked
 - e. Cohort name for the score
 - f. Rep A during the score banked period

Employee should be able to click on any of the period above on which he/she will be directed to a screen where with detailed view.

5. Performance history module should allow the employee to select any full financial year (over the last 3 full financial years) and show him how the overall score was moving during

that period on a monthly basis. The tabular format should contain information as detailed in point 4 above. This functionality should be capable of providing visualizations on scoring (nature of visualization TBD). However, on clicking on any of the scores, employee should be directed to a separate screen where he/she will be shown full details as in point 3 above

HR screens

1. A separate “Employee performance history” module should be provided to HR for tracking the performance of all employees who fall under their scope i.e. Regional HR should be able to see information pertaining only to their region, Zonal HR should be able to see information pertaining only to their zone etc.
2. After the initial log in HR should be provided a link that directs him to “Employee performance history” module
3. On the landing page of “Employee Performance History” module, a search option should be made available to HR for inputting the employee code for which they want to see the performance history. A quick search option should also be made available to HR for searching the employee by name or branch (alpha/sol id) or department. The search option should be on multiple criteria:
 - a. Employee code
 - b. Name of employee
 - c. Scale
 - d. Role (primary/secondary/tertiary)
 - e. Designation
 - f. Location

All search results should populate with all the above information and HR should be able to deep-dive into any of the employees by clicking on employee code.

4. On HR searching the for the employee, key information regarding the employee should be displayed such as role of employee, designation, location, overall score, RepA, relative score etc.
6. Another link should be provided to HR for seeing a summary of all years for the selected employee. This screen should show following information:
 - a. YTD score obtained every time score is banked. If score is not banked for a given period, then reason for non-scoring (leave, absconding, sabbatical etc.)
 - b. Period for which score is banked
 - c. Grade of employee, if applicable
 - d. Role, scale, designation and location during the period score is banked
 - e. Cohort name for the score
 - f. Rep A during the score banked period

HR should be able to click on any of the period above on which he/she will be directed to a screen where full information as detailed in Point 5 above is displayed

7. Performance history module should allow the HR to select any full financial year (over the last 3 full financial years) and show him how the overall score was moving during that period on a monthly basis. This functionality should be capable of providing visualizations (nature of visualization TBD). However, on clicking on any of the scores, HR should be directed to a separate screen where he/she will be shown full details as in point 5 above
8. “Employee performance history” module should also contain a link where HR can download (excel format) list of employees (with name, id, scale, role, designation, location,

organization, Rep A id and name) in following cuts

- i. By scale
- ii. By designation/role/organization
- iii. By Rep A (employee code based)
- iv. By period (monthly level)
- v. By KRA
- vi. By Cohort
- vii. By grade

The information displayed should contain overall YTD score obtained plus discretionary score, if any along with the information as mentioned in point 4 above. Module should allow HR to select multiple criteria with in each of the dimension i.e. for e.g. HR must be able to select both scale I and scale II employees if HR is trying to filter by scale. Further, HR should be able to filter the employees basis multiple criteria in multiple dimensions i.e. for e.g. HR must be able to select both scale I and scale II employees with in scale dimension and further be able to select 4 different cohorts for filtering the relevant employees

EMPLOYEE RECOGNITION

Introduction

This module is for formally recognizing and appreciating (by giving awards and badges) exceptional work. Major part of this module is a Leaderboard section where high performers can be showcased to the whole workforce. This section should be accessible from every user's main Performance Dashboard page and via targeted notifications. Employee recognition should work on "gamification" model which is explained in detail in this note. There is flexibility to develop this feature outside

Employee recognition process

1. On the landing page of performance management system, every employee should be provided with "Rewards and Recognition" link that would direct the employee to a new page where he/she would be able to
 - a. See details of badges awarded to him/her
 - b. Award a badge to any other eligible employee (will be in form of a link – "Award badge")
 - c. Leader board"Eligible employee" is defined as
 - a. Employee who is at least 2 scales below the awarding employee (one who is awarding badge) and the awarding employee is not a direct Reporting Authority for the employee
2. On clicking "award badge" link, employee will be directed to a screen where he/she will be able to search for an employee by name, id and scale. On the same page, awarding employee should be able to see the total number of badges he/she has left to award (every employee has at max. 3 badges to allot for a given month. Any unallocated badges in a given month are not allowed to be carry forwarded and are lapsed). When the employee searches for a given employee, the resultant search results should contain the following details:
 - a. Name, employee code, scale, designation, organization and location of the

- employee
 - b. Primary, secondary and tertiary roles
 - c. Rep A of the employee
 - d. An identifier (in the form of tick or cross or something similar) to show that a given employee is not eligible for a badge from him due to eligibility criteria
3. On clicking the employee name, a pop-up should open where awarding employee will be able to select the dimension on which he/she wants to offer the badge. Please note that a pop-up error should open up if awarding employee doesn't have any badges left with him/her. If awarding employee has badges left, awarding employee will be provided with following list of dimensions for badge in the form of a dropdown
- On selecting any of the above dimensions, a free text field should open for enabling the awarding employee to provide comments for awarding a badge. Comments will be in the form of congratulatory tone for work done by the awardee employee. Eg: "Mr. Sekhar has shown exceptional stewardship and customer centricity during the demonetization drive. We are proud of you Mr Sekhar!" System should have "text tip" capability that can suggest language that awarding employee can use while providing the comment. Awarding employee cannot award a badge without providing comments.
4. On awarding employee providing his/her comments, he will be able to submit the badge for vetting by HR. On submission, number of badges available with the awarding employee will reduce by one. Awarding employee should not be able to submit more badges than what was made available to him/her over a given period.
5. HR will vet the language used in the comments and may make suggest modifications to the awarding employee. A modification button to this extent should be provided in the screen to this extent. On clicking the modify button, HR should be able to put in new text and click submit. On clicking submit, the awarding employee will get a notification that a new text has been suggested by the HR and he/she can approve the text. On such approval or modifying the text, HR will get a notification for approving the comments or moderate the comment as discussed above.
6. On HR vetting and submitting the badge, the badge will be released for the awardee employee. In parallel, a notification mail will be sent to the following stating that a badge (with color of the badge) is awarded to the employee:
- a. Awardee employee
 - b. Awarding employee
 - c. Rep A of awardee employee
 - d. All employees of the Cohort to which awardee employee belongs
 - e. Branch employees to which awardee employee belongs. Department employees in case of non-branch employees
- Further, a SMS will also be generated to all the above recipients about awardee employee and the badge. Also, system should post the news of badge awarding with employee photo in a closed group of Facebook page.
7. Awardee employee can log into the performance management system and be directed to a "Rewards and recognition" page through a link on the landing page. Upon clicking the page, awardee employee should be able to see details on the badge awarded, comments provided, details of awarding employee and date of awarding.
8. Cohort employees can provide congratulatory comments to the awardee employee. Comments can be either private or public. Public messages get populated and are shown

to cohort employees when they click on any awardee employee in the performance management system. Also, HR/any assigned person should be able to moderate comments if need be.

Awarding employee screens:

1. On the landing page of performance management system, every employee should be provided with “Rewards and Recognition” link through which he/she can award a badge using the process as mentioned in “employee recognition process”
2. Employee should be provided with a link to see history (from the beginning of current financial year) of badges awarded by him/her. The details should contain the following:
 - a. Name of the awardee employee (incl. details of scale, role, designation, organization name and location)
 - b. Dimension for which badge is awarded
 - c. Date of award
 - d. Comments on awarding badge

Awarding employee should be able to sort the employees by any of the criteria mentioned above.

Awardee employee screens

1. On the landing page of performance management system, every employee should be provided with “Rewards and Recognition” link that would direct the employee to a new page where he/she would be able to
 - a. See details of badges awarded to him/her
 - b. Award a badge to any other eligible employee (will be in form of a link – “Award badge”)
 - c. Leader board
2. On clicking option 1(a) above, he should be able to see list of badges awarded to him by dimension. He/she should be able to see the following information
 - a. Overall level of recognition
 - b. No. of additional badges/conditions required to jump to next level of recognition
 - c. Total no. of badges received including no. of comments received from cohort employees
 - d. No. of badges received by dimension including no. of comments received from cohort employees

“Levels of recognition” is discussed in detail in annexure I – “employee recognition norms” (shown at end of module). Please note that the details of badges should be only for those mentioned during the current financial year. Also, the landing page and all screens which display the employee name or id should show an “icon” next to employee’s name/id which indicates the level of recognition that employee has achieved

3. On clicking any of the numbers mentioned in “Total no. of badges received” or “No. of badges received by dimension”, a summary of following information should be provided to employee:
 - a. Badge received date
 - b. Dimension on which badge is received
 - c. Awardee name, designation and scale
 - d. Awardee comments for awarding the badge

- e. No. of comments received on the badge (comments should be displayed in the form of a pop up when comments number is clicked. Comments should have an identifier to differentiate between private and public messages. Comments should also contain the name, scale, location and designation of the employee providing the comments)
4. An option should be provided to select any of the past three full financial years to know details of badges awarded in the past:
 - a. Overall level of recognition
 - b. Total no. of badged received
 - c. No. of badges received by dimension

Cohort employee screens:

1. On the landing page of performance management system, every employee with in a cohort should be able to see the following information:
 - a. Image of the employee (accompanied by name) who has achieved the “Mr. GEMS Bond” recognition during the last one quarter
 - b. Images of employees (accompanied by name) who have achieved the highest level of recognition with in the cohort over the last one month
 - c. Images of employees (accompanied by name) who have received a badge during the last one week within the cohort

The above feed should be refreshed on weekly basis. However, employee should be given an option to select overall region or zone or bank for seeing information of employees on above three parameters.

