



## **Ordinance No. P-02**

# **PERFORMANCE APPRAISAL POLICY**

# Performance Appraisal Policy

Sl. No.	Particulars	Description
1	Policy Number	
2	Policy Structure	The performance appraisal policy involves the appraisal for teaching staff and non-teaching staff.
3	Scope of the Policy	The performance appraisal process provides opportunities for staff development and encourages the professional growth of each staff member while acknowledging and affirming the efforts, involvement, and achievements of all employees. It ensures that all employees perform in a competent and caring manner, value quality of learning for all students, support a positive, respectful, and safe environment that respects the cultural and individual differences of all individuals/colleagues/juniors and even the employer.
4	Policy Status	Original
5	Originated By	Office of Vice Chancellor
6	Reviewed By	Director, T.S. Mishra University, Lucknow.
7	Effective Date of Policy	
8	Approving Authority	The Academic and Executive Council, T.S. Mishra University, Lucknow.
9	Amendment Number	
10	Effective Date of Amended Policy	
11	Approving Authority	The Academic and Executive Council, T.S. Mishra University, Lucknow.

Policy was amended vide office order no. U-07/SVSU/2013/5854 dated 16-03-2013:

Policy was amended that normal increment should be given to all class IV staff irrespective of their ACRs with exception to those who do not deserve because of their extremely poor performance.

Policy was again amended vide office order no. U-117/SVSU/2020/2118 dated 19-02-2020: Policy was amended and revised annual confidential report Performa for non-teaching staff were modified as group 1 and group 2 officers, a different format has been generated along with a modified group 3 and 4 employees ACR formats.

Finally, a modified employee performance appraisal format for teaching and non-teaching staff superseding all the performance appraisal policies distributed earlier was distributed vide U-192/SVSU/2020/2228 dated 24-02-2020 which is as follows:

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### For Teaching Staff

#### 1. Principles

- a) T.S. Mishra University (TSMU) believes that performance of the organization is directly linked to the performance of individual employees where in performance appraisals acts as motivation for achieving the same.
- b) The performance appraisal process provides opportunities for staff development and encourages the professional growth of each staff member while acknowledging and affirming the efforts, involvement and achievements of all employees.
- c) The performance appraisal process will strive to ensure that all employees perform in a competent and caring manner, value quality of learning for all students, support a positive, respectful, and safe environment that respects the cultural and individual differences of all individuals/colleagues/juniors and even the employer.
- d) It is designed to assist employees in knowing what is expected of them in terms of job performance and to provide corrective instruction, where warranted, in order to promote effective job performance.

## 2. Policy Framework

- a) This policy applies to all teaching employees.
- b) These are in relation with the designated posts like Tutors, Demonstrators, Senior Residents, Assistant Professor, Associate Professor and Professor.
- c) The promotion policy is the same as is prescribed by different apex bodies like MCI, DCI, INC, NCTE, and AICTE.
- d) Where the course is not governed by any statutory body, the regulations of UGC are followed.
- e) There may be cases where faculty members cannot be promoted to the higher post due to not having additional qualification required for the promotion as per the norms of the statutory body/UGC. In such cases if the performance of the faculty is good the promotion is made within the same post by affixing the word 'Senior' with the original post. For example it is necessary to be a post graduate with one year experience to become Assistant Professor. If a faculty is not post graduate, he/she cannot be promoted but if the performance of the faculty is good, after a period of 3 to 5 years, he/she is promoted as Senior Tutor depending upon the work performance with salary increment. Further salary increments are given if the post cannot be re-designated.
- f) The promotions are time bound and if the faculty acquires the requisite qualification and experience for the higher post but the vacancy are not there; even then the promotion is given on the additional post created automatically for the limited period.

## 3. Performance Appraisal Format for Teaching Staff.



### Annexure:1

#### APPRAISAL PERFORMA FOR TEACHING STAFF

Name of the college: \_\_\_\_\_ Department: \_\_\_\_\_

To,  
Head of Department  
Sir/ Madam,

I wish to apply for Annual Increment for the year 20\_ - 20\_. I am submitting the prescribed Performa, duly filled, along with supporting documents. Kindly accept my application for consideration.

1. Name (In Block Letters).....
2. Father's/Husband's Name.....
3. Designation.....
4. Mobile Number ..... 5. E-mail ID:.....

