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(Results-Framework Document)

for

Department of Public Enterprises

(2012-2013)

Section 1: Vision, Mission, Objectives and Functions

Vision

To evolve policies, reform programs, guidelines and mechanisms towards the establishment of a strong and effective public sector.

Mission

To continuously improve the management of public sector enterprises by professionalizing management, goal setting and reviewing performance, developing a comprehensive Management Information System (MIS), evolving guidelines for corporate governance and social responsibility and strengthening institutional mechanisms for revival of sick units.

Objective

- 1 To enhance Corporate Governance in CPSEs,
- 2 Professionalization of Management at all levels,
- 3 Creation of Board level posts on the Boards of CPSEs,
- 4 Improving efficiency of MoU system
- 5 Counseling, Retraining and Redeployment Scheme (CRR) for separated employees of CPSEs
- 6 Implementation of CSR Policy
- 7 Collection and maintenance of information on key areas of the functioning of CPSEs
- 8 Settlement of commercial disputes between CPSEs through Permanent Machinery of Arbitration
- 9 Extending support to states for introducing Performance Monitoring System
- 10 Revision of periodic Dearness Allowance orders for both IDA and CDA pattern of pay scales employees of CPSEs
- 11 Assessing Growth in CPSEs as a whole

Functions

- 1 Co-ordination of matters of general policy of non-financial nature relating to public sector enterprises.
- 2 Formulation of policies, pertaining to public sector enterprises, in areas like board structures, personnel management, performance improvement, financial management, wage settlement, etc.
- 3 Conferring and review of Maharatna, Navratna and Mini Ratna status to CPSEs.
- 4 Policy relating to delegation of powers to Board of Directors.
- 5 Policy relating to deputation of Government officers to public sector enterprises.
- 6 Publication of the annual survey of CPSEs known as Public Enterprises Survey.

Section 1: Vision, Mission, Objectives and Functions

- 7 Memorandum of Understanding (MoU) between the public sector enterprises and the administrative Ministries/ Departments.
- 8 Policy relating to Counselling, Retraining and Redeployment Scheme (CRR) for rationalized employees of CPSEs.
- 9 Policy relating to Board for Reconstruction of Public Sector Enterprises (BRPSE).
- 10 Policy relating to reservation of posts in the public sector enterprises for certain classes of citizens
- 11 Settlement of disputes through Permanent Machinery of Arbitration (PMA) among Public Sector Enterprises and between Public Sector Enterprises and government departments except disputes relating to tax matters.
- 12 Matters relating to International Centre for Promotion of Enterprises (ICPE) and Standing Conference of Public Enterprises (SCOPE).

Section 2: Inter se Priorities among Key Objectives, Success indicators and Targets

Objective	Weight	Action	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	Very Good	Good	Fair	Poor
						100%	90%	80%	70%	60%
[1] To enhance Corporate Governance in CPSEs,	4.00	[1.1] Assessment of CPSEs on the basis of their compliance with guidelines on corporate governance	[1.1.1] Grading of the CPSEs for the year 2011-12	Date	4.00	28/02/2013	15/03/2013	20/03/2013	25/03/2013	30/03/2013
[2] Professionalization of Management at all levels,	8.00	[2.1] Appointment of Non-official Directors dispatch of approved panels within 60 days by the Department	[2.1.1] Cases disposed off within the stipulated period	%	2.00	100	90	80	70	60
		[2.2] Role and responsibilities of non-official Directors.	[2.2.1] Release of finalized job description regarding role and responsibilities of non-official Directors.	Date	6.00	31/12/2012	31/01/2013	28/02/2013	15/03/2013	31/03/2013
[3] Creation of Board level posts on the Boards of CPSEs,	2.00	[3.1] Analysis and approval of the proposal of concerned Administrative Ministries	[3.1.1] Cases disposed of within prescribed time limit(60 days)	%	2.00	90	80	70	60	50
[4] Improving efficiency of MoU system	26.00	[4.1] Holding negotiation meetings with CPSEs and administrative Ministry and finalize MoU Target	[4.1.1] Finalisation of minutes of Task Force meetings of CPSEs which submit draft MoU by target date	Date	14.00	20/03/2013	22/03/2013	24/03/2013	26/03/2013	28/03/2013
		[4.2] Submission of MoU 2011-12 final scores and rating to High Power Committee (HPC)	[4.2.1] Submission to Cabinet Secretary the file containing final MoU score and rating of CPSEs as evaluated by respective Task Force Group.	Date	4.00	30/11/2012	15/12/2012	31/12/2012	15/01/2013	31/01/2013
		[4.3] Finalization of MoU Guidelines to CPSEs and Administrative Ministries	[4.3.1] Circulation of MoU guidelines	Date	2.00	15/11/2012	30/11/2012	31/12/2012	31/01/2013	28/02/2013