2. On clicking any of the images, a pop-up should open which shows the following details:
 - a. Name, scale, designation, role and location of the employee
 - b. Phone no. and email id of the employee
 - c. Date of award and dimensions in which employee has received badges (with visuals of badges awarded)
 - d. Name, scale, designation, role and location of the awarding employee for each of the badges
 - e. Comments from awarding employee for awarding the badge
 - f. A scrolling “comments box” where all public messages are listed

The popup should contain a “comments box” which allows the cohort employee to post congratulatory messages. However, system should be capable of filtering out offensive comments. These messages should have the option of being private or public. In case of private messages, the awardee employee will get a notification mail that a given employee has commented on his/her badge.

3. On the landing page of performance management system, every employee should be provided with “Rewards and Recognition” link that would direct the employee to a new page where he/she would be able to
 - a. See details of badges awarded to him/her
 - b. Award a badge to any other eligible employee (will be in form of a link – “Award badge”)
 - c. Leader board
4. On clicking the “Leader Board”, employee will be directed to a new page where he/she will

be able to see the full list of employees who have received badges by level of recognition. On top of the list, employee's position should be displayed. If employee has not been awarded any badge, then a message should be shown that employee has not yet been awarded a badge. The list should contain the following:

- a. Image of the employee
- b. Name, scale, designation and location of awardee employee
- c. Name, scale, designation and location of awarding employee
- d. Dimensions in which badge is received
- e. Comments received from the awarding employee on the dimension
- f. Rank of awardee employees.

List should be sorted on the basis of level of recognition and in case of a tie, it should be sorted by no. of badges and then by seniority and years of experience with Bank of Baroda. Employee can search for any person in leader board by employee id, name, designation, location or dimension. The list should refresh on weekly basis

5. Employee should be able to click on any image and see the comments made by other employees. An option should be provided for the employee to enter his comments in private or public mode (by way of a check box - "send this message in private mode"). In public mode, comments will be visible to all in the cohort. In private mode, comments will be visible only to awardee employee – separate marking to this extent should be shown that the comment is in private mode.

HR Screens

1. HR screens in this module mostly deal with moderating the comments of awarding employees and congratulatory comments made by cohort employees. Further, HR should be able to different MIS reports w.r.t employees awarded badges in different dimensions, levels of recognition achieved etc. These screens are available only for central HR.
2. After the landing page, HR will be directed to "Rewards & recognition" page through a link. On this page, HR should be able to see a list of employees for whom the comments have to be vetted. The list should contain the following:
 - a. Name, scale, designation and location of awarding employee
 - b. Name, scale, designation and location of awardee employee
 - c. Dimension on which badge is awarded
 - d. Comments provided by the awarding employee
3. On clicking the comments, a popup should open with either "approve" or "edit" option. On clicking the approve option, comments will be made available to cohort and process as mentioned in "Employee recognition process" will be followed for communication. If HR selects "edit" option, then the comments field filled by awarding employee will become editable and HR can edit the comments (post confirmation with awarding employee) and approve the same. Post HR approval, the same gets posted in the performance management system
6. In the "Rewards and recognition" page, a link should be provided for the HR to access the leaderboard. On clicking the leaderboard link, HR will be directed to a page where HR can select any cohort and look at the leaderboard stats of employees who have received badges by level of recognition. The list should contain the following:
 - a. Image of the employee
 - b. Name, scale, id, designation and location of awardee employee

- c. Name, scale, id, designation and location of awarding employee
- d. Dimensions in which badge is received
- e. Comments received from the awarding employee on the dimension
- f. Rank of awardee employees.

List should be sorted on the basis of level of recognition and in case of a tie, it should be sorted by no. of badges and then by seniority and years of experience with Bank of Baroda. Employee can search for any person in leader board by employee id, name, designation, location or dimension. The list should refresh on weekly basis

7. HR should be able to download the list of employee who got recognized in the form of an excel. A clickable button to this extent should be provided on top of the table. Further, a calendar should be provided on top of the list to view leaderboard on any given date. Also, HR should be able to download the list of all employees who have been awarded badges over a given period. Downloads should contain the following information
 - a. Name, scale, id, designation and location of awardee employee
 - b. Name, scale, id, designation and location of awarding employee
 - c. Dimension in which badge is received
 - d. Comments received from the awarding employee on the dimension
 - e. Name, scale and designation of HR employee vetting the comments

HR should have the option to download the full dump for a given period along with branch, region and zone names.

8. HR should be able to add new badges/dimension (including design and imagery) or change names of badges/dimensions as and when need be. This could be provided through a separate a link titled "Recognition administration". On clicking the link, HR will be directed to a separate screens, where HR will be shown list of badges, levels of recognition, and images used for the same. On clicking the same, a popup should open which should show following information
 - a. Current name (non-editable)
 - b. Current image (non-editable)
 - c. Free text field for enabling HR to provide new name
 - d. Attachment field for enabling HR to upload a new image
 - e. Upload button uploading the attachments and previewing the image
 - f. Submit button for transferring the form for approval
9. On clicking submit, the form flows to a "checker" HR who will approve the changes. A notification mail will be generated for the "checker" HR with a link that directs him/her to the approval page.
10. On clicking the link in notification mail, checker HR will be directed to approval page where he/she will be able to see the following information:
 - a. Current name
 - b. Current image/design
 - c. New name
 - d. New image/design
 - e. Approve button for approving the change (dual confirmation to be in place i.e. an additional "are you sure" screen should pop up on approving the change)
 - f. Modify button for changing name or image or both (dual confirmation to be in place i.e. an additional "are you sure" screen should pop up on approving the change)

- g. Reject button for not accepting the change – if clicked, a new field should open up for giving rejection comments

On approving (incl. modified approval) or rejecting, PMS system should update all the badges with new images and names. In the backend, a notification mail should be generated to the HR who raised the request that his/her request has been approved, approved with modification or rejected.

Performance Appraisal

Introduction

This module covers the mid and end term appraisal of employee's performance. This page can look different for different users depending on the role they are on. The idea of this page is to enable the employees and other stakeholders on assessing the performance of the employees based on actuals achieved against targets and subjective scores provided by the Reporting Authority (Rep A).

Contingencies:

1. Non measurable roles & KRAs
2. Regional manager appraisal
3. Transfers
4. Measurable KRAs but non-system driven

End term review process flow

At the end of every financial year (i.e. March 31 or any other date as may be notified by the Bank), employee's performance will be reviewed and assessed for the purpose of grading.

HR will trigger an automated mail at the beginning of the year which will be sent to all employees stating end term appraisal for previous Financial year is now active and also indicate the due date (as may be decided by the HR – can be different for different employees) for completion of end term appraisal.

The notification mail should contain a link to the self-appraisal page

On receipt of mail, employees should be able to click open the link and be directed to the self-appraisal page where he will be shown following information:

1. Basic details of the employee (name, designation, scale, branch, Rep A etc)
2. Year for which assessment is being done
3. List of KRAs (budgetary, measurable, non-measurable & discretionary parameters) on which he is being assessed
4. Weights for each of the KRAs on which he is being assessed
5. Targets (in case of measurable and budgetary roles) against the KRAs on which he is assessed
6. Achievement (in case of measurable and budgetary roles) against the KRAs on which he is assessed
7. System generated score for each of the measurable and budgetary KRAs (Scoring mechanism will be discussed in detail in Scoring module)
8. Free text field against each of the KRAs and discretionary parameters on which Employee should be able to fill his views on his performance

9. An overall free text field where employee will comment on his overall performance

Employee will fill in his view on his performance in the free text field and submits the application. If self-assessment is not completed within 10 days from the date of process trigger (i.e. date on which the notification mails are sent out), then employee would be deemed to have completed the self-appraisal with no comments.

On employee submitting the self-appraisal form, Rep A will receive a notification mail stating that a given employee has completed his self appraisal and that now Rep A can start scoring/role closure process. However, an option should be provided to the Rep A requesting the employee to complete self assessment.

If an employee has spent less than a pre-defined time period (e.g. 3 months) in a particular role during year-end, no score will be generated for the employee in such a scenario.

On clicking the link in the self-appraisal completion notification mail, Rep A should be directed to the page where following information is displayed:

1. Employee information (name, scale, designation, roles, etc)
2. Overall system generated score of the employee
3. List of KRAs (incl. discretionary parameters), weights, targets and achievements against the KRAs
4. Employee comments on his performance against each of the KRAs
5. A free text field against each of the KRAs through which Rep A will be able to provide comments on each of the non- discretionary parameters
6. An overall free text field where Rep A will comment on the overall performance of the employee
7. Restricted number field (min & max criteria) for scoring non-system driven, non-discretionary KRAs
- 8. A multiple choice form for scoring five discretionary KRAs with scale 1-6 and related rating description.**

If the difference between the achievement of discretionary score % and achievement of non-discretionary score % is +/-20% points, then it would be ideal to make it mandatory for Rep A to give justification for the variance. Rep A should not be able to submit the end term appraisal without filling the reason for variance. If there's no such variance, Rep A can directly submit the end term appraisal. Work-around can also be suggested.

On Rep A submitting the end term appraisal form, Rep A will receive a notification mail stating that the Rep A has completed the end term appraisal for a given employee. On clicking the link in the mail, Rep A will be directed to following page, where following information is displayed for that particular employee:

1. Details of the employee (name, scale, designation, roles, location etc)
2. Details of Rep A (name, scale, designation, location etc)
3. Overall score of the employee with breakup of system generated and discretionary score.
4. List of KRAs, weights, targets and achievements on which employee is assessed
5. Employee comments on his performance and Rep A comments on employee performance
6. Rep A's comments on discretionary score
7. Rep A's comments on variance between discretionary and non-discretionary score.
8. A button for revising the Rep A provided scores on discretionary parameters. On clicking the button, a multiple choice form for scoring the discretionary KRAs should be displayed i.e. for

each of the discretionary parameters, Rev A will be given five options on each of the discretionary parameters where, on selecting the option, score for that parameter is auto-populated. Rev A should be shown score for each of the parameter even before selection. Please note that the “Variance check” (i.e. difference between % achievement in discretionary score and % achievement in non-discretionary score should be less 20% points) should be again run if Rev A changes discretionary score. If the “Variance check” flag goes off, then Rev A should be provided additional field to fill in reasons for such variance

9. An overall free text field where Rev A can comment on the employee performance

Score for a given employee will be frozen on Rev A submission in following cases:

1. Rev A doesn't make any change in the discretionary scores and directly approves the scores provided by the Rep A
2. Rev A makes changes discretionary score but difference is less than 5 points and there has been no “slab change” i.e because of modification in score, employee may move from average to high performer, or outstanding to high performer etc.

