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| Annual Performance Review | Year | 2010 |

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| **Name of Associate** | Vinay Mahajan | Employee Number | 10322 |
| **Present Position** | Group Head | Since | July 1, 2008 |
| **Division** | Pharmaceuticals | Country | India |
| **Business Unit/**  **Department** | Oncology /Development | | |

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| Name of Manager | Vishwanath (Mahesh) Iyer |
| Position | Group Head : Oncology Biometrics, India |

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| Name of Next Level  Manager | Lira Parvez |
| Position | Head : Oncology Development Operations India |

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| Name of Indirect Manager/Key User |  |
| Company |  |
| Position |  |

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| Annual Performance Review | Objectives | Year | 2010 |

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| Associate | Vinay Mahajan | | | Manager | | Vishwanath (Mahesh) Iyer | | | Department | | |
| Position | Group Head | | | Position | | Group Head : Oncology Biometrics, India | | | Oncology Development | | |
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| OBJECTIVES | | Evaluation Criteria; Measure-ments/Perf. Standards | Date | | Priority  No. / % | | Self-Appraisal with Rating\* | | | Manager Appraisal with Rating\* | |
| **Advance & individualize the pipeline** | | Ensure appropriate BDM India support for Clinical Pharmacology (CP) and Translational Medicine (OTM) related activities following **key filings and regulatory approvals** (if data supports). The support will ensure high quality and standards that none of the listed filings or approvals will be delayed due to BDM data quality or analyses issues:  **Key filings:**   * SOM230 – Cushing’s Disease (sc) [Q2, 2010 EMEA] and [Q4, 2010 FDA] * LBH589 – Hodgkins * EPO906 – Ovarian [Q2, 2010] * SMS995 (40 mg new diluent)   Strengthen Pipeline across all Phases of development and ensure **key ongoing trials are supported.**   * Advance PI3K (BKM and BEZ), and AUY program to full development * Exjade new formulation trials * ~~AUY922A 2111, 2112~~ * HSP990 * ~~LCL~~ * ~~BEZ235A 2106, 2108~~ * LBH589B: PK pooling, ECG meta analysis, CRTs for submission * LBH589X 2101, 2105 * TKI258A 2105, 2107, ~~2120, 2121, 2122, 2123~~ * Tasigna C series | 31-Dec-2010 | | 50 % | | Till date delivered good quality outputs, RAP preparation and met the timelines for the following projects by guiding and mentoring the associates:  **Key filings:**  - LBH589 submission activities (CSPD) and study level activities  - EPO906A 2121 ongoing CP study  - SOM230B/C legacy studies  - SMS995 submission studies  **Key ongoing trials are supported:**  - ICL670A CP old formulation  - AMN107C (Tasigna) CP  - RAD001X  - PKC CP  - PI3Kinase program for CP and OTM studies  - AUY922A OTM study level activities IB updates, French HA questions  - TKI258A OTM studies  **Wrap up of the older studies:**  - AEE788A  - PTK787A  The study teams have done an extremely good job of reporting, co-ordinating the deliverables on time with good quality and leading the study teams.  The RAP development and the FIR delivery have been done on time.  The data issues have been effectively communicated with the Data management team. The programs to identify the data issues have been shared with the other Line functions to benefit the study teams.  Ensured open communication with the team members within BDM India and global colleagues.  Escalated/resolved issues with the global programmers / validators where ever applicable. Tricky situations in projects like BEZ235A, SOM230B/C, SMS were handled by timely intervention.  Timely reviews of the reports/logs to ensure there are no problems related to quality.  The work load is now split equally well across all sites for the CP studies irrespective of the site.  Contributions to the global estimates (LEx, MAx) for CP and OTM SR groups. | 3 | | Vinay managed both the CP and OTM groups in 2010. This was Vinay’s first year as a Group Head, and Vinay’s performance was strong.  In terms of the reporting and support of the studies, Vinay’s CP team has done a very good job. Vinay himself has supported with timely intervention, trouble-shooting, and clarifying doubts/issues as well as finding solutions, most notably, for the LBH SPK deliverables. All of this has prompted a sense of complete trust in the global team vis-a-vis the involvement of Hyderabad associates as equal partners.  The OTM team, however, was in a state of growth and consolidation over the past year. There is a fair bit of growth that needs to happen in the group, and given Vinay’s continued involvement with this group, this will be something that Vinay will have to manage carefully.  One feedback received from a couple of peers is about a few instances where Vinay’s team missed some timelines, and missed informing the global team about the same in a timely manner. The general feeling is that Vinay is very effective during crises, in a fire-fighting mode, but could plan resources a bit better, and also keep his peers better informed. Also, the general feeling is that Vinay is outstanding with respect to quality and timelines when he has to do something himself, but that his team needs to learn to do this better. As a manager, Vinay’s challenge will be to motivate his team to do so.  With regard to resourcing, there was also some feedback on Vinay’s inputs to the MA2 exercise. This has already been discussed with Vinay during the mid-year and subsequent 1:1’s, and Vinay’s inputs to the 2011 exercise already saw a vast improvement. I fully trust that Vinay will continue to build on this in the future. | 2 |