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Objective	Weight	Action	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	Very Good	Good	Fair	Poor
						100%	90%	80%	70%	60%
		[4.4] Revamping of MoU website	[4.4.1] Launch of revamped website	Date	2.00	15/02/2013	28/02/2013	10/03/2013	20/03/2013	31/03/2013
		[4.5] External evaluation of the MoU system	[4.5.1] Commissioning of evaluation	Date	2.00	31/12/2012	31/01/2013	28/02/2013	15/03/2013	25/03/2013
			[4.5.2] Receipt and examination of Report	Date	2.00	28/02/2013	15/03/2013	20/03/2013	25/03/2013	31/03/2013
[5] Counseling, Retraining and Redeployment Scheme (CRR) for separated employees of CPSEs	6.00	[5.1] Coverage of VRS Optees	[5.1.1] No. of VRS optees covered	No.	5.00	8000	7500	5800	5000	4000
		[5.2] Broad-base coverage by associating agencies and setting up Employees Assistance Centres (EACs) in places not yet covered under CRR	[5.2.1] Identification of agencies and setting up of EACs	Date	1.00	15/08/2012	30/08/2012	15/09/2012	30/09/2012	15/10/2012
[6] Implementation of CSR Policy	3.00	[6.1] Review of efficacy of CSR hub and follow up action.	[6.1.1] Issue of Revised Guidelines	Date	3.00	31/12/2012	15/01/2013	31/01/2013	15/02/2013	28/02/2013
[7] Collection and maintenance of information on key areas of the functioning of CPSEs	16.00	[7.1] Publication of PE Survey 2011-12	[7.1.1] Placing of the PE Survey 2011-12 in Parliament	Date	12.00	28/02/2013	31/03/2013	--	--	--
		[7.2] Generating information on the performance of CPSEs	[7.2.1] Posting survey data in a user friendly format on website for 2010-11 PE survey	Date	4.00	30/04/2012	15/05/2012	30/05/2012	15/06/2012	30/06/2012
[8] Settlement of commercial disputes between CPSEs through Permanent Machinery of Arbitration	5.00	[8.1] Disposal of overdue Arbitration cases	[8.1.1] Disposal of cases by 31.3.2013 (excluding subjudice cases)	%	5.00	75	65	55	45	35
[9] Extending support to states for introducing Performance Monitoring System	2.00	[9.1] Identifying states for sensitizing for adoption of MoU system in SLPE	[9.1.1] No. of new States Agreeing in principle.	No.	2.00	5	4	3	2	1

Section 2: Inter se Priorities among Key Objectives, Success indicators and Targets