In both the above cases, Rep A will be notified about freezing of score and changes if any

In following cases, Rev A would send the form back to Rep A to make modification and send back to him:

1. **Where the difference between Rep A provided discretionary score and Rev A provided discretionary score is more than 5 points**
2. **Where the difference between Rep A provided discretionary score and Rev A provided discretionary score is less than 5 points but there is a “slab change”**

After Rep A makes the modification, Rev A would submit the form and scores will be frozen. In cases other than above 2 cases, Rev A can directly submit the form and scores would be frozen.

If Rep A chooses to appeal the Rev A scoring, then a notification mail will be generated for Accepting Authority (AA) and Rev A, who will see the following information on the appeal:

1. Details of the employee (name, scale, designation, roles, location etc)
2. Details of Rep A (name, scale, designation, location etc)
3. Overall score of the employee with breakup of system generated and discretionary score.
4. List of KRAs, weights, targets and achievements on which employee is assessed
5. Employee comments on his performance and Rep A comments on employee performance
6. Rev A's & Rep A's comments on discretionary score
7. Rev A's & Rep A's comments on variance between discretionary and non-discretionary score.
8. Free text field in which AA will provide comments/reasons for appeal disposal

AA will have the option to chose either Rep A discretionary score or Rev A discretionary score. On selecting one option, AA will have to provide reasons for selecting the option and submit the same. On resolving the appeal, scores for the employee will be frozen and Rev A/Rep A will be appropriately notified

On freezing of scores, HR will be notified about the details of employees (along with discretionary and non-discretionary scores they achieved) where scores have been frozen and a “communication trigger” will be provided to HR to convey scores to employees. On activating this

trigger, all the employee for whom the scores are frozen, should be able to see scores in the system including following details:

1. YTD Non-discretionary (system driven and non system driven separately) and discretionary scores achieved. Quarterly scores achieved on Non-discretionary non system driven scores and discretionary scores. YTD non-discretionary non-system driven scores and discretionary scores are weighted average scores of quarterly scores for respective parameters
2. Rep A's comments on employee's performance along with scores provided by Rep A
3. Rev A's comments, if any, on employee's performance along with scores provided by Rev A
4. Accepting authority's comments, if any, on appeal disposal

In case employee is not ok with the scores or grades provided, then employee can make an appeal. However, this appeal process will be off-line. Final score/grade from such appeal will be uploaded by HR and the final score/grade should be updated in the system for a given employee.

Loop closure: If employee chooses to appeal the scores, the process for the same will be off line and the final score from such appeal process will be uploaded by the HR and can be later seen by the employee

Contingencies to be incorporated in the system:

1. **Scoring for “non-measurable roles & KRAs”:** Scoring for non-measurable roles and KRAs will be done quarterly i.e. 4 times in a year. Weighted average (basis no. of days - open to work-around) of these scores will be the final score of the employee for the year. This calculation of weighted average should be system driven. In case of non-measurable roles, after the employee completes self-appraisal, Rep A will be able to give scores on each of the KRAs on which employee is assessed. On completion of scoring, the application, instead of going to Rev A, will be directed to “Cohort chair”. In parallel, a notification mail will be sent to HR on the completion of scoring and pendency with Cohort chair. A separate off-line process will be carried on where Rep A will discuss the performance of the employee with the Cohort chair and score is mutually agreed upon for the employee. Basis the discussion in the “Cohort chair” meeting, HR will upload the final scores for the employee for each quarter. On such upload, employees will get a notification mail stating that their appraisal for the quarter is complete and they can check the score in the system. Employee should be shown weighted average scored for the year, and scores for each of the quarter elapsed. At the end of the year, system should auto-calculate the weighted average scores and display the final score to employee after the HR releases the “communication trigger”. In this case, Rev A and AA roles will not be present
2. Scoring in case of Transfers / Role Change: In case of measurable roles, when an employee is transferred/ if role changes, scores (incl. the discretionary score) of that employee should be calculated as per the end term appraisal process. The process must be automatically initiated within 2 days of the transfer. On completion of process, employee will be communicated (there is no need for HR communication trigger) about the score for the given role and that this score is only for the number of days the employee was in that role during the year. The frozen scores will be saved in the back end and will be weighted averaged (on the basis of no. of days) at the end of the year. For e.g. if an employee gets transferred on Jul 21 (i.e. 112 days of service in the role), then the appraisal process for that employee will be initiated as per the “end term

appraisal process". Employee will complete his self-appraisal (a notification mail to this extent should be sent to employee for completion of self-appraisal), Rep A will provide scores on discretionary parameters (incl. comments if any), Rev A will review the scores, and AA will dispose of appeals if any. On completion of the above process, say the final frozen score is 70 marks (incl. discretionary score), the same will be stored in back end. At the end of the year, same end term appraisal process will be run for the employee on the new transferred role (i.e. 283 days of service) and say final frozen score is 90 marks (incl. discretionary score). Again this will be stored in the back end. While communicating the final score to the employee, following scores will be communicated

- Weighted average score i.e. 83.8 $(((70*112)+(90*253))/365)$
- Score of initial role i.e. 70 marks and no. of days in that role
- Score of new role i.e. 90 marks and no. of days in that role

An officer will be allocated a score for a particular role only if (s)he has spent more than a particular time period (e.g. 3 months) in that role

In case the RepA changes during a particular role, the officer who was the RepA for the most duration for the officer during the role must provide discretionary score for that role.

In case of retiring Rep A, then automated SMS/notifications should be sent to Rep A, Rev A, employee and HR for completing the appraisal of employee until the retirement date (not required if retiring Rep A has been Rep A for the employee for less than 3 months)

3. Regional manager appraisal and scoring: In case of Regional Manager (RM) performance appraisal, in addition to the usual process, a separate parallel process will be initiated after RM fills in his self appraisal. Notification mails are generated to both Rep A and Vertical Heads (VH) on RM completing the self appraisal. In case of VH, on clicking the link in notification mail, multiple choice form will be provided to each of the vertical heads for a given RM. The form contains the parameters on which Rep A is being assessed and weightage for each of the parameter and option. Once the VH selects the option for each of parameters, overall score for the RM should be displayed and this should be in real time i.e once VH selects an option for a given parameter, VH should be able to see the cumulative score for RM on selecting that option. For eg. if for the first parameter, VH selects an option which has a weight of 5 marks, then VH should be displayed 5 marks (out of maximum as may be decided later). Then for the second parameter, VH selects an option which has weight of 3 marks, then VH should be displayed 8 marks (out of maximum as may be decided later). Form also contains a free text field where VH can give comments on RM's performance. After filling in the details, VH can submit the form. In the backend, system should collate the information from each of the VHs and calculate an overall score for VH based on a predetermined formula (TBD). The resultant score is then made part of the discretionary score of the RM and the usual process continues.
4. Scoring for measurable scores but non-system driven: In case of measurable roles for which achievement details are non-system driven, employee should be able to input achievement levels (at self appraisal stage) and on inputting such achievement, score should be auto-calculated for that KRA. On employee submitting the self-appraisal page, Rep A should be able to change the achievement level. However, any change has to be accompanied by commentary for such change.

Employee screens:

1. During the end term appraisal cycle, on initial log in, employee should be provided a pop-up

which notifies start of appraisal cycle and that the employee has to complete self-appraisal by a given date

2. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page
3. In the “end term appraisal” page, employee should be able to see the status of the appraisal in following stages in the form of a “donut” and deadline for completion for each of the stage where the application is pending:
 - a. Self appraisal
 - b. With Rep A
 - c. With Rev A
 - d. With AA
 - e. With VH (incase of RM)
 - f. With HR
 - g. Final score
4. On clicking “self appraisal”, employee will be shown following information:
 - a. Basic details of the employee (name, designation, scale, branch, Rep A etc)
 - b. Year for which assessment is being done
 - c. List of KRAs (budgetary, measurable, non-measurable & discretionary parameters) on which he is being assessed
 - d. Weights for each of the KRAs on which he is being assessed
 - e. Targets (in case of measurable and budgetary roles) against the KRAs on which he is assessed
 - f. Achievement (in case of measurable and budgetary roles) against the KRAs on which he is assessed
 - g. System generated score for each of the measurable and budgetary KRAs (Scoring mechanism will be discussed in detail in Scoring module)
 - h. Free text field against each of the KRAs and discretionary parameters on which Employee should be able to fill his views on his performance
 - i. An overall free text field where employee will comment on his overall performance
5. There should be a “Save” option for the employee so that employee can revisit the self appraisal form later
6. On clicking submit on self appraisal page, status should change from “Self Appraisal” stage to “With Rep A” stage. As soon as the application moves forward along the process chain, the status page should refresh with latest stage.
7. On the application status changing to “Final score”, employee should be able to check score and other information w.r.t end term appraisal such as
 - a. Non-discretionary and discretionary scores achieved. Quarterly scores achieved on Non-discretionary non system driven scores and discretionary scores
 - b. Rep A’s comments on employee’s performance along with scores provided by Rep A
 - c. Rev A’s comments, if any, on employee’s performance along with scores provided by Rev A
 - d. Accepting authority’s comments, if any, on appeal disposal

