

Annual Performance Review

Year	2008
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Name of Associate	Vinay Mahajan	Employee Number	10322
Present Position	Expert Statistical Analyst	Since	2008
Division	Pharmaceutical Development	Country	IN
Business Unit/ Department	Oncology Business Unit		

Name of Manager	Vishwanath Iyer
Position	Group Head B & SR Oncology India

Name of Next Level Manager	Lira Parvez
Position	Head - IIS and Oncology BCM

Name of Indirect Manager/Key User	
Company	
Position	

Annual Performance Review

Objectives

Year 2008

Associate	Vinay Mahajan	Manager	Vishwanath Iyer	Department
Position	Expert Statistical Analyst	Position	Group Head B & SR Oncology India	Oncology Global Development
OBJECTIVES	Evaluation ments/Perf. Standards	Criteria;	Measure-	
Key filings and approvals.	Ensure appropriate staffing to support Clinical Pharmacology / Early development with phase I Objectives. The support will ensure high quality and standards that none of the deliverables will be delayed due to data quality or analyses issues for the following programs: Exjade (ICL670A), EPO906A, Tasigna AMN107A, LBH589B, TKI258A, PTK787A, ASA404A, SOM230B, BEZ235A.	Date	Priority No. / %	Self-Appraisal with Rating*
		Year End	40	2+
				<p>Leading the ED project activities from India.</p> <p>Till date delivered good quality outputs, RAP preparation and met the timelines for the following studies by guiding and mentoring the associates:</p> <ul style="list-style-type: none"> - AMN107A studies - LBH589B studies ongoing - ICL670A studies ongoing - EPO906A studies ongoing - RAD001C meta analysis - BEZ235A2101 study IB and ad-hoc analyses for both (CP and ED) - AUY922A2101 study IB <p>BEZ study as Trial Statistician. Preparation of RAP modules is ongoing.</p> <p>Ensured open communication with the team members within B&SR India and global colleagues.</p>
				<p>Manager Appraisal with Rating*</p> <p>Vinay has had an outstanding year in 2008. It was globally accepted that the quality and productivity of the ED team in India was pretty good, and Vinay gets the credit for ensuring that. Vinay had to coach and mentor four new associates, in addition to ensuring the three from last year progressed well, and Vinay managed to do that really well. He also personally ensured the quality by checking all the outputs and correcting errors before they were sent to clinical for review. Finally, Vinay's personal contribution, towards the RAD CRT generation, as well as some of the cross-functional support he has provided make this a truly "exceeding" year in terms of expectations.</p>

				<p>Escalated/resolved issues with the global programmers / validators.</p> <p>Timely reviews of the reports/logs to ensure there are no problems related to quality.</p> <p>Working towards ensuring full workload in India for the ED studies with continuous support from the global.</p>		
Execute major change	<p>Extend the operational support from India (NICCI) around the following :</p> <ul style="list-style-type: none"> Early development with phase I and Clinical Pharmacology: expand standard SR support and develop BIOS support. <p>Ensure development of existing and new associates at NICCI:</p> <ul style="list-style-type: none"> Ensure hiring of senior staff to set up an organization supporting the above 3 domains (ED, FD, GMA). Support implementation of a mentoring program. 	Per Plan	15	<p>Working closely with the program programmer and Trial statisticians to ensure quality and timelines for the activities involved in the allotted projects.</p> <p>Have been involved in the hiring activities to get the suitable people.</p> <p>Coaching and mentoring is continuously on for Onc FD programmers. These trainings are not structured trainings, but happen more in 1-on-1 settings.</p>	2+	<p>Vinay has done a fantastic job in training the associates in CP, which is validated by the maximum number of awards, and promotions being garnered by the ED team.</p> <p>Vinay has also allowed some of his senior associates to mentor the new hires, thereby setting up a very effective mentoring program.</p>
Execute major change	<p>Support to the following initiatives:</p> <ul style="list-style-type: none"> Support development of Standards in Oncology data collection, data validation, 	Year end	15	<p>Have been working on the CP standard programming initiative.</p> <p>Will be supporting RECIST</p>	2	<p>Vinay has been involved in quite a few standardization initiatives, and has continued to do presentations and trainings to pass on his</p>

