Performance Appraisal Policy for Teaching and Non-teaching Employees of the University, 2020

(As amended and approved by the Executive Council in its 19th meeting dated 12.06.2021)

TEERTHANKER MAHAVEER UNIVERSITY MORADABAD

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MORADABAD – 244001 (U.P.)

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In exercise of the powers conferred under section 35 and 38 of the U.P. Private Universities Act 2019 and in suppression of the Performance Appraisal Policy, 2011 together with all amendments (if any) made there-in from time to time, the University frames the following Policy, namely:

1. **Short Title, application and commencement:**

    1.1. This Policy may be called Teerthanker Mahaveer University Policy on Performance Appraisal of the Teaching and Non-teaching Employees of the University, 2020 and is framed in accordance with the provisions of the section 38 of the U.P. Private Universities Act 2019.

    1.2. This shall apply for annual performance appriasal of the teaching and non-teaching employees of the University.

    1.3. The performance appraisal of the University Teaching and Non-teaching employees shall be provided by this Policy.

2. **Introduction:**

    2.1 Performance appraisal underpins good performance management practice and staff development in the University. Appraisal is a key mechanism for explicitly directing all employees' contribution so that individuals can see how their work supports the aims and objectives of their section, department, Faculty and the University as a whole. The process should provide clear direction towards personal and organizational vision and mission so that each individual is able achieve their potential and contribute to the University's success.

    2.2 Appraisal plays an essential role in identifying training, development and career needs and ensuring that individual contribution is valued and recognized.

    2.3 In addition, the appraisal meeting enables staff and managers to discuss performance and provides a mechanism to give and receive constructive feedback.

2.4 Performance appraisal should normally have a positive focus on issues such as staff development and staff achievements. However, the University recognizes that there will be rare instances of unacceptable or poor performance. Such cases should normally be dealt with separately from the appraisal process through the application of the University Guidelines on Performance Monitoring or Informal Counselling meetings, and where problems persist the appropriate Disciplinary Procedures. Performance or disciplinary issues should not normally be raised for the first time during the appraisal meeting.

3. **Scope:**

   The appraisal process will apply to all employees who have successfully completed their probationary period. This includes employees on part-time or fixed-term contracts, although in the latter case, adjustments to assessment periods etc may be required.

4. **Principles:**

   4.1 Frequency of appraisal meeting: Each eligible employee should have an appraisal meeting at least on an annual basis. It is strongly recommended that an informal review meeting be held after six months. This is to ensure that the appraisal objectives (KRAs) set six months previously are still appropriate, and if necessary, to agree new or revised KRAs (Key Responsibility Areas). It will also allow an opportunity for both parties to raise problems or issues well in advance of the year-end so that there is a chance of resolving them and still achieving the agreed KRAs.

   4.2 Probationary Employee:

   4.2.1 New employees whose probation is managed under the University's Service Rules for Teaching and Non-teaching employees should have KRAs set as part of their probationary process.

   4.2.2 These probationary KRAs will be reviewed in the employee's first appraisal following confirmation of appointment and new KRAs for the future set in accordance with the University's Appraisal Policy.

   4.2.3 Their first appraisal will take place at the end of Odd or Even Semester during the normal appraisal period for the University, even if less than a year has passed since the Appraisee's final probation review. If there is a considerable length of time between the employee's final probation meeting and their first appraisal, their reporting officer should hold an informal review meeting to review progress against the employees' probationary KRAs and to set new or revised KRAs as appropriate.

   4.2.4 Teaching employees or other support and professional services employees who have not had KRAs set during their probationary period, should have their first

appraisal immediately after the successful completion of their probationary period. This will involve the setting of appropriate KRAs.

4.2.5 In such cases, the second appraisal will take place during the normal appraisal period in subsequent years and an informal interim review may be necessary if there is a considerable length of time between the first and second appraisal.

4.3 Timing of the Appraisal Process:

The appraisal process should normally take place at the end of academic session to enable individual KRAs to reflect organisational objectives set during the University planning cycle**.**

4.4 Appraisal Meetings:

4.4.1 The individual's immediate reporting officer will normally conduct the appraisal and act as Appraiser. For teaching employees, appraisals will normally be carried out by the Head of Department/Principal of the College (the Appraiser). In the case of some senior teaching employee, the Vice Chancellor may appoint an alternative Appraiser to the Head of Department where appropriate**.**

4.4.2 The purpose of the meeting will be to:

i. Discuss, review and rate performance against the KRAs set during the last appraisal meeting/probation review meeting.

ii. Set new individual SMART KRAs for the coming year, which are derived from, and aligned to, organisational objectives.

iii. Identify any staff development activities required to assist the person to meet their KRAs and formulate a personal development action plan.

iv. Give feedback to the Appraiser on how they are managing their staff. This information may be used in the Appraiser's appraisal.