Rep A screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page

2. On clicking the “end term appraisal” page, Rep A will be directed to an interim page where Rep A should be able to choose whether he wants to continue as an “Employee” or as a “Reporting authority”
3. On clicking, “Reporting Authority”, Rep A will be directed to a screen where he should be able to see
 - a. List of all employees reporting to Rep A along with system generated scores for each of the employee
 - b. Whether employee is Budgetary/measurable and non-measurable
 - c. Status of the respective employee appraisal applications
 - i. Self appraisal stage
 - ii. Pending for scoring
 - iii. With Rev A
 - iv. Score changed by Rev A
 - v. With AA
 - vi. With Cohort Chair (incase of non-measurable roles)
 - vii. With HR(incase of non-measurable roles)
 - viii. Scores frozen
4. Rep A should be able to sort and filter the employees using any of the stages as described above. Also, Rep A should be able to click any of the employees and be able to deep-dive into details of those employees as described in the “End term appraisal process”
5. **In case of employees where application is still in “Self Appraisal” stage, Rep A should be able to trigger a reminder mail to the respective employees (bulk triggering can be made possible using other alternatives as well)**
6. In case of “pending for scoring”, Rep A can select any employee and complete scoring as described in “End term appraisal process”. Rep A should be provided with options to save the scores without submitting for Rev A
7. **In case of “scores changed by Rev A”, Rep A should be able to either accept or appeal the score as described in the “End term appraisal process”. Options to be explored for enabling Bulk/multiple approval or appeal facility should be made available to the Rep A**

Rev A screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page
2. On clicking the “end term appraisal” page, Rev A will be directed to an interim page where Rev A should be able to choose whether he wants to continue as an “Employee”, as a “Reporting authority” or as a “Reviewing authority”
3. On clicking, “Reviewing Authority”, Rev A will be directed to a screen where he should be able to see
 - a. List of all employees for whom the scores have to reviewed along with breakup of system generated and discretionary scores
 - b. Reporting authority of respective employee whose scores have to be reviewed
 - c. Status of “Variance check” – i.e. is it on or off
 - d. Appealed by Rep A and pending with AA
 - e. Scores frozen
4. Rev A should be able to sort and filter the employees using any of the stages/parameters as described above. Also, Rev A should be able to click any of the employees and be able

to deep-dive into details of those employees as described in the “End term appraisal process”. On making the changes, if any, Rev A should be able to save the changes in discretionary score with out submitting the same

5. Rev A should be provided with an option to bulk/multi submit the scores

Accepting Authority Screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page
2. On clicking the “end term appraisal” page, AA will be directed to an interim page where AA should be able to choose whether he wants to continue as an “Employee”, as a “Reporting authority”, as a “Reviewing authority” or as an “Accepting Authority”
3. On clicking, “Accepting Authority”, AA will be directed to a screen where he should be able to see list of all pending appeals with following details
 - a. List of all employees for whom the scores have to reviewed along with breakup of system generated and discretionary scores as provided by Rep A and Rev A
 - b. Reporting authority of respective employee
 - c. Status of “Variance check” – i.e. is it on or off
4. AA should be able to sort and filter the employees using any of the stages/parameters as described above. Also, AA should be able to click any of the employees and be able to deep-dive into details of those employees as described in the “End term appraisal process”.

Cohort Chair screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page
2. On clicking the “end term appraisal” page, employee will be provided another link titled “Cohort chair” which will direct the employee to cohort chair page which displays following information
 - a. List of employees for whom scoring is to be freezed and scores given by Rep A for those employees
 - b. List of Rep As who have to be invited for cohort chair meetings
 - c. Cohort against which the employee belongs
3. Cohort chair should be provided with a trigger to request for “cohort chair” meeting with a notification mail to regional, zonal and central HR teams
4. On completion of “Cohort chair” meeting, Cohort Chair will be able to mark a particular cohort as completed i.e scores frozen.

Vertical head screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “end term appraisal” page
2. On clicking the “end term appraisal” page, employee will be provided another link titled “Inputs for RM” which will direct the employee to RM appraisal page which displays following information
 - a. List of RMs for which form is to be filled (Name and location should be displayed)
 - b. Status of each forms of each of the RMs (i.e. not started, started, submitted)

VH should be able to filter and sort basis the above the paramters

3. VHs should be able to save the forms without submitting it

HR screens

1. This is an administrative page for running the “end term appraisal” process. Adequate checks and controls should be in place so that work flows can be appropriately delegated within the HR team. Stakeholders within the HR team who will be working on the end term appraisal process are:
 - a. HR head for kick starting the process of end term appraisal
 - b. Central HR team for tracking countrywide progress of end term appraisal process
 - c. Zonal HR team
 - d. Regional HR teams
2. On the home page of “end term appraisal”, HR should be able to see following statistics:
 - a. % of employees for whom end term eval and discussion with Rep A is completed
 - b. % of employees where end term eval is pending for discussion
 - c. % of employees where end term eval is pending with employee
 - d. % of employees where end term eval is pending with Rep A or Vertical head
 - e. Median employee score
 - f. Grade curve with an option to choose cohort in the form of a dropdown – marks or percentile at each cutoff should be highlighted
3. After the initial log in, HR should be provided with a link which will direct HR to a page where HR will be able to see (and download) the following information:
 - a. List of zones with no. of employees
 - b. No. of employees where scores are frozen in each of the zones (along with completion %)
 - c. No. of employees where self appraisal is pending
 - d. No. of employees where Rep A scoring is pending
 - e. No. of employees where Rev A reviewing is pending
 - f. No. of employee where AA appeal resolution is pending
 - g. No. of employees where Cohort scoring is pending
 - h. No. of employee where scores are to be uploaded by HR
4. HR should be able to filter the zones using any of the parameters above. Further, Central HR should be able to deep dive into regions, branches & employees in any of the parameters if need be. However, Zone/Regional HR should be able to deep-dive only for their respective zones/regions and will not be able to see others’ performance
5. Central HR can set grade curve. A separate screen to this extent should be provided. On the home screen of grade curve sheet, HR should be able to see the grade with an option to see grade curve of any cohort with marks or percentile at each cutoff. On this screen, central HR can upload the excel sheet on what are the cutoffs for each grade. The cut off can be either relative score (i.e. top 10%, top 20% etc) or an absolute score (i.e. 90 marks, 80 marks etc). On such upload, grade curve should be reset basis the new cutoffs and HR should be able to see the same on making the upload (selecting cohort option should still be present)
6. Central HR should be provided with a trigger to release scores to all employees where scores are frozen. Trigger can be individual, group, multi employee or bulk.
7. Central HR team should be provided with a screen to upload the scores of non-measurable

employees after completion of cohort chair meetings

8. Central HR team should be provided with a screen to upload final scores/grades incase of appeal by employee

Mid-term review process flow

Mid-term review is meant to give employees an assessment of their performance, strengths and weaknesses they have to work on so that the targets are achieved at the end of the year. Mid-term review can happen on quarterly basis (except for last quarter where only end term happens). Review for a particular quarter happens after the completion of that quarter and at the beginning of next quarter i.e. mid-term review for Q1 will happen at the beginning of Q2.

At the beginning of every quarter, a notification mail will be sent to all employees (HR should be able to select category of employees, such as branch and non-branch employees, for whom the mail has to be generated) stating that they are eligible for mid review. On logging in at the beginning of every quarter (except for the 1st quarter), employee will be provided with a pop-up which states that employee is eligible for mid review of his performance and the same can be accessed through “mid-term review” page.

On receipt of mail, employees should be able to click open the link and be directed to the self-appraisal page where he will be shown following information:

1. Basic details of the employee (name, designation, scale, branch, Rep A etc)
2. Period for which assessment is being done
3. List of KRAs (budgetary, measurable, non-measurable & discretionary parameters) on which he is being assessed
4. Weights for each of the KRAs on which he is being assessed
5. Targets (in case of measurable and budgetary roles) against the KRAs on which he is assessed
6. Achievement (in case of measurable and budgetary roles) against the KRAs on which he is assessed
7. System generated score for each of the measurable and budgetary KRAs (Scoring mechanism will be discussed in detail in Scoring module)
8. Restricted number field (with min and max constraints) against KRAs which are part of non-discretionary parameters but score not driven by system
9. Free text field against each of the KRAs on which Employee should be able to fill his views on his performance
10. An overall free text field where employee will comment on his overall performance. Free text field should be divided into multiple sections viz-a-viz details of achievements, details of areas for development and support needed from Rep A.

Employee will fill in his view on his performance in the free text field and submits the application. If self-assessment is not completed with in 10 days from the date of process trigger (i.e. date on which the notification mails are sent out), then employee would be deemed to have completed the self-appraisal with no comments.

On employee submitting the self-appraisal form, Rep A will receive a notification mail stating that a given employee has completed his self appraisal and that now Rep A can start mid term review. However, an option should be provided to the Rep A requesting the employee to complete self assessment.

On clicking the link in the self-appraisal completion notification mail, Rep A should be directed to the page where following information is displayed:

1. Employee information (name, scale, designation, roles, etc)
2. Overall system generated score of the employee
3. List of KRAs (incl. discretionary parameters), weights, targets and achievements against the KRAs
4. Employee comments on his performance against each of the KRAs
5. A free text field against each of the KRA for Rep A to provide his/her comments. Free text field should be divided into multiple sections viz-a-viz details of achievements and details of areas for development
6. An overall free text field where Rep A will comment on the overall performance of the employee. Free text field should be divided into multiple sections viz-a-viz details of achievements and details of areas for development

Rep A has the option to provide comments against each of the KRAs and on overall performance of the employee. Once details are filled in and submitted by Rep A, a notification mail will be generated for the employee stating that Rep A has provided comments on employee's performance.

Contingencies 1: Mid-term appraisal for “non-measurable roles”

In case of non-measurable roles, the process remains same as measurable roles process.

Contingency 2: Regional manager appraisal and scoring

In case of Regional Manager scoring, the usual process as mentioned in End term appraisal process will continue.