Objective	Weight	Action	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	Very Good	Good	Fair	Poor
						100%	90%	80%	70%	60%
[10] Revision of periodic Dearness Allowance orders for both IDA and CDA pattern of pay scales employees of CPSEs	3.00	[10.1] Issue of DA orders in respect of IDA/CDA pattern employees of CPSEs	[10.1.1] Issue of orders within 5 working days after receipt of official orders	No.	3.00	6	5	4	3	2
[11] Assessing Growth in CPSEs as a whole	10.00	[11.1] Gross Margin.	[11.1.1] Increase registered	%	2.00	5	4	3	2	1
		[11.2] Turnover	[11.2.1] Increase registered	%	2.00	5	4	3	2	1
		[11.3] Note on analysis on key issues-R&D, CSR, Corporate Governance and sustainable development, increase in profit of profit making CPSEs and Reduction of loss of loss making CPSEs	[11.3.1] Finalization of the note	Date	6.00	31/12/2012	31/01/2013	28/02/2013	15/03/2013	25/03/2013
* Efficient Functioning of the RFD System	3.00	Timely submission of Draft for Approval	On-time submission	Date	2.0	05/03/2012	06/03/2012	07/03/2012	08/03/2012	09/03/2012
		Timely submission of Results	On- time submission	Date	1.0	01/05/2012	03/05/2012	04/05/2012	05/05/2012	06/05/2012
* Administrative Reforms	6.00	Implement mitigating strategies for reducing potential risk of corruption	% of implementation	%	2.0	100	95	90	85	80
		Implement ISO 9001 as per the approved action plan	Area of operations covered	%	2.0	100	95	90	85	80
		Identify, design and implement major innovations	Implementation of identified innovations	Date	2.0	05/03/2013	06/03/2013	07/03/2013	08/03/2013	09/03/2013
* Improving Internal Efficiency / responsiveness / service delivery of Ministry / Department	4.00	Implementation of Sevottam	Independent Audit of Implementation of Citizen's Charter	%	2.0	100	95	90	85	80
			Independent Audit of implementation of public grievance redressal system	%	2.0	100	95	90	85	80

* Mandatory Objective(s)

Section 2: Inter se Priorities among Key Objectives, Success indicators and Targets

Objective	Weight	Action	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	Very Good	Good	Fair	Poor
						100%	90%	80%	70%	60%
* Ensuring compliance to the Financial Accountability Framework	2.00	Timely submission of ATNs on Audit paras of C&AG	Percentage of ATNs submitted within due date (4 months) from date of presentation of Report to Parliament by CAG during the year.	%	0.5	100	90	80	70	60
		Timely submission of ATRs to the PAC Sectt. on PAC Reports.	Percentage of ATRS submitted within due date (6 months) from date of presentation of Report to Parliament by PAC during the year.	%	0.5	100	90	80	70	60
		Early disposal of pending ATNs on Audit Paras of C&AG Reports presented to Parliament before 31.3.2012.	Percentage of outstanding ATNs disposed off during the year.	%	0.5	100	90	80	70	60
		Early disposal of pending ATRs on PAC Reports presented to Parliament before 31.3.2012	Percentage of outstanding ATRS disposed off during the year.	%	0.5	100	90	80	70	60

* Mandatory Objective(s)

Section 3: Trend Values of the Success Indicators

Objective	Action	Success Indicator	Unit	Actual Value	Actual Value	Target Value	Projected Value for	Projected Value for
				FY 10/11	FY 11/12	FY 12/13	FY 13/14	FY 14/15
[1] To enhance Corporate Governance in CPSEs,	[1.1] Assessment of CPSEs on the basis of their compliance with guidelines on corporate governance	[1.1.1] Grading of the CPSEs for the year 2011-12	Date	--	--	15/03/2013	--	--
[2] Professionalization of Management at all levels,	[2.1] Appointment of Non-official Directors dispatch of approved panels within 60 days by the Department	[2.1.1] Cases disposed off within the stipulated period	%	--	--	90	--	--
	[2.2] Role and responsibilities of non-official Directors.	[2.2.1] Release of finalized job description regarding role and responsibilities of non-official Directors.	Date	--	--	31/01/2013	--	--
[3] Creation of Board level posts on the Boards of CPSEs,	[3.1] Analysis and approval of the proposal of concerned Administrative Ministries	[3.1.1] Cases disposed of within prescribed time limit(60 days)	%	--	--	80	--	--
[4] Improving efficiency of MoU system	[4.1] Holding negotiation meetings with CPSEs and administrative Ministry and finalize MoU Target	[4.1.1] Finalisation of minutes of Task Force meetings of CPSEs which submit draft MoU by target date	Date	20/03/2011	24/03/2012	22/03/2013	--	--
	[4.2] Submission of MoU 2011-12 final scores and rating to High Power Committee (HPC)	[4.2.1] Submission to Cabinet Secretary the file containing final MoU score and rating of CPSEs as evaluated by respective Task Force Group.	Date	31/01/2011	15/12/2011	15/12/2012	--	--
	[4.3] Finalization of MoU Guidelines to CPSEs and Administrative Ministries	[4.3.1] Circulation of MoU guidelines	Date	--	--	30/11/2012	--	--