4.5 Appraisal Ratings: There shall be following ratings

Grade-A : If the score is between 80 % to 100%

Grade-B: If the score is between 60% to 79.99%

Grade-C: If the score is less than 60%.

4.6 **Appraisal forms:** The Performance Appraisal Form called as Performance Management System form (PMS form) shall be as annexed at Annexure-01. The copies of completed and signed off appraisal forms should be returned to Human Resources Department and kept on confidential HR files.

5. **Publication of Policy and results of assessment:**

This policy will be publicized widely within SOAS in electronic formats to ensure its profile and impact is highlighted in full. Significant trends arising from assessment and monitoring may also be published.

(Aditya Sharma)
Joint Registrar (Governance)

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Left Form

				4
Part II				
Comments & suggestions after mid-term review of individual progress				
a)				
b)				
c)				
d)				
e)				
	Grand total			
Date:	**Signature of assesses**	**Reporting officer's signature**		
Part III				
Qualitative assessment of Individual (total 100 points & 10 points for each criteria)				
a) Commitment to work / department / university				
b) Relationship with colleagues & superiors				
c) Punctuality & regularity (class room delivery)				
d) Maturity & temperament				
e) Work knowledge				
f) Accessibility				
g) Self improvement				
h) Ability to deal with difficult situations				
i) Communication skills				
j) Leadership				
Part IV				
Self assessment:				
Part I	**Part III**			
Points	**Points**			
	Signature of the assessee (with date)			
Part V				
Controlling officer's assessment (based on evidence presented)				
Part I	**Part III**			
Points	**Points**			
(Assessee signature with date)	**(Reporting officer's signature with date)**			
Part VI				
Reviewing officer's approval				
Comments, if any				
Part VII				
HR department				
Total points	Final letter grade			
Recommendations				
1				
2				
3				
Approval & comments	Signature & seal			
(Vice Chancellor)				

Note: An evaluation criteria may be done away with & its marks reduced from total 300 points in case the criteria is not relevant to a given department (example research guidance for English faculty). The percentage marks obtained could be worked from the reduced points.

Right Form

PMS – Teaching Faculty (TMU)

Purpose: The purpose of PMS is to facilitate the individuals to perform to one's potential through direction, guidance, support & review. The performance evaluation system is developed to be flexible, transparent & objective to support the performance.

The teaching faculty will be evaluated on the following relevant criteria :

Components:		Points		
A	Teaching	(160)		
B	Research & Publication	(60)		
C	Institution building	(20)		
D	Self development	(15)		
E	Projects, Consultancy & MDPs	(15)		
F	Peer / industry / institutional connect	(10)		
G	Student support & counselling	(10)		
H	Conferences &/ Seminars / Workshops / Events organised & Participation	(10)		
	Total	**(300)**		

Part - I				
		Targets (In points)	**Self Assessment** (Actual points earned)	**Points post moderation** (Based on evidence provided)
A	**Teaching (160)**			
i)	**Courses taught (Max 30 credits load) (120)**			
	4 points for each credit taught including practical(lab) & tutorial			
	Student's feedback (Use average of the two multipliers from following a &b criteria for specific course)			
a)	**Multiplier factor for course based on student feedback taken on a scale of 1-5**			
	1 multiplier if feedback score is > 4			
	.9 multiplier if feedback score is 3.5 - 4			
	.8 multiplier if feedback score is 3 < 3.5			
	.7 multiplier if feedback score is 2.5< 3			
	.6 multiplier if feedback score is 2< 2.5			
	.5 multiplier if feedback score is 1.5< 2			
b)	**Multiplier factor per course for student result**			
	1 multiplier if average pass result of the course > 90%			
	.9 multiplier if average pass result of the course 81%-90%			
	. 8 multiplier if average pass result of the course 71%-80%			
	7 multiplier if average pass result of the course 61%-70%			
	.6 multiplier if average pass result of the course 51%-60%			
	.5 multiplier if average pass result of the course 41%-50%			
ii)	**Innovative pedagogy (16)**			
	points based on innovations (experiential learning methods) made in classroom delivery.			
	2 Points for every one guest lecture invited from top 200 institutions ranked in NIRF or A grade or higher accredited institutes (also IIMs, IITs & other equivalent institutions)			
	2 Points for every one guest lecture invited from top firms			
	2 points for delivery using recognised & proved innovative teaching methods			
iii)	**New courses / programmes developed (5)**			
	1 Point for developing a completely new course			
	2 Points for contribution in developing or modifying a new programme			
	1 Point for revising the syllabus of a course			
	1 point for developing or revising an experiment			
	1 point for developing lab manual			
	1 point for developing an FDP / MDP			
iv)	**Contribution as member of BOS, BOM, Senate/ Academic council, Curriculum development team etc. (3)**			
	3 Points for being member of any of the above body either in TMU or on external institution			