Employee screens:

1. During the mid term appraisal cycle, on initial log in, employee should be provided a pop-up which notifies start of appraisal cycle and that the employee has to complete self-appraisal by a given date
2. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “midterm appraisal” page
3. In the “mid term appraisal” page, employee should be able to see the status of the appraisal in following stages in the form of a “donut” and deadline for completion for each of the stage where the application is pending:
 - a. Self appraisal
 - b. With Rep A
 - c. With Vertical Head (incase of certain employees such as RM/ZM)
 - d. Self-appraisal completed
4. On clicking “self appraisal”, employee will be shown following information:
 - a. Basic details of the employee (name, designation, scale, branch, Rep A etc)
 - b. Year for which assessment is being done
 - c. List of KRAs (budgetary, measurable, non-measurable & discretionary parameters) on which he is being assessed
 - d. Weights for each of the KRAs on which he is being assessed
 - e. Targets (in case of measurable and budgetary roles) against the KRAs on which he is assessed

- f. Achievement (in case of measurable and budgetary roles) against the KRAs on which he is assessed
 - g. System generated score for each of the measurable and budgetary KRAs (Scoring mechanism will be discussed in detail in Scoring module)
 - h. Free text field against each of the KRAs and discretionary parameters on which Employee should be able to fill his views on his performance
 - i. An overall free text field where employee will comment on his overall performance
5. There should be a “Save” option for the employee so that employee can revisit the self appraisal form later
 6. On clicking submit on self appraisal page, status should change from “Self Appraisal” stage to “With Rep A” stage. As soon as the application moves forward along the process chain, the status page should refresh with latest stage.
 7. On the application status changing to “Self appraisal completed”, employee should be able to check following information with respect to end term appraisal
 - a. Rep A’s comments on employee’s performance against each of the KRAs
 - b. Rep A’s comments on employee’s overall performance along with areas of strength and development
 - c. Vertical head’s comments employee’s performance (in case of RM/ZM)
 - d. A button for employee to acknowledge that he/she had mid eval discussion with Rep A

Rep A screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “Mid term appraisal” page
2. On clicking the “Mid term appraisal” page, Rep A will be directed to an interim page where Rep A should be able to choose whether he wants to continue as an “Employee” or as a “Reporting authority”
3. On clicking, “Reporting Authority”, Rep A will be directed to a screen where he should be able to see
 - a. List of all employees reporting to Rep A along with system generated scores for each of the employee
 - b. Whether employee is Budgetary/measurable and non-measurable
 - c. Status of the respective employee appraisal applications
 - i. With employee
 - ii. Pending with Rep A
 - iii. Mid term eval completed
4. Rep A should be able to sort and filter the employees using any of the stages as described above. Also, Rep A should be able to click any of the employees and be able to deep-dive into details of those employees as described in the “Mid term appraisal process”
5. In case of employees where application is still in “With employee” stage, Rep A should be able to trigger a reminder mail to the respective employees (bulk triggering should be made possible)
6. In case of “pending with Rep A”, Rep A can select any employee and complete mid term feedback as described in “Mid term appraisal process”. Rep A should be provided with options to save the feedback at any point of time

Vertical head screens

1. As a normal procedure, after the log in, employee should be provided with a link on the home page which will direct the employee to “Mid term appraisal” page
2. On clicking the “Mid term appraisal” page, employee will be provided another link titled “Inputs for RM” which will direct the employee to RM appraisal page which displays following information
 - a. List of RMs for which form is to be filled (Name and location should be displayed)
 - b. Status of each forms of each of the RMs (i.e. not started, started, submitted)VH should be able to filter and sort basis the above the parameters
3. On clicking any of the RM name, a pop-up will open where VH will be able to provide comments on RM’s performance. A free text field to this extent should be provided to VH. The free text field should have sections for highlighting areas of strength and areas of development. VHs should be able to save the forms without submitting it

HR screens

1. This is an administrative page for running the “Mid term appraisal” process. Adequate checks and controls should be in place so that work flows can be appropriately delegated within the HR team. Stakeholders with in the HR team who will be working on the end term appraisal process are:
 - a. HR head for kick starting the process of Mid term appraisal
 - b. Central HR team for tracking countrywide progress of end term appraisal process
 - c. Zonal HR team
 - d. Regional HR teams
2. On the home page of “mid term appraisal”, overall bank numbers with respect to following should be displayed:
 - a. % of employees who completed self-appraisal and had discussion with Rep A
 - b. % of employees where self appraisal is still pending with employee
 - c. % of employees where self appraisal is still pending with Rep A/Vertical head
3. After the initial log in, HR should be provided with a link which will direct HR to a page where HR will be able to see (and download) the following information:
 - a. List of zones/regions with no. of employees
 - b. No. of employees where self appraisal is pending
 - c. No. of employees where Rep A scoring is pending
 - d. No. of employees where Vertical head scoring is pending
 - e. No. of employees for whom mid-eval is completed and is not acknowledged by the employee
 - f. No. of employees for whom mid-eval is completed and is acknowledged by the employee
4. HR should be able to filter the zones using any of the parameters above. Further, Central HR should be able to deep dive into regions, branches & employees in any of the parameters if need be. However, Zone/Regional HR should be able to deep-dive only for their respective zones/regions and will not be able to see others’ performance
5. Central HR should be provided with a trigger to release scores to all employees where scores are frozen. Trigger can be individual, group, multi employee or bulk.
6. Central HR team should be provided with a screen to upload the scores of non-measurable employees after completion of cohort chair meetings.

HR ADMIN

Introduction

This module details out various screens which HR must have access to. While many of these screens are already covered in other module BRDs, this note details out additional screens which HR requires access to.

Modules accessible by HR

HR should have access to following modules:

1. Mid term appraisal screens
2. End term appraisal screens
3. Org module
4. Employee recognition
5. Performance history
6. Role/KRA assignment
7. Role modification
8. Target viewing
9. Help center

All the above screens should be made available through “HR admin” section. Further, checks and balances should be in place to ensure that adequate access rights are provided depending on the HR level. For instance, a regional HR should be able to see the details (of employees, process status etc.) only in his/her region for the above modules. Similarly, zonal HR should be able to see details only in his/her zone. Also, system should have the capability to divide the responsibilities i.e. it is not necessary that all the modules are to be seen by a single HR person. They can be divided among multiple HR people along with maker checker concept in place.

Please note that different roles and privileges are provided to HR, so that HR employee log in for managing own PMS should be different from HR logging into dispose of his/her duties as HR.

Key activities performed by HR in various modules

1. Upload of cohorts
2. Upload of roles, KRAs and related targets
3. Upload of cohort chair scores
4. Setting of grade curve

Please note above list is not exhaustive and additional activities can be added and system should have the flexibility to add new process flows or activities.

HR screens

1. After the initial log in, HR should be able to see the following dashboard:
 - a. % of employee completing end term appraisals or mid term appraisals
 - b. % of employees with roles allocated
 - c. No. of employees for whom role closure is to be completed
 - d. Median score of employees
 - e. % of budgetary/measurable role KRAs with no targets prescribed
 - f. Grade curve based on the existing criteria and % of employees at each segment

- g. Total number of employees in region/zone/bank
- h. Status of Cohort workshops and pending cohorts

HR should be able to download the above reports in the form of an excel sheet with details on employees and Rep A at following levels:

- i. Branch level
 - ii. Region level
 - iii. Zone level
 - iv. Bank level
 - v. Cohort level (in-case of grade curve and median scores)
2. HR should be provided with screens for uploading various tables. A separate “Uploads” tab can be provided to this extent. Within the uploads tab, HR should be able to see following segments for uploading data in the form of excel:
- a. Cohort groups
 - b. Cohort chair scores
 - c. KRA master
 - d. Role master
 - e. Targets master
 - f. Audit score upload
 - g. Grade curve cutoffs (can be in the form of marks or % of employees)

Please note above list is not exhaustive. Additional data files can be uploaded.

3. After selecting any of the above segments, a new screen should open that allows HR to upload data in the form of excel sheet. When a new data sheet is uploaded, the old ones should be replaced for all backend calculations or front end display. However, HR should still be able to download the old files.
4. HR should be able to download the above list in the form of a excel sheet. Also, HR should be able to sort the employees by any of the parameters listed above. Further, a search option should be provided for HR to retrieve any particular request basis service request no. and employee id of the person raising the request. HR should be able to come back to this screen at any point of time. A separate “Service Requests” screen may be provided for HR which will display the information as stated above
5. On the home screen itself, HR should be provided with links to following modules:
- a. Mid term appraisal screens
 - b. End term appraisal screens
 - c. Org module
 - d. Employee recognition
 - e. Performance history
 - f. Role/KRA assignment
 - g. Role modification
 - h. Target viewing
 - i. Help center

On clicking each of the screens, HR should be able to follow the steps/screens mentioned in the respective modules.

APPLICATION ADMIN

Introduction

Admin section details out the process flow involved in service requests raised that require System Administrator intervention. There are five main areas where application admin's intervention or usage of application is required:

- Availability monitoring w.r.t uptime and downtime of system
- Adoption and other stats w.r.t no. of concurrent users, peak users, average time spent per session etc
- Incident monitoring w.r.t lack of access to certain pages or data mismatch
- Service requests w.r.t. adding/deleting/modifying content on the application screen
- New user creation or Deletion of existing users

Processes involved for Service Request/incident monitoring

1. Following are examples of admin issues which may be faced by an employee:
 - a. Access to screens
 - b. Upload or download failures
 - c. Viewing screens which are not relevant to employee
 - d. Data or visual inconsistencies i.e. (data not aligning with visual representation)
 - e. Adding/modifying/deleting content from screens incl. pop-ups

Please note that the list above is not exhaustive and additional issues may be faced by user.