	<p>and data analysis.</p> <ul style="list-style-type: none"> Contribute to the Standard TLG work stream and develop an OBU guidance document on Methods for reporting oncology data. Contribute to defining quality metrics and assess these within B&SR. <p>Support implementation of the following training process across OBU:</p> <ol style="list-style-type: none"> RECIST guidelines Training of standards on analysis methods Standard Tables & Listings RAP Document – Creation, Revisions & Approval process ED Statistics Training (incl. Bayesian methods for Phase I, and Clinical Pharmacology) CDISC training, detailed training in the STDm and ADAM data models for Bios and SR Quality control/quality assurance of SR deliverables, detailed training in the guidelines for quality review of SR deliverables <p>Support process for the following within B&SR: optimal resource allocation model, RAP timelines to be followed for all trials with standard RAPs for</p>		<p>guidelines and Standard Tables and Listings work streams.</p> <p>Weekly / Bi weekly TC's to update the global colleagues on the projects.</p> <p>Ensuring that every team members success is communicated to the Group Head.</p> <p>Working closely with the Group Head and ensuring that every activity is communicated and escalated if need be.</p> <p>In case of any issue, that is communicated with a possible solution in mind or in case of no resolution available, seek advice from the Group Head.</p>	<p>experience. There were some that he committed to doing that could not eventually be done, for a number of reasons, and Vinay can work on ensuring that those happen in the following year.</p>
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	<p>Phase I and CP trials.</p> <p>Maintain alignment between ED & FD within B&SR in terms of open communication for:</p> <ul style="list-style-type: none"> - ensuring efficient transition of projects from ED to FD - proactively identifying issues and process improvements thru regular communication between B&SR ED and FD. 						
<p>Strengthen B&SR talent pool</p>	<ul style="list-style-type: none"> • Support in identifying strategy to mentor and develop existing and new associates. • Support training of FD associates in basic CP skills to ensure CP support to Ph II/III studies in FD • Strengthen the scientific and leadership skills. Present at ONC Biostat Forum, SR Forum, and external conferences. Attend at least one external conference/training. 	Continuous	10		<p>Presentations in the global CP meetings to share the learning.</p> <p>Have given inputs to the revisions of SOPs and WPs.</p> <p>Have ensured that STL and other standard tools are used to the fullest.</p> <p>Have ensured the study related documentation is in place.</p>	<p>2</p> <p>Though there was no formal training of the FD associates, this was done in an ad-hoc manner. Vinay has continued to pass on his experience and expertise at a number of forums, and been involved with many inter-group activities, with CIS, as well as medical writing.</p>	3
<p>Key filings and approvals : Implement Systems and Processes Which Meet Novartis Quality Standards</p>	<ul style="list-style-type: none"> • Ensure full support of non clinical project initiatives CP Standards 		10		<p>Have supported my colleagues both here in B&SR India as well as off shore in understanding STL both it's features and limitations.</p> <p>Have participated in training of the new associates.</p>	<p>2</p> <p>Vinay has ensured full support to the CP standardization initiative.</p>	2



Increase diversity and inclusion	<ul style="list-style-type: none"> Support initiatives Attend at least 3 meetings conducted by the ASPIRE team 	Year end	10	Have participated in various activities.	2	Vinay has participated in a few GSI activities, however, going forward, Vinay should take the lead role in some of these activities, and this is something I look forward to Vinay taking on.	2
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Objectives discussed and agreed on	Date	Appraisal discussed and agreed on	Mid-Year date:	Year-End date: 2 Feb 2009	Overall Rating
Associate		Associate	<i>Wahajan</i>		1 <input type="checkbox"/> 2 <input checked="" type="checkbox"/> 3 <input type="checkbox"/>
Manager		Manager	<i>Shreevasth</i>	Feb 2, 2009	1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input checked="" type="checkbox"/>
Ind. Manager/ Key User		Ind. Manager/ Key User			1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/>

* 1 = Partially met expectations 2 = Fully met expectations 3 = Exceeded expectations