v)	**Project work supervised** (16)				
	2 points for every field project supervised				
	3 points for every industry project (real time problem) supervised				
	4 points for every project that has won any first three positions in a competition (irrespective of no. of students supervised)				
	2 points for every project of the student that has entered in the competition				
	Total for 'A'				
B	**Research & Publication** (60)				
i)	**Papers & Books published** (30)				
	10 points for each paper in indexed Journals (scopus, web of science, pubmed & ICI)				
	6 points for Paper published in UGC listed journals				
	3 points for every one article in National magazine or newspaper				
	3 points designing manual, authoring or co-authoring edited book or conference proceedings				
	6 points for one book published by national publishers				
	12 points for one book published by international publishers				
ii)	**Research supervision** (5) (You can't claim twice the points for the same work in the same year)				
	5 points for every Ph D awarded				
	3 points for pre submission presentation completed & approved by CRC				
	2 points for every active registered candidate (have been continually submitting progress report without any break)				
	1 point for PG / M .Phil level dissertation supervised & one paper published (in UGC listed journal) out of it				
iii)	**Research paper presented in conferences** (10)				
	2 points for every research paper presentation at national conference				
	4 points for every research paper presentation at international conference				
	4 points for every paper published in conference proceedings				
iv)	**Research project** (15)				
	15 points for a patent awarded / published				
	10 points per research project funded by government bodies				
	5 points per research project funded by non - government bodies				
	5 points per research project funded by seed money (University)				
	3 points for publishing technical reports				
	2 points for submitting technical reports				
	Total for 'B'				
C	**Institution building** (20)				
	10 points for university & college level administrative responsibility				
	6 points for departmental & programme level responsibility				
	5 points for each FDP delivered within or outside university				
	4 points for organizing non-academic events				
	5 points for contribution in admissions & placements				
	3 points for delivering workshop for students or member of faculty				
	8 points for publishing an institutional news letter / magazine & institutional journals (member of editorial Board)				
	3 points for submission of examination /assessment works within stipulated time & quality in terms of objectivity & fairness				
	2 points for contribution to the Non - academic committee as a member				
	Total for 'C'				

D	**Self development** (15)				
	10 points for Ph D completed (current year)				
	5 points for Ph D registered				
	10 points for industry immersion training (at Least 2 weeks)				
	5 points for attending minimum 2 days workshops conducted by corporate or top institutes or TMU for skill enhancement				
	5 points for attending UGC / AICTE sponsored refresher course / induction programme / FDPs conducted by any of the top University (NAAC 'A or higher graded or 'NIRF' ranking up to 150)				
	5 points for each MOOC course completed				
	3 points for thesis examination				
	2 points for invitations for extension lectures / thesis / PG level project evaluation				
	2 points for being member of professional bodies				
	Total for 'D'				
E	**Projects, Consultancy, MDPs / FDPs & Start-ups** (20) (Separate points are for each category)				
	4 points for revenue up to Rs. 50,000/-				
	6 points for revenue > Rs. 50,000 < Rs. 1,00,000				
	10 points for revenue > Rs. 1,00,000 < Rs. 2,00,000				
	15 points for revenue > Rs. 2,00,000 < Rs. 3,00,000				
	20 points for revenue > Rs. 3,00,000				
	20 points for incubating one start-up				
	Total for 'E'				
F	**Peer / Institution / Industry connect** (10)				
	10 points per MOU for collaborative work & resource sharing etc at international level				
	5 points per MOU for collaborative work & resource sharing etc at national level				
	5 points per Social / Rural / NSS / NCC / Red cross / NGO project or activity etc.				
	5 points for award / fellowships received at national & international level				
	3 points for submission of examination /assessment works within stipulated time & quality in terms of objectivity & fairness				
	2 points for contribution to the Non - academic committee as a member				
	5 points for industry MOU for placement / OJT / internship / industry immersion (company revenue > Rs. 100cr. or a technology start-up)				
	Total for 'F'				
G	**Student support & counselling** (10)				
	5 points for organizing one student capability enhancement programme				
	5 points for per batch mentoring (10 students per batch)				
	5 points for contribution to slow learners				
	5 points for organizing & accompanying students for one industry visit / education trip / excursion				
	5 points for organizing & accompanying students on international trips				
	Total for 'G'				
H	**Conferences / Seminars / Workshops / Symposia organised & Participation** (10)				
	5 points for international events organized (as a convenor, secretary & coordinator of an activity)				
	2 points for national events organized (as a convenor, secretary & coordinator of an activity)				
	4 points for paper presentation in international conference				
	2 points for paper presentation in national conference				
	5 points for organizing one workshop / seminar on IPR & industry - academia innovative practice (Convenor, Secretary & Coordinator of an activity)				
	Total for 'H'				