Section 3: Trend Values of the Success Indicators

Objective	Action	Success Indicator	Unit	Actual Value	Actual Value	Target Value	Projected Value for	Projected Value for
				FY 10/11	FY 11/12	FY 12/13	FY 13/14	FY 14/15
	[4.4] Revamping of MoU website	[4.4.1] Launch of revamped website	Date	--	--	28/02/2013	--	--
	[4.5] External evaluation of the MoU system	[4.5.1] Commissioning of evaluation	Date	--	--	31/01/2013	--	--
		[4.5.2] Receipt and examination of Report	Date	--	--	15/03/2013	--	--
[5] Counseling, Retraining and Redeployment Scheme (CRR) for separated employees of CPSEs	[5.1] Coverage of VRS Optees	[5.1.1] No. of VRS optees covered	No.	8800	8500	7500	--	--
	[5.2] Broad-base coverage by associating agencies and setting up Employees Assistance Centres (EACs) in places not yet covered under CRR	[5.2.1] Identification of agencies and setting up of EACs	Date	07/05/2010	30/08/2011	30/08/2012	--	--
[6] Implementation of CSR Policy	[6.1] Review of efficacy of CSR hub and follow up action.	[6.1.1] Issue of Revised Guidelines	Date	--	--	15/01/2013	--	--
[7] Collection and maintenance of information on key areas of the functioning of CPSEs	[7.1] Publication of PE Survey 2011-12	[7.1.1] Placing of the PE Survey 2011-12 in Parliament	Date	24/02/2011	31/03/2012	31/03/2013	--	--
	[7.2] Generating information on the performance of CPSEs	[7.2.1] Posting survey data in a user friendly format on website for 2010-11 PE survey	Date	31/08/2010	15/05/2011	15/05/2012	--	--
[8] Settlement of commercial disputes between CPSEs through Permanent Machinery of Arbitration	[8.1] Disposal of overdue Arbitration cases	[8.1.1] Disposal of cases by 31.3.2013 (excluding subjudice cases)	%	--	50	65	--	--
[9] Extending support to states for introducing Performance Monitoring System	[9.1] Identifying states for sensitizing for adoption of MoU system in SLPE	[9.1.1] No. of new States Agreeing in principle.	No.	--	--	4	--	--