Performance Review: Values and Behaviors

Year **2008**

Name of Associate

Vinay Mahajan

Name of Manager **Vishwanath Iyer**

Novartis Values & Behaviors		Self-Appraisal with Rating*	Manager Appraisal with Rating*
		Comments (specific examples)	Comments (specific examples)
Result driven	2+	I have tried to meet timelines with ~ 100% quality and have pushed myself and my team for results.	3 Vinay shows outstanding result driven behaviors, consistently striving to be the best, and can be relied on to exceed targets regularly.
Customer/Quality Focus	2	I have ensured that a good quality is being maintained in reporting with minimal errors. Building relation with the trial team so that there is a transparency maintained in any kind of requirements.	2 Vinay has shown good quality focus. However, given his new role of leading the ED team, Vinay should continue to look to enhance his customer focus, and ensure that the customer needs are fully met.
Innovative and Creative	2	Creative ways implemented while training the team to explain work related aspects.	3 This is one of Vinay's core strengths, and he should continue to excel in this behavior. There are many examples in 2008 where Vinay has shown superb innovativeness and creativity.
Competent	2+	Developing competency in resolving queries from local teams so that minimum support is taken from Global teams.	2 Vinay is definitely technically competent. However, in his role as team lead, Vinay needs to develop some of the managerial skills, and this should be his focus going forward.

Leadership	2	I have been leading the ED team to achieve the "targets" set for the year.	2	There are some aspects of leadership, like coaching/mentoring that Vinay does exceedingly well. He should focus on some of the other aspects, like appearing fair and unbiased, and being able to accept mistakes and working on them.
Fast/Action-Orientation/Initiative/Simplicity	2+	Responded to all the requests with good quality and ensured that the desired request is met in time, results in timely delivery.	2+	Speed has always been Vinay's strengths, and clubbed with his initiative, he has displayed a stellar behavior in 2008.
Empowerment/Accountability	2	I have been accountable for the work done by the ED team this year.	3	Vinay has gotten really good in terms of team accountability this year, it was clear to see a marked improvement from previous years. Vinay has now begun to be accountable for his whole team, which is excellent. In addition, Vinay has truly driven empowerment by allowing his senior associates to be responsible for their own studies, and allowing them to mentor new associates.
Commitment/Self-discipline	2	I have been a committed member of the study teams and have contributed to best of my abilities.	2	Vinay has shown very good commitment towards ensuring timelines/deliverable are met. Sometimes, Vinay tends to focus on technical problems which he loves to solve, and loses sight of the big picture, this is something he should continue to improve on.

Mutual Respect/Candor/Trust/Integrity/Loyalty	2+	I have trusted the team to the possible extent. I have been accountable for my own mistakes.	2	Vinay fosters a climate of mutual respect. However, there has been some feedback about bias, and though this may only be a perception, Vinay should work towards dispelling such notions.
Open Communication/Collaboration/Compassion	2	I have communicated timely in a consistent manner. I have been open to the criticism on the shortcomings.	2	Agreed.

* 1 = partially met 2 = fully met 3 = exceeded

Overall Self Appraisal (Rating)*

2

Overall Manager Appraisal (Rating)*

2

Novartis Values & Behaviors

Results driven

- Can be relied upon to exceed targets successfully
- Does better than competition
- Pushes self & others for results while staying in bounds of ethical and legal standards

Customer / Quality Focus

- Assigns highest priority to customer satisfaction
- Listens to customer & creates solutions for unmet customer needs
- Establishes effective relationships with customers and gains their trust & respect

Innovative & Creative

- Comes up with a lot of new & unique ideas
- Challenges "status-quo": does not settle for the first right idea

Empowerment/Accountability

- Sets clear performance targets and a well defined "playing-field" with corresponding personal accountability
- Defines clear-cut, flexible involvement process (involves the right associates in the right situation at the right time)
- Fully utilizes diversity of team-members to achieve superior business success
- Shares consequences of results with all involved
- Fully cooperates with all organizational compliance initiatives and legal requests, as well as motivates others to behave in a way that ensures adherence to the same

Commitment/Self-discipline

- Makes new connection work by seeing relationships between seemingly disconnected elements, synthesizes odd combinations
- Fully supports and implements decisions
- Is 100% committed to achieve agreed-upon targets (strives to achieve the "slightly impossible")

Competent

- Has functional & technical knowledge & skills to successfully perform his/her role
- Pursues targets with a need to finish. Does not give up, especially in the face of adversity

Leadership

- Establishes clear directions and sets stretch objectives
- Aligns and energizes associates behind common objectives
- Champions the Novartis Values & Behaviors. Rewards/encourages the right behaviors and corrects others