2. If an employee faces any issue with respect to navigation or PMS, he/she can log a service request through help center
3. On the home page of help menu, employee should be able to see three separate links
 - a. Raise service request
 - b. FAQs
 - c. See status of live and past service requests
4. On clicking "Raise Service Request", a new popup will open with following dropdown for selecting the module in which service request is being raised
 - a. Mid term appraisal
 - b. End term appraisal
 - c. Org module
 - d. Employee recognition
 - e. Performance history
 - f. Role/KRA assignment
 - g. Role modification
 - h. Target viewing
 - i. HR admin (to be visible only for HR)
 - j. Admin
5. On choosing (j) above, a new pop up screen will open with following fields:
 - a. A drop down for selecting the area of request as mentioned in point 1 above.
 - b. A free text field where employee can elaborate the nature of his/her request

- c. An attachment field where employee can upload any document incl. word, excel, picture, pdf
 - d. Submit button for submitting the service request
6. On clicking "submit" button, a service request number should be shown to the employee which confirms the raising of request. In parallel, a notification mail should be generated for the admin on service request.
7. On clicking the link in the notification mail, the system admin should be directed to the screen where he/she will be able to see the following information:
 - a. Name, scale, designation and id of the employee raising the request
 - b. Request category
 - c. Commentary provided by the employee
 - d. Documents uploaded by employee (system admin should be able to download and view the same)
 - e. Service request number and date of service request
 - f. Close button
 - g. A free text field for system admin to provide comments on closing the service request
8. On resolving the request, system admin can close the request as resolved. No such closure should be allowed with out comments. On closure, a notification mail should be generated to the concerned employee that his/her request has been resolved and he/she can approve/reopen the closed request
9. On clicking the link in notification mail, employee will be directed to a screen where he/she will see following information:
 - a. Name, scale, designation and id of the employee raising the request
 - b. Request category
 - c. Commentary provided by the employee
 - d. Documents uploaded by employee (should be able to download and view the same)
 - e. Service request number and date of service request
 - f. Comments provided by System admin for closing the service request
 - g. Approve button
 - h. Re-open button
 - i. A free text field and attachment field (to be opened only on clicking re-open) for providing comments on re-opening the service request

Processes involved for adding/modifying/deleting user requests

1. Access to all users should be basis the entry in employee generic i.e. only those employees whose id is present in employee generic will have access to performance management system
2. This access rights should be system driven i.e. on adding a new id to the generic, an automated notification mail should be sent to the new employee regarding the user id and access should be basis Single sign on. Similarly, if an employee id is deleted from employee generic, access for that employee should be automatically terminated
3. Performance management system should be able to directly liaison with existing HRMS system for accessing the employee generic on daily basis
4. However, HR should be able to upload excel sheet for identifying cohort chairs and appellate authorities.

Employee screens

1. After initial log in, employee should be able to raise a service request as mentioned in “Process involved for Service request/incident monitoring” section
2. Employee should be able to see the information on previous service requests through Help center section and as per the processes mentioned in “Help Center” module

System admin screens

1. System admin log in should be different from normal employee log in
2. After initial log in, on the home page (preferably at the bottom half), system admin should be shown following information on service requests with broad numbers (i.e. overall requests pending, Requests re-opened and pending) on overall requests pending for resolution:
 - a. Name, scale, designation and id of the employee raising the request
 - b. Request category
 - c. Commentary provided by the employee (first 160 characters)
 - d. Documents uploaded by employee (should be able to download and view the same)
 - e. Service request number
 - f. Status – Pending or Re-opened
3. On clicking the service request number, system admin should be able to see the full details including the commentary
4. System admin can close the service request as mentioned in “process involved” section
5. On the home screen, system admin should be able to see following information too:
 - a. No. of users logged in (visualization with historical trend of last one month – flexibility to change the period by selecting to and from date)
 - b. Peak users logged in over last one week – (should be able to change the period by selecting to and from date)
 - c. No. of Daily and Monthly active users – definition active should be flexible (visualization with historical trend of last one month – flexibility to change the period by selecting to and from date)
 - d. Average user time spent on the application (visualization with historical trend of last one month – flexibility to change the period by selecting to and from date)
 - e. Average no. of times an user visits the application (visualization with historical trend of last one month – flexibility to change the period by selecting to and from date)
6. A separate link should be provided to System Admin to download reports on user statistics as mentioned above. On clicking the link, system admin should be directed to a new screen where he/she will be shown following reports for download:
 - a. No. of users by period (date wise by zone, region, alpha)
 - b. Employee log-in details by period (date, employee id, alpha, region ,zone, log in time, logout time)
 - c. Peak users details by period (date wise by zone, region, alpha) – peak period definition can be daily, weekly, fortnightly, monthly or any other period as the user may define. Daily peak user calculation should be on rolling basis i.e. if report run is weekly peak user report is run for period June 01 to June 30, then the peak users for June 01 should be peak users over last one week i.e. May 26 to June 01, and for June 30, peak users over June 24 to June 30.
 - d. Average time spent by an employee on application over a given period by alpha,

- e. Average no. of times an user visits the application over a given period by alpha, region and zone (employee id, alpha, region, zone)
 - f. Application uptime or availability
 - g. Any other item which may be deemed as important as per SLA
7. Above reports should be shown in the form of a dropdown. Below the dropdown, time period should be provided in two ways
 - a. By period (daily, weekly, fortnightly, monthly, quarterly, half yearly, yearly)
 - b. By date (to and from dates)
 8. On selecting both the above parameters, system admin can click submit and a visualization should first appear basis the data and system admin should have the ability to convert the visualization to table and download the data in the form of a excel
 9. All the base and back end data (incl. historical data) for all the above reports should be stored and system admin should have the option to download the raw data dump through a separate link. The base raw data for each of the reports should be separate and shown in the form of a dropdown with option of choosing to and from date
 10. System admin should be provided with a link to provide notifications to employees on logging in application i.e. on logging in the application, a pop up will open where any information is displayed to employees in the form of a text, image or scroll.
 11. On clicking on the link, admin will be directed to a page where he will be provided following fields:
 - a. Free text field for inputting message
 - b. Upload button for uploading any attachment in the form an image
 - c. Time period during which information is to be displayed (incl. time of display)
 - d. Free text field for system admin to provide comments on approvals obtained for displaying the message
 - i. To contain upload button to allow admin to upload any approvals (doc, image, pdf, email)
 - e. Submit button
 12. On submitting the form, the form will go to a checker who can either approve or reject the same. A notification mail to this extent will go to checker for approval. On clicking the link, checker will be directed to a screen for approval or rejection. The screen shall have following information:
 - a. Message text to be displayed
 - b. Image to be displayed
 - c. Time period during which information is to be displayed (incl. time of display)
 - d. Admin comments on approvals obtained incl. documents uploaded authenticating the display
 - e. Approve or reject button
 13. On clicking reject button, a free text field should open up for the checker to provide comments on reason for rejection. On clicking approve, message text and image will be relayed on the pop-up screen on log-in during the time period over which message is authenticated to be displayed. System should automatically display the information from the given date and time and take it down on the given date and time
 14. On approval or rejection, admin will receive a notification mail that his/her request for message is approved/rejected
 15. Home page of system admin should contain a link for accessing the list of messages that

are:

- a. Currently in display
- b. To be displayed in future
- c. Messages pending authentication
- d. Messages already displayed

The list should contain details on time period over which message is to be displayed, message content and service request number. Admin should be able to sort the above basis any parameter including the time period.

16. System admin can click on any message and a new pop up should be opened with an option to modify or cancel the message notification.
 - a. On clicking Modify button, admin will be able to change the message text, image or time period over which message is displayed. Also, admin should be able to provide comments for modification and upload any supporting documents. On clicking submit after making changes, form will flow to checker for approval. Checker should be able to see the original message, time and image along with modified message, time, image and comments. Checker has the option to either approve or reject the request. As long as modified message is approved or rejected, original message will continue as it is.
 - b. On clicking cancel button, message will no longer will be displayed for the given period. A dual confirmation should be put in place highlighting to the employee that pressing cancel button will invalid the message and no message will be displayed on the given date
17. There can't be multiple messages on a single pop up, and only one pop-up notification is allowed at any point of time.

HELP CENTER

Introduction

This module details out the screens which should be displayed if an employee needs any help with any of the following:

1. Meaning of any term
2. Process involved against the search query
3. How to navigate or access various screens
4. Raise service requests in the system

An employee can either search for the term or click on various modules within the Help center module to know more about any term or process or navigation. Help center should have "search term predictability" capability and should be able to display results basis the relevance and user feedback. Content on the search term should display the meaning of search term, processes involved and how to access the screens relevant for the search term.

Employee Screens

1. After initial log in, a separate link should be provided to every employee that takes the employee to "Help" section
2. On the home page of help menu, employee should be able to see three separate links
 - a. Raise service request
 - b. FAQs

- c. See live and past service requests
3. On clicking “Raise Service Request”, a new popup will open with following dropdown for selecting the module in which service request is being raised
 - a. Mid term appraisal
 - b. End term appraisal
 - c. Org module
 - d. Employee recognition
 - e. Performance history
 - f. Role/KRA assignment
 - g. Role modification
 - h. Target viewing
 - i. HR admin (to be visible only for HR)
 - j. Admin

For (a) to (j), employee will be directed to respective modules for raising the service requests in the appropriate screens as per the process laid out in BRDs of respective modules.

4. On clicking the “see past service requests”, employee will be directed to a new screen where he/she will be able to see the following information:
 - a. Service request number
 - b. Area in which service request is raised
 - c. Date of raising the service request
 - d. Status of service request – pending or resolved
 - e. Date of closure of service request
 - f. First 160 characters of the service request
 - g. Comments provided on closure of service request

On clicking service request number, a new popup will be opened in which full details of the service request will be shown including the full text of service request and attachments if any.

5. On clicking “FAQs”, employee will be re-directed to a new screen where employee should be able to search for any issue on which he/she requires further clarity. A “Search” field should be provided to this extent. The field should have “search-term predictability” capability (similar to Google search where on entering first few letter, search terms are suggested). On the home page of FAQ, application should display most commonly used search terms, trending search terms, most commonly used links etc.
6. Basis the search term, system should be capable of producing search results upto a maximum of 10 per page with most relevant (along with those which are voted to be most useful) shown at the top.
7. On clicking any of the result, a new pop-up should open where employee should be provided two distinct pieces of information:
 - a. Meaning of the search term and process flow involved around the query employee has raised
 - b. Path for accessing and using screens
8. A user feedback system should be put in place on the quality of search results. The feedback system will be in the form of drop down with four distinct categories of satisfaction

level:

- a. Results do not match with my question
- b. Results only partially match my question
- c. Results answer my query to a large extent
- d. Results are exactly what I am looking for

Also, two free text fields should be provided for employee – one to provide Query term used, and second a free text field for providing any additional comments. All such feedback submissions should be stored in the backend for further analysis at later point of time for making the FAQ section more robust. System admin should be able to download this report through reports section with details on

- a. Search term used
 - b. User feedback received
 - c. User comments, if any
 - d. Date of search query
9. Alternatively, on the home page of FAQs section, different module sections can be provided to employee where he will be able to click and deep-dive into each section for further clarity.