| **Further strengthen Operational excellence** | | **Support the following activities:**  Compliance:   * Ensure compliance of all training in GCPs and SOPs * Health Authority Inspections: inspection readiness, training and mock inspection   Standards:   * Enhance the sample codes for CP and OTM Oncology Standard Tables & Listings * RAP and VAP timely review   Quality:   * Drive Quality mindset and increase compliance in SR group within BDM India * Support Critical KPI metrics for SR   ADVANCE:   * Support Project ADVANCE as needed * Successful PK strategy in the new systems and provide inputs to solutions for interim analyses, PK merge, data reconciliation and archive pk/pd data as needed   Group integration:   * Alignment between CP, OTM and FD and GMA SR and Bios groups * Support process improvement initiatives as needed   ~~Explore support for Japanese, Chinese PK trials~~  Support BCP’s kept up to date, training performed and successfully tested | 31-Dec-2010 | | 25 % | | Compliance:  - The team has completed the required trainings as per requirement.  - I have put a lot of focus on following processes to keep the team audit ready.  Standards:  - Contributions to various CP and OTM initiatives for standardizing RAPs, programs.  - Murali and Sini co-leading programming teams in increasing efficiency (M8 standardization, STL usage for CP studies, Working with CRO, etc).  - Effective use of new PK macros to reduce the amount of time needed for PK programming.  Quality:  - Overall the output quality has been maintained, but there is a scope for improvement. The quality can be improved by paying more attention to detail. Ensuring the RAPs are correctly understood and followed by the associates. This is work in progress all the time.  - Wherever possible the TPs are reviewing and giving inputs into VAP modules.  ADVANCE:  - The participation is limited to reviewing the training documents till now. In due course the activities should increase on ADVANCE.  Group integration:  - Active participation in various CP initiatives, Hyd specific initiatives.  Chinese trials RAD001X 2104 and 2106 trials will be supported through development and validation. | 2 | | Vinay has contributed strongly to the majority of the initiatives mentioned on the left. Vinay continues to drive a compliance mindset with his team, and his team has been fully compliant.  Vinay contributes quite significantly to the standards group, and this is reflected in his allocation to the SPS group in the new CDRR organization. I trust that Vinay will continue to be very effective in this group.  As mentioned above, the quality in general from Vinay’s team has been good, more so for CP than OTM.  Vinay’s involvement in ADVANCE has been limited, however, I anticipate that with Vinay being assigned to support the SPS group, this is likely to change. | 2 |
| **People/ org / culture / team** | | Hiring:   * Support hire to plan for India Biometrics to 48(+8)   Development:   * Support development and expansion of skills of staff through mentoring, training in accordance with the India 2015 strategy and roadmap   1. 2 lead programmers on CP trials in 2010   2. 1 Trial programmer on OTM trial in 2010   3. 1 Project level programmer on OTM project operational in 2010 * Support develop India BDM 5 year strategic plan & roadmap to meet 2010 targets developed in the India by working on action plans that address key agreed enablers, barriers – specifically lead Leveraging Enablers. Support other areas – like Communication, and Novartis branding for scientific excellence * Create an environment where employees have the means to deliver top performance consistently * Ensure that all my direct reports have a development plan, do a TMS check (at least twice a year) to support this goal   Hyderabad initiatives:   * Support initiatives in response to 2009 GES (rewards, internal processes, management, external focus) * Support in 2010 “technical ladder” initiative related to the Hyderabad Purpose statement initiative   Retention:   * Retention at 95% of 3.2/2.3/3.3, maintain a low turnover rate among 2.2. Target overall regrettable turnover rate < 10% | 31-Dec-2010 | | 25 % | | - Contributions to the Roadmap 2015 and other parts of the overall strategy to grow the group in India.  - As per the Roadmap, the projects are identified for CP lead programmers and trial programmers as follows:  Murali: PI3Kinase  Sini: LBH  Deepak: Exjade  Sridevi: Lead for AUY and LDK and involvement in OBBI activities.  There will be some changes to the assignments with additional role in OBBI and Sini’s departure.  - Co-led the “Communcations” work area.  - I have been involved in the hiring activities to get the suitable people.  - Reading of technical, scientific papers happen in ED team meetings a lot.  Various points discussed in the team meetings apart from routine project related activities:  - FDA label info on various drugs: in order to understand the link between what we do and how it gets presented at the end.  - BKM ASCO presentation  - Papers on  "Industry sponsored trials and positive results", PK concepts, SAS: PROC EXPAND, ODS char, UNIX scripts,  How to present data graphically  - Coaching and mentoring is continuously on for Oncology FD programmers which is more in informal setting.  - Necessary rewards and recognition for associates through various forums (PQS, A&B, Spot awards)  - Coordinating the BRM slide updates for the Oncology group in India.  - Participation in CP F2F, OTM BDM F2F and CDRR F2F.  - 1 person left the company. | 2+ | | Vinay’s contribution to the road-map has been good. He has led certain parts of the communication work-stream, and also has provided quite a bit of significant input to many of the other areas.  There were some delays, and some areas that could be enhanced. The communications work stream, for e.g., had some delays in drawing out the gaps map. In terms of role development of associates, though there were some associates identified to perform “lead programmer” roles, I believe that this has not fully been achieved. Though some of it could have benefited more from increased global response and ownership, I believe Vinay can drive this more efficiently going forward, by identifying specific gaps in skills that need to be filled so that the full “lead programmer” role can be essayed.  On the scientific front, Vinay’s contribution and leadership continues to be excellent. For e.g., Vinay has taken a ken role in support and development of OBBI CDRR contributions. I see this as an area where Vinay and his team from Hyderabad can add a lot of value, and trust that he will continue to drive this. | 2 |