Mutual Respect/Candor/Trust/Integrity/Loyalty

- Establishes mutual respect and trust in dealing with others
- Acts and behaves in accordance with his/her words
- Commits to honesty/truth in every facet of behavior and demonstrates ethical and legal conduct
- Keeps confidences, admits mistakes & does not misrepresent self for personal gain

Fast/Action-oriented/Initiative/Simplicity

- Is action-oriented & full of energy to face challenging situations
- Is decisive, seizes opportunities and ensures fast implementation
- Strives for simplicity & clarity. Avoids "bureaucracy"

Open Communication/Collaboration/Compassion

- Communicates in open, clear, complete, timely, and consistent manner
- Listens effectively and invites response
- Genuinely cares for people & demonstrates empathy
- Is a team player

Annual Performance Review - Manager
Year 2008
Name: Vishwanath Iyer

Position: Group Head B&SR OBU-India

Overall Performance Evaluation

3 Exceeded expectations	SUPERIOR RESULTS, UNSATISFACTORY BEHAVIORS 3.1	SUPERIOR RESULTS, GOOD BEHAVIORS 3.2	SUPERIOR RESULTS, SUPERIOR BEHAVIORS 3.3
2 Fully met expectations	GOOD RESULTS, UNSATISFACTORY BEHAVIORS 2.1	GOOD RESULTS, GOOD BEHAVIORS 2.2	GOOD RESULTS, SUPERIOR BEHAVIORS 2.3
1 Partially met expectations	UNSATISFACTORY RESULTS, UNSATISFACTORY BEHAVIORS 1.1	UNSATISFACTORY RESULTS, GOOD BEHAVIORS 1.2	UNSATISFACTORY RESULTS, SUPERIOR BEHAVIORS 1.3
	1 Partially met expectations	2 Fully met expectations	3 Exceeded expectations
NOVARTIS VALUES & BEHAVIORS			

Performance Summary

Vinay's performance in 2008 has been exceptional. He has managed the ED team well, causing global recognition of the increased quality and productivity of the ED team. He has also delivered on some individual contributions, and this has also been outstanding. Vinay seems to be on the right track towards taking his career to the next level. Going forward, Vinay will be greatly helped if he concentrates on enhancing his leadership / management skills, so that he can be an effective leader.

Key Strengths (current and future assignments)

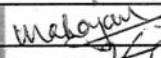
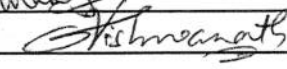
Technical skills / initiative
Quality focus
Empowerment of team / coaching and mentoring

Key Developmental Needs (current and future assignments)

Leadership aspects
Management aspects (time / project management)

Associates Comments

Agreed. I am working towards getting better at the leadership / management aspects.

Date	2 Feb 2009	Signed Associate*	
Date	Feb 2, 2009	Signed Manager	
Date		Signed Next Level Manager	

* Signature by Associate does not necessarily indicate agreement, only review and notification.
If need be, use a blank sheet of paper for additional comments on the appraisal.



Annual Performance Review - Indirect Manager/Key User Year **2008**

User

Name:

Position:

Recommended Performance Evaluation

3 Exceeded expectations	SUPERIOR RESULTS, UNSATISFACTORY BEHAVIORS 3.1	SUPERIOR RESULTS, GOOD BEHAVIORS 3.2	SUPERIOR RESULTS, SUPERIOR BEHAVIORS 3.3
2 Fully met expectations	GOOD RESULTS, UNSATISFACTORY BEHAVIORS 2.1	GOOD RESULTS, GOOD BEHAVIORS 2.2	GOOD RESULTS, SUPERIOR BEHAVIORS 2.3
1 Partially met expectations	UNSATISFACTORY RESULTS, UNSATISFACTORY BEHAVIORS 1.1	UNSATISFACTORY RESULTS, GOOD BEHAVIORS 1.2	UNSATISFACTORY RESULTS, SUPERIOR BEHAVIORS 1.3
	1 Partially met expectations	2 Fully met expectations	3 Exceeded expectations
NOVARTIS VALUES & BEHAVIORS			

Comments

Date

Indirect Manager/Key User

If need be, use a blank sheet of paper for additional comments on the appraisal