Part II: Development, implementation and support of PHP based web applications:

- a. **Target setting process:** The bank intends to implement & maintain Target Setting Tool for running the annual target setting exercise. The tool should support setting of targets / budget at bank level and cascading of the same to various levels (e.g. bank to zone, zone to region, region to branch, account level etc.). Target Setting Tool should be able to set targets on various parameters, run validations, integrate workflows, read data from various sources and cascade the final targets till branch officer level within set timelines. The tool should be a web application, which can be accessed by various officers across locations. The tool should have appropriate role accesses to incorporate workflows and checks & balances. A detailed list of activities to be performed by the target setting tool is provided below:

Functional requirement	Description
Periodic target setting at different hierarchy levels	Application should be able to support target setting on yearly/half yearly/quarterly/monthly basis for whole bank, vertical, zone, region, branch, officer or account level
Target setting on more than one parameter	Application should be able to support target setting on more than one parameter for different units/officers i.e. target setting can be done on Current account deposits, saving account deposits, advances, profitability etc. (list is only indicative not exhaustive)
Ability to add/modify/delete target parameters	Application should be able to support addition/modification/deletion of target parameters so that it is flexible enough to suit business needs.

Ability to add/modify/delete target setting logic	Application should be able to support addition/modification/deletion of target setting logic. For instance, target setting for "Total Deposits" can be changed from "sum of Current deposits, savings deposits, term deposits" to "sum of current deposits, savings deposits, retail term deposits and other term deposits". Application should be able to support these changes whenever they arise
Ability to upload excel files for targets on target parameters	Application should be able to support upload of excel files (instead of web inputs) from which final targets are read and are automatically fed in relevant fields of target setting.
Flexibility in data input for targets	Application should be able to support target setting both in "absolute number" form and "% growth" form. For instance, target setting for "Total deposits" can be either of two ways 1. Total deposits to be atleast Rs 1000 crs at the end of the year 2. Total deposits to grow by 25% from the end of last year figure of Rs 800 crs Application should be able to support target setting in both manners. Further, on inputting target in one way, other target should be autopopulated. For instance, incase of above example, if planning officer inputs year end number to be Rs 1000 crs, application should be able to auto-calculate and show that this implies a 25% growth from last year. Similarly, if planning officer inputs 25% growth over last year, application should autocalculate and show that this translates to Rs 1000 crs number at the end of the year
Target setting on different bases	Application should be able to support target setting on different bases. For instance, one of the target setting parameters is "% growth in average advances". While giving target for FY2019, some planning officers may set target setting in any of the two ways: 1. % growth in average advances over full year average of FY2018 2. % growth in average advances over Q4 average of FY2018 Application should be able to support target setting in any of the manner above
Target setting on re-adjusted base	Application should be able to support target setting on a re-adjusted base. For instance, one of the target setting parameters is "% growth in average advances". While giving target for FY2019, some planning officers may want to set targets on a re-adjusted base because of some extra-ordinary factors. If target setting is done on full year or Q4 average in these cases, growth % may be negative. In such cases, application should allow planning officer to input a re-adjusted

	base on which he/she is setting target so that growth % is positive
Parallel target cascading by verticals	Application should be able to support target setting by verticals (incl. central planning) at zonal or regional level for various parameters. For instance, bank has 13 zones and 75 regions. Further, there are business verticals which have overview over various parameters. Application should be able to support scenarios where vertical head may set targets for their respective parameters at zonal or regional level
Target cascading to branches/regions/zones	Application should support target setting by zones for regions, and regions for branches. Further, such target setting should be on monthly/quarterly/yearly basis
Compilation of targets	Application should be able to compile targets set by various verticals and inputs provided by central planning and provide a consolidated view targets at bank level. Further, application should be able to allow the users to drill down upto branch level for any particular target parameter
Codified target splitting between months/quarters	For splitting of targets among months or quarter, some planning officers might follow manual entry for taking care of seasonality, and some planning officers may provide a formula for a particular parameter on how the yearly targets are to be split among quarters and months. For instance, incase of "% growth of average advances", planning officers may input a formula stating that 15% of the the growth comes in 1st quarter, 45% of growth comes by end of 2nd quarter, 70% of growth comes by end of 3rd quarter, and 100% of growth by end of 4th quarter. On inputting such ratio of split, application should be able to split full year target among various quarters in the given ratio. Further, application should support different split ratio for different parameters. Also, planning officer should be able to change such split targets for any particular branch or particular parameter
Ability to make projections - Two level target setting	Application should be able to support make projections and set targets basis the projections made. For instance, target setting for FY2019 (i.e. Apr'18 to Mar'19) starts in Jan'18. Given the start date, planning officers are required to project the Q4 number for FY2018, and then project the full year number for FY2019. Application should be able to support this two step

	target setting process
Integration of historical data	Application should be able to support integration of historical data (atleast last 4 years) for a given target parameter from data warehouse. Further, application should also be able to support manual uploads of historical data incase of exigencies. Historical data can be at bank, vertical, zonal, regional or branch level
Integration of market data	Application should be able to support integration of market data (atleast last 3 years) for a given target parameter in the form of excel uploads. Market data can be at bank, vertical, zonal, regional, district or branch level from multiple sources
Run validations in the form of flags/errors	Application should be able to run multiple checks and validations on targets set for various parameters and display errors/flags. Some of these checks/validations are provided below: <ol style="list-style-type: none"> 1. Sum of account level targets should be equal to officer level targets 2. Sum of officer level targets should be equal to branch/operating unit level targets 3. Sum of branch/other operating unit level targets for a given parameter should be equal to Region level targets 4. Sum of region/other operating unit level targets for a given parameter should be equal to Zone level targets 5. Sum of zone/other operating unit level targets for a given parameter should be equal to vertical/bank level targets 6. Minimum growth for any particular parameter to be a function on historical and market growth rates 7. Maximum growth for any particular parameter to be a function on historical and market growth rates 8. Sequential growth in monthly or quarterly targets 9. Main parameter target should be equal to sum of sub component targets (e.g.: Total deposits targets should be equal to sum of current, savings and term deposits targets) Please note above list is not exhaustive
Ability to revise targets	Application should be able to support revision of targets according to pre-defined rules and processes. These rules and workflows should be in-built in the tool

Change history	Application should be able to show "change history" in terms of target revision. Application should support display/download of such previous targets
Roll up of component level targets	Application should be able to support roll up of component level targets and not allow target setting at certain main components. For instance, total deposits is summation of Current, savings and term deposits. Planning officer can set targets for current, savings and term deposits. On setting such targets, total deposits number should be autopopulated. If the planning officer sets targets for total deposits, then last sub component target should be auto-populated i.e. term deposits in this case.
Data input for assumptions	Application should be able to support data input for assumptions for arriving at some target numbers. For instance, in case of operating profit, planning officers have to make assumptions on yields, cost of funds, HO FTP interest rates, growth rates in expenses etc. Further, these assumptions can be made at zonal, regional or branch level for various parameters
Full flow of P&L	Basis the data input provided, targets set and assumptions provided, application should be able to build full profit and loss account and arrive at operating profit. Planning officers should be able to change any of the non-target parameters in the final output and the operating profit should be accordingly updated
Flexibility to add/modify/delete operating units	Application should support addition of new operating units in the form a zone or region or branch or any other operating unit or an officer or an account. Similarly, it should also allow for change in mapping of branch to region to zone. Further, it should allow for deletion of any branch/operating unit
Centralized access for release of branch level targets	Application should support centralized release of targets once targets are set in zone, region or branch level. For instance, on final targets for zone, central planning should be able to release targets to all zones in one go. While iterations can happen on targets, only central planning is empowered to release and communicate final targets to verticals/zones/regions/branches/other operating units
Flexibility to have dual mapping of targets	Some targets require dual mapping between different units/officers. For instance, % growth in mortgage loans can be given to both branches and other operating units such as Specialized Mortgage Stores (SMS). While arriving at the region's total growth target, application should be able to eliminate duplication

To-do or reminders	Application should be able to generate to-do reminder mails to concerned verticals/planning officers for completion of target setting. Further, these mails should be automated based on a pre-defined events and escalation matrix.
Notification mails	Application should be able to generate notification mails to various units incase of any change or modification in targets. Similarly, such notifications should be made available even at the time of initial target setting
Role based access	Application should be able to support role based access. For instance, while central planning can set and see targets for any operating unit and for any parameter, Vertical heads will be able to see targets only for their parameters until branch level. Similarly, while zone can set and see targets for any branch in its scope, a region will be able to set and see targets only for branches in its scope.
Ability to support workflows	Application should support work flows where targets move from vertical to central planning to zone to region to branches. Final targets at any level are to be validated by central planning with sub-validation approval by other units. For instance, branch level targets will be set by regions, validated by zones and finally validated by Central planning. These workflows (along with other workflows incl. initiations, revisions) have to be built into application
MIS	Application should be able to download multiple MIS reports such as summary of all (or selected) targets at bank/vertical/zone/region/branch level, parameter's (or selected parameters') targets at bank/vertical/zone/region/branch level
Scenario analysis	Application should be able to develop scenario analysis basis changing assumptions on different parameters.
Ability to build dashboards	Application should be able to support various dashboards (tabular and visual form) w.r.t completion status, stage of planning process etc.