Section 3: Trend Values of the Success Indicators

Objective	Action	Success Indicator	Unit	Actual Value FY 10/11	Actual Value FY 11/12	Target Value FY 12/13	Projected Value for FY 13/14	Projected Value for FY 14/15
[10] Revision of periodic Dearness Allowance orders for both IDA and CDA pattern of pay scales employees of CPSEs	[10.1] Issue of DA orders in respect of IDA/CDA pattern employees of CPSEs	[10.1.1] Issue of orders within 5 working days after receipt of official orders	No.	--	--	5	--	--
[11] Assessing Growth in CPSEs as a whole	[11.1]Gross Margin.	[11.1.1] Increase registered	%	--	--	4	--	--
	[11.2]Turnover	[11.2.1] Increase registered	%	--	--	4	--	--
	[11.3]Note on analysis on key issues-R&D, CSR, Corporate Governance and sustainable development, increase in profit of profit making CPSEs and Reduction of loss of loss making CPSEs	[11.3.1] Finalization of the note	Date	--	--	31/01/2013	--	--
* Efficient Functioning of the RFD System	Timely submission of Draft for Approval	On-time submission	Date	05/03/2010	07/03/2011	06/03/2012	--	--
	Timely submission of Results	On- time submission	Date	29/04/2011	01/05/2012	03/05/2012	--	--
* Administrative Reforms	Implement mitigating strategies for reducing potential risk of corruption	% of implementation	%	--	--	95	--	--
	Implement ISO 9001 as per the approved action plan	Area of operations covered	%	--	--	95	--	--
	Identify, design and implement major innovations	Implementation of identified innovations	Date	--	--	06/03/2013	--	--
* Improving Internal Efficiency / responsiveness / service delivery of Ministry / Department	Implementation of Sevottam	Independent Audit of Implementation of Citizen's Charter	%	--	--	95	--	--

* Mandatory Objective(s)

Section 3: Trend Values of the Success Indicators

Objective	Action	Success Indicator	Unit	Actual Value FY 10/11	Actual Value FY 11/12	Target Value FY 12/13	Projected Value for FY 13/14	Projected Value for FY 14/15
		Independent Audit of implementation of public grievance redressal system	%	--	--	95	--	--
* Ensuring compliance to the Financial Accountability Framework	Timely submission of ATNs on Audit paras of C&AG	Percentage of ATNs submitted within due date (4 months) from date of presentation of Report to Parliament by CAG during the year.	%	--	--	90	--	--
	Timely submission of ATRs to the PAC Sectt. on PAC Reports.	Percentage of ATRS submitted within due date (6 months) from date of presentation of Report to Parliament by PAC during the year.	%	--	--	90	--	--
	Early disposal of pending ATNs on Audit Paras of C&AG Reports presented to Parliament before 31.3.2012.	Percentage of outstanding ATNs disposed off during the year.	%	--	--	90	--	--
	Early disposal of pending ATRs on PAC Reports presented to Parliament before 31.3.2012	Percentage of outstanding ATRS disposed off during the year.	%	--	--	90	--	--

* Mandatory Objective(s)

Section 4: Description and Definition of Success Indicators and Proposed Measurement Methodology

1. Grading of the CPSEs for the year 2011-12 (Objective 1 of Section 2): With a view to bring in more transparency and accountability in the functioning of CPSEs, DPE issued guidelines on Corporate Governance in May, 2010 which were made applicable to all CPSEs on a mandatory basis. DPE has developed 30 points parameters on which the compliance on Corporate Governance will be monitored and graded. Based on the Annual Compliance report on Corporate Governance received from CPSEs for the year 2011-12, CPSEs will be graded.
2. Cases disposed of within the stipulated period (Objective 2 of Section 2): Percentage of cases processed, Search Committee recommendation and putting up the proposal to the competent authority within 60 days.
3. Cases disposed of within prescribed time limit (Objective 3 of Section 2): Percentage of cases in processing, Public Enterprises Selection Board (PESB) recommendation and putting up the proposal to the competent authority within 60 days.
4. Monitoring of functioning of CSR Hub (Objective 6 of Section 2) : A National CSR Hub has been created at Tata Institute of Social Sciences (TISS), Mumbai to undertake / facilitate various activities. The activities assigned to the CSR Hub include nationwide compilation, documentation and creation of database, advocacy, research, preparation of panels of implementing organizations/monitoring etc. and these activities need to be accomplished by CSR Hub. DPE will monitor functioning of CSR Hub through half year reports.
5. Disposal overdue cases by 31.3.2013 (excluding subjudice cases - Objective 8 of Section 2): The overdue cases are the number of cases pending as on 1.4.2011.
6. No. of States (Objective 9 of Section 2): No. of States where activities undertaken to sensitize for adoption of MoU system in SLPE.
7. Increased registered; Finalisation of the note (Objective 11 of Section 2): This would be with reference to database of MoU 2010-11 for which evaluation has been completed.