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| Objectives discussed and agreed on | | Date | | | | Appraisal discussed and agreed on | | Mid-Year date: | Year-End date: | Overall Rating |
| Associate |  | | | | | Associate |  | | | 1 🞎 2🞎 3 🞎 |
| Manager |  | | | | | Manager |  | | | 1 🞎 2 ✓ 3 🞎 |
| Ind. Manager/  Key User |  | | | | | Ind. Manager/  Key User |  | | | 1 🞎 2 🞎 3 🞎 |
|  | |  |  |  |  | **\* 1 = Partially met expectations 2 = Fully met expectations 3 = Exceeded expectations** | | | | | |

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| Performance Review: Values and Behaviors | Year | 2010 |

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| **Name of Associate** | Vinay Mahajan | **Name of Manager** | Vishwanath (Mahesh) Iyer |
| |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Novartis Values & Behaviors** | Self-Appraisal with Rating\* Comments (specific examples) | | Manager Appraisal with Rating\* Comments (specific examples) | | | **Result driven** | 3 | - The team has done a great job in meeting the timelines with good quality. There has not been any instance where there was any delay due to our inability to deliver on time.  - There was one mistake in the SMS995L2102 study final deliverables where the lab results on 2 unscheduled visits were not summarized.  - The day to day activities on projects have been managed by associates themselves, which is heading in the right direction with respect to the development of the group.  - There is a lot more awareness on scientific correctness through our greater involvement in submission level activities on LBH, EPO, SOM projects.  - I have been involved in validating the pooling of the PK analysis for the LBH submission which keeps me connected to submissions. | 3 | Vinay continues to drive for results, and coaches his team to do the same. Vinay personally ensures timeliness in delivery, at times stepping in to do the work himself in crunch situations. One the best examples of Vinay’s result driven behavior is the SPK for LBH, and the more recent support by Vinay for the RAD eRPLs. | | **Customer/Quality Focus** | 2 | - Along with me all the associates have taken on themselves to think about the big picture and translating it into better quality and customer focus.  - On SOM, LBH submission activities, AUY IB updates, there are instances of appreciation from the clinical teams for maintaining high quality. | 2 | Vinay’s focus on quality is very good. He routinely gets feedback from his peers that they implicitly trust the work that he does. In terms of customer focus, though, Vinay could be more attuned to the needs of his peers, as well as his customers. There is sometimes a sense that they are not fully aware of the resourcing of associates in India, or of delays in delivery. | | **Innovative and Creative** | 2+ | - Creative ways implemented while training the team to explain work related aspects.  - Some of the SMS99L series studies were outsourced, but decided to analyze them internally so that new associates will develop skills on internal tools like GPS, STL. This will help the team in future to take on lead role in more complex projects.  - I have written VB Program to find the number of pages in a document, VB program to convert a word document into a text file which could be read into a SAS dataset. | 3 | This is an area of Vinay’s strength, especially at a technical level. There have been numerous instances of Vinay’s innovation and creativity, the solutions he has for many of the problems/issues, his focus on graphics to try and answer tough questions, the recent eRPL support in which he wrote a program to take care of the bookmarking for one of the studies, his recent efforts to make re-conciliation of SAEs between clinical and ARGUS databases in addition to the ones he has mentioned. | | **Competent** | 3 | - I have improved my abilities to answer queries from local teams (on technical as well as on people front) so that minimum support is taken from Global teams. When ever there are questions which are unsolved, there are multiple solutions proposed.  - I am better quipped to resolve dead-locks in comparison to last year. | 2+ | Vinay’s competence at a technical level has always been outstanding, and over the past year, Vinay has built up a reputation on the scientific side as well. Vinay has also made significant progress on the managerial front, and this could be an area that he continues to enhance going forward. | | **Leadership** | 2 | - I think I have improved as a leader over the year. I am more comfortable in leading a team and guiding the team as a leader.  - The focus this year is to have second level leaders in say Murali, Sini, Sridevi, Deepak to build the team further. I think I am guiding the team towards the right direction to take on more complex tasks.  - Helped Sridevi in OBBI related programming activities, putting up a presentation | 2 | Vinay has definitely matured as a leader over the last couple of years, including making significant progress in the past year. Vinay has always been considered a leader at the technical level. Vinay should now focus on increasing his leadership visibility at a more strategic level. Vinay should begin to contribute to decisions at the strategic level, and I believe his involvement in the oLT for CDRR, and his involvement with SPS group will allow him to do so.  Vinay also needs to start building a second line of leaders in the groups he is now heading. | | **Fast/Action-Orientation/Initiative/Simplicity** | 2 | - Development of transition plan for Suresh C to move to Bios along with other involved team members. It took 2 months for Suresh to completely move to Bios.  - Responded to all the requests with good quality and ensured that the desired request is met in time, results in timely delivery. E.g. PI3Kinase activities, IB updates on HSP.  - This sometimes meant switching resources from one project to another, re-prioritizing, negotiating on work front. | 2+ | Speed has been one of Vinay’s strengths, and there have been many instances where Vinay has demonstrated this. Vinay also steps in to ensure timely delivery during crunch times, and this amply demonstrates his action orientation. | | **Empowerment/Accountability** | 2 | - Initiative to take on more responsibilities for India BRM slides.  - I have given my team the required amount of responsibility to handle their project and have made them accountable for the same.  - I asked Sudarshan and Nirupama to work with Nassim in getting more responsibilities in PI3K programs. This was appreciated by Nassim, for their willingness to take on more. | 2 | Accountability for Vinay is high, he takes full responsibility of his team deliverables, accepting mistakes when they do happen. Vinay can continue to build more empowerment in the group, and build a second line of senior members, and this can be done with increased empowermment. | | **Commitment/Self-discipline** | 3 | - I am committed to developing associates further to take on more responsibilities.  - I have been a committed member of the study teams and have contributed to best of my abilities. | 3 | As mentioned, Vinay is fully committed, not just to developing associates, but also to provide increased value, and better scientific contribution. | | 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 | In general, Vinay is highly trusted in the organization for his technical expertise, and his commitment to do the right thing scientifically. Vinay can further enhance this by being more transparent in his resourcing | | **Open Communication/Collaboration/Compassion** | 2 | - I have communicated timely in a consistent manner. I have been open to the criticism on the shortcomings.  - Deepak and Murali have started contributing in the resource management and should take on more responsibilities in near future. This will help me in reducing work load and the team will get a chance to collaborate in resourcing. | 2 | Vinay is very direct in his communication, and in general this is a good thing. However, there are times when Vinay’s style could be interpreted as brusque, and when he may be perceived as not being fully collaborative, especially when he does not believe in the course of action. Vinay could adapt his style to be more accommodating, thereby increasing the communication and collaboration. | |  |  |  |  |  | | **\* 1 = partially met 2 = fully met 3 = exceeded** | 2 | **Overall Self Appraisal (Rating)\*** | 2 | **Overall Manager Appraisal (Rating)\*** |  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 * Makes new connection work by seeing relationships between seemingly disconnected elements, synthesizes odd combinations   **Competent**   * Has functional & technical knowledge & skills to successfully perform his/her role   **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   **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” | **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**   * Fully supports and implements decisions * Is 100% committed to achieve agreed-upon targets (strives to achieve the "slightly impossible") * Pursues targets with a need to finish. Does not give up, especially in the face of adversity   **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   **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 | | | | |