b. Performance dashboards and analytics for Corporate Banking: The Bank intends to implement & maintain Tool for performance evaluation of corporate banking dept. The tool should support performance review of corporate banking vertical and drill down view to various levels (e.g. corporate banking vertical to corporate branches, branches to relationship managers etc.). The tool should be able to show graphical performance dashboards and deep-dive view on each of the KRAs. It should be able to run validations, integrate workflows and read data from various sources. The tool should be a web application, which can be accessed by various officers across locations. The tool should have appropriate role accesses to incorporate workflows and checks & balances. A detailed list of activities to be performed by the corporate banking performance evaluation tool is

provided below:

Requirement	Description
Account level target setting/Integration with target setting tool	The tool should be able to provide account level, RM level and branch level target data on various parameters to Target setting tool (web-based tool used by the bank for all targets set in the bank). The tool needs to be closely integrated with the Target Setting tool.
Integration of Corporate and retail INSIGHT tools	The tool should be able to provide account level, RM level and branch level target data on various parameters to Retail INSIGHT Tool (web-based tool used for retail banking). Further, the tool should be able to read data target and actuals data for various parameters and for various operating units from Retail Insight tool. The tool should be able to produce bank level picture of financial performance by combining the data with in the tool and data from Retail INSIGHT tool. The tool should be able to project appropriate dashboards to the top management on the overall financial performance and allow users to drill down upto account level.
Ability to read actuals from DWH or excels or other corporate banking applications in the bank	The CFS INSIGHT tool requires it to compare the RM's performance on targets over actuals. This requires the tool to read data from various sources such as excels, third party applications/apps, and Data warehouse. The tool should be able to read it at account level for various parameters
Performance dashboards	Tool should be able to generate appropriate dashboards for various users. These dashboards should be a combination of visualizations, tables and pure text/numbers.
Monthly performance score	Tool should show each employee KRA-wise monthly performance score on a single page.
Score employees performance on various KRAs	Every RM in the bank will be evaluated on various parameters (sometimes at account level). All these parameters have targets. Further, performance against these targets can be measured by reading the actuals data directly from data warehouse, or excels, or third party applications, or direct data input. On such reading of actuals, INSIGHT tool should be able to score the performance of the employee over max allowable marks for that KRA on a predetermined scoring criteria.
Drill down branch level achievement to RM level and account level	The tool should be able to drill down the branch performance on each of the KRA to RM level and then further to account level. This drill down should be available both on targets and actuals. The drill down should show the % achievement levels of targets, and target vs actuals gap. Please note that drill down should be not only on KRA parameters. For every KRA, there will be some

	additional parameters which the tool should be able to show, on drill down, actual performance at branch level, RM level and account level.
Focus areas for each KRA	Tool must support display of tool-tips and focus areas - these will be identified for each KRA based on pre-defined logic
Ranking of branches/employees	The tool should be able to calculate the overall score achieved by each of the RMs and branches and rank them. Further, the tool should also be able to rank the performance of the employee or branch on a particular KRA. The tool should also have flexibility to calculate percentile for each individuals based on the pre-defined group of that individual
Tagging of RMs to accounts	Tool should provide an option for tagging accounts to RMs. This option should not only allow for addition, but also modification and deletion of tagging.
Account management	Tool should provide an option for adding/deleting/modifying accounts. Tool should have adequate checks in place that wont allow duplication of accounts or addition of accounts with out RM tagging.
Role access	Tool should have appropriate role access rights. Some of the examples are 1) branch manager should be able to see only his/her branch's performance but not other branch's. 2) RM should be able to see only his/her team's performance but not other team's performance etc. 3) Central team at BCC should be able to see performance of all branches and its RMs and accounts. 4) Change in RM to account tagging to be done only at central level. 5) Change in accounts to be done only at central level
Workflows management	Tool should be capable of adopting various workflows regarding Setting of targets, approval of the same, change requests etc.
MIS/Reports	Tool should generate various MIS reports at pre-defined intervals. The nature of these reports and formats of these reports will be discussed in detail on on-boarding. Examples of some reports would be branch wise score and achievement of targets, employee wise score and achievement of targets, gap analysis of target achievement etc.
Frequency	Tool should be able to do the performance tracking on daily basis
Integration with retail branch performance evaluation tool for	Corporate banking tool needs to be integrated with the retail branch performance evaluation tool (already developed). This will be used by top management to review the performance of bank

unified bank dashboard	as a whole. There will be a dashboard for overall bank, with further drill-downs to corporate banking screens / retail banking screens.
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2. Product Presentation and Demonstration Criteria: Major criteria for demonstration of the solution are as per follows (but not limited to):

- a) Front-end portal and user interface
- b) Performance dashboards
- c) Reporting and analytics for a detailed deep-dive into individual KRAs
- d) Interim feedback discussions
- e) Year-end appraisal process
- f) Role modification/closures
- g) Employee recognition
- h) Event based SMS/MIS/Alerts
- i) Mobility
- j) HR administration portal

3. Training:

The Vendor shall organize for training (familiarization) to the Bank's team as follows:

- a. Three working days training to Bank's Core Team is to be imparted before UAT.
- b. Training of IT team, HR team, administrators and key users to be provided separately in different batches in Modular form. At least 3 full days training is to be given to the users for each group.
- c. Module wise Job cards to be provided (both in Hard and soft copies) to all the trainees along with accounting entry illustrations for each type of transactions, including relevant system generated transactions.
- d. Training to the IT team should cover the system administration viz
 - i. User management
 - ii. Management of server,
 - iii. Management of Operating System,
 - iv. Management of Database,
 - v. Management of Application software
 - vi. Report writing
 - vii. Security & Network management;
 - viii. Backup & Disaster Recovery Operations
 - ix. Troubleshooting etc.
- e. Training to the User Groups of around 50 engaged with various domains of Bank's operations about :
 - i. Functionality available in the Module
 - ii. Parameterization
 - iii. Auditing Techniques
 - iv. Report Generation etc.

4. Hardware Sizing and Performance Required

The Vendor has to provide necessary requirement of infrastructure (Servers / OS / Database / Middleware / integration etc., which are required for the system) as under:

- Data Centre (DC) - Production
- Data Centre (DC) - Test, Development and Training
- Disaster Recovery Site (DR)

The Vendor must provide requirement of optimal size of the Hardware, and any additional infrastructure requirements keeping in view the current average and peak volume of transactions and to extrapolate the same for the full TCO period (i.e. 3 years). Some of the basic parameters (indicative) for sizing are given herein under.

- Number of users → 25,000
- Projected Growth per year - 7%
- System Uptime per month – 99.5%
- Expected PMS application response time:
- Static Page loading like login page - < 2 Seconds
- Executing search on the PMS and rendering search result on application user interface - < 3 Seconds
- Viewing of report of size <1 MB – < 5 Seconds.
- Making transaction on the system report generation - < 4 Seconds

The system should be capable of keeping online data of at least 2 years. Thereafter, the system should provide purging & archival of data. The response time at server end should be always less than 3 second. During the agreement period, if at any stage, it is found that the solution provided by the Vendor is not able to give the requisite performance as per the sizing parameters (i.e. up time above 99.5% and response time < 3 second) the Vendor shall have to provide additional hardware/software without any additional cost to the Bank.

The Data replication should happen from Primary site to DR site on real time to keep them in sync.

- Recovery Time Objective (RTO) – 120 minutes
- Recovery Point Objective (RPO) – 15 minutes

Vendor is also required to conduct at least one DR drill in a quarter, if required by Bank.

5. Onsite Support Charges (for SAP Success Factors)

Onsite Support for the solution will be from 7AM to 11PM and charges to be provided based on the manpower efforts in 2 shifts per day. The Bank has discretion to avail onsite support services and number of support engineers at person day cost given. However, for the TCO purpose 2 person day (2 shift x 1 person) x 365 for each year will be considered. (e.g. In case Bank requires only one person then the cost considered for that person will be Onsite Support Cost provided by the bidder in their commercial divided by 2). The on-site support should extend to services like helpdesk, data backup, user management, database management/maintenance, updation of data, maintaining integrity of data, loading application upgrades, technical support for ad-hoc queries, archival of data etc.

6. Onsite Support Charges (for PHP Development and Support)

The vendor needs to Develop Charges Target setting tool & Performance evaluation tool for Corporate Banking as per the scope mentioned in Annexure 11. Moreover vendor need to support the insight /GEMS tool as per the scope mentioned in Annexure 11. Onsite Support

for the PHP development will be from 10AM to 6PM and charges to be provided based on the manpower efforts in 1 shifts per day. The on-site support should extend to services like helpdesk, data backup, user management, database management/ maintenance, updation of data, maintaining integrity of data, loading application upgrades, technical support for ad-hoc queries, archival of data etc.

7. Helpdesk Requirement

- i. The vendor should have an online support facility through phone, email and SMS alerts by L1, L2 and L3 onsite/remote staff depending on the criticality of the issue.
- ii. Escalation process should be in place for unresolved issues.
- iii. The Vendor support staff should be well trained to effectively handle queries raised by the Bank customer / employees, etc
- iv. The Vendor should have ability to generate MIS reports periodically for example: volume of calls / per day, resolution % per day etc.
- v. The Vendor should have proven experience and expertise in providing 24*7, 365 days help desk support.

8. Performance Requirements:

- Average support call back time - 60 minutes
- Average Problem Response time – 240 minutes
- Number of concurrent user – at least 20,000
- Response time:
 - ✓ Static page- maximum 2Sec.
 - ✓ Form validation from back end - maximum 5 sec

9. Monitoring and Audit

- Compliance with security best practices may be monitored by periodic computer security audits / Information Security Audits performed by or on behalf of the Bank. The periodicity of these audits will be decided at the discretion of the Bank. These audits may include, but are not limited to, a review of access and authorization procedures, backup and recovery procedures, network security controls and program change controls. The Vendor must provide the Bank access to various monitoring and performance measurement systems. The Vendor has to remedy all discrepancies observed by the auditors at no additional cost to the Bank.

For service level measurement, as defined in SLA, data recording is to be captured by the industry standard tools implemented by the Vendor. These tools should be a part of the proposed solution.