Section 5:
Specific Performance Requirements from other Departments

Department	Relevant Success Indicator	What do you need?	Why do you need it?	How much you need?	What happens if you do not get it?
All Concerned administrative Ministries/ Deptts.	Grading of the CPSEs for the year 2011-12	Furnishing of Annual compliance reports on Corporate Governance by stipulated date with score sheet	CPSE's will be graded according to the marks obtained	Compliance report on 30 parameters	CPSE's will not be graded for compliance to the guidelines on Corporate Governance
Search Committee	Average no. of days taken in processing, Search Committee meeting and putting up the proposal to competent authority	Furnishing of recommendation of Search Committee within 30 days from the date of submissions of proposals by DPE	Putting up the proposals for appointment of non-Official directors to the competent authority	Entire proposals	Proposals would not be processed within scheduled time
PESB	Average no. of days taken in processing, Public Enterprises Selection Board (PESB) recommendation and putting up the proposal to competent authority	Furnishing of recommendation of PESB within 30 days from the date of submissions of proposals by DPE	Putting up the proposals for creation of Board level posts to the competent authority	Entire proposals	Proposals would not be processed within scheduled time

Administrative Ministries/ Deptts.	Finalization of Task Force meetings minutes regarding MoUs with parent CPSEs for 2013-14	Submission of draft MoUs 2013-14 by the CPSE/ administrative Ministry/ Department	For holding MoU negotiation meeting of Task Force to finalise MoU targets 2013-14	Sub-mission of draft MoU 2013-14 in entirety	The Task Force meetings cannot be held in absence of draft MoU and hence minutes of meeting cannot be finalized by target date 31.3.2013.
All concerned administrative Ministries/ Departments	Placing of the PE Survey 2011-12 in Parliament by stipulated date	Directions by administrative Ministries/ Departments to all CPSEs for furnishing information by stipulated date	Preparation of PE Survey 2011-12	All CPSEs data	Delay in placing of PE Survey 2011-12 in Parliament
NIC HQ	Posting survey data in a user friendly format on website	Approval for hosting of data and security clearance	For authenticity and security of data	Based on requirements	Posting of data may not possible
Ministry of Finance/ Labour Bureau, Shimla	Average no. of days taken for issue of orders after issue of orders by Ministry of Finance or issue of Consumer Price Index by Labour Bureau, Shimla	Issue of orders by Ministry of Finance or issue of Consumer Price Index by Labour Bureau, Shimla	To finalize the DA orders in respect of IDA/CDA pattern of employees for CPSEs	Complete orders	Finalization would not be possible

Section 6: Outcome/Impact of Department/Ministry

Outcome/Impact of Department/Ministry	Jointly responsible for influencing this outcome / impact with the following department (s) / ministry(ies)	Success Indicator	Unit	FY 10/11	FY 11/12	FY 12/13	FY 13/14	FY 14/15
1 Ensuring effective Corporate Governance in CPSE towards enhanced transparency and Accountability	Administrative Ministries and CPSEs	CPSEs fully compliant with guidelines on corporate Governance	%	NA	NA	NA	NA	NA
2 Professionalization in CPSE below Board level in a strategic manner that can help in designing a road map to develop Senior Executives working at below Board level	Administrative Ministries and CPSEs	Degree of Professionalization in CPSEs below Board level	%	NA	NA	NA	NA	NA
3 Performance improvement of CPSEs	Administrative Ministries and CPSEs	Enhanced performance increase in Gross Margin of CPSEs	%	NA	5	5	NA	NA
4 Improvement in implementation of CSR in CPSEs	Administrative Ministries and CPSEs	CPSEs compliant with CSR guidelines	%	NA	NA	NA	NA	NA