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| Annual Performance Review - Manager | Year | 2010 |

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| Name: | Vishwanath (Mahesh) Iyer | Position: | Group Head : Oncology Biometrics, India |

Overall Performance Evaluation

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| **OBJECTIVES** | **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** | | | | |

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| **Performance Summary** | | | |
| Vinay’s performance this year has been strong. He has built a high performing team in CP, and should continue to do so in OTM. Vinay continues to excel in technical and scientific areas. His innovation and creativity continue to be high, as evidenced by his many solutions to complex problems. Vinay should continue to excel in these areas, and in addition focus on contributing at a more strategic level in leadership meetings. He should also continue to develop and build a second line of leadership in the groups that he manages. | | | |
| Key Strengths (current and future assignments) | | | |
| Results driven  Innovation and creativity  Technical and Scientific expertise | | | |
| Key Developmental Needs (current and future assignments) | | | |
| Certain aspects of communication – to promote increased collaboration and trust  Increased support and transparency in resourcing  Develop second line of leadership within group | | | |
| Associates Comments | | | |
| I agree with the comments and will start discussing how to further develop the areas for future assignments. | | | |
| **Date** |  | **Signed Associate\*** |  |
| **Date** |  | **Signed Manager** |  |
| **Date** |  | **Signed Next Level Manager** |  |

**\* Signature by Associate does not necessarily indicate agreement, only review and notification.**

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| Annual Performance Review - Indirect Manager/Key User | Year | 2010 |

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| Name: | Lira Parvez | Position: | Head : Oncology Development Operations India |

Recommended Performance Evaluation

**OBJECTIVES**

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|  | **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** | | | | |

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| **Comments** |
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| **Date** |  | **Indirect Manager/Key User** |  |

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