S. No.	Description	Details
1.	Additional qualification acquired or pursuing in previous year, if any. Please mention and attach document.	
2.	Mention workload (Theory / Practical) in hours/week, Seminars, Tutorials, Practical, Contact Hours during last year.  For Medical/ Dental/AYUSH/ Physiotherapy & Allied Health Sciences along with teaching hours, provide Clinical work details. (a) Clinics taken / O.P.Ds.Attended. (b) No. of operations /procedure	
3.	Attach records of Examination Duties. Assigned and Performed	
4.	Mentorship / Extra-curricular activities (Give details on separate page)	

5.	Provide details and proofs of Conference/workshops attended other than at TS Mishra University, Papers presented in Conferences / Seminars, Workshops, Symposia / Invited for Lectures and held Chairmanships at national or International conferences/seminar etc.	
6.	Provide number of Published Papers in Journals in last year/ Books Written/Articles/Chapters published in Books/ Full Papers accepted in Conference Proceedings with proof.	
7.	Mention ongoing and completed Research Projects and Consultancies with proof.	
8.	Provide details of Conference Organized / Workshops Organized/Extra Curricular activities organized / volunteered in Institution or University event.	
9.	Number of Research Scholars / Post Graduates under me. Researches done / Patents Registered / Applied / Under process.	
10.	Provide details of any other credential, significant contribution, and award received etc. which are not mentioned earlier.	

**Signature of the Applicant with Date**

**(For Departmental Use)**

1.	Leave without Pay-during last year	
2.	Annual Increment – due on (date)	

<b>S. No.</b>	<b>Details</b>	<b>Score (0-10)</b>	<b>Remarks</b>
1.	Punctuality (as per Biometric Attendance monthly Report)		
2.	Discipline/ Behavior with Colleagues (Colleague I Feedback) and Integrity - Overall Appraisal		
3.	Student/ Feedback/ Appraisals		
4.	Quality of Work / Team Work		
5.	Overall Personality		

Any punishment / appreciation awarded

Signature of HOD / HOI	Remarks
Signature of Dean of Faculty / Director	Remarks
Increment – with effect from	
Approval of Hon'ble Vice Chancellor	
Increment given (in Rupees)/ per month	
Signature of Addl. Registrar - General	

## **For Non-Teaching Staff**

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### **1. Principles**

- a) T.S. Mishra University (TSMU) believes that performance of the organization is directly linked to the performance of individual employees where in performance appraisals acts as motivation for achieving the same.
- b) The performance appraisal process provides opportunities for staff development and encourages the professional growth of each staff member while acknowledging and affirming the efforts, involvement, and achievements of all employees.
- c) The performance appraisal process will strive to ensure that all employees perform in a competent and caring manner, value quality of learning for all students, support a positive, respectful, and safe environment that respects the cultural and individual differences of all individuals/colleagues/juniors and even the employer.
- d) It is designed to assist employees in knowing what is expected of them in terms of job performance and to provide corrective instruction, where warranted, in order to promote effective job performance.

### **2. Policy Framework**

- a) This policy applies to all non-teaching employees.
- b) Appraisal criteria will be based on the job allocation, which will be subject to an annual review.
- c) The Performance Appraisal process will reflect specific dimensions of each employee, relevant to his job position by;
  - i. Helping them by a collaborative and interactive process.
  - ii. Providing an opportunity to review the job.
  - iii. Providing an opportunity for employees to reflect on their own performance and to set professional goals that will support professional growth and career planning.
  - iv. Assisting employees in knowing what is expected of them in terms of job performance.
  - v. Providing corrective instruction, counseling, coaching in order to promote effective job performance.
  - vi. Improving communication between the employee and his/her immediate Principal / HOD / Supervisor by providing specific feedback to individual employees on their job performance.

### **3. Procedures**

Evaluation is an on-going process dedicated to continuous improvement and individual growth, however to summarize the employee's work a yearly report will be submitted to the office of the Registrar.

- a) On an annual basis for all non-teaching employees. However, a specific report may be called anytime by the Management.
- b) The Performance Appraisal process will be a confidential process. The employee's immediate Principal/HOD/Supervisor, or designate, will be responsible for completing the process.
- c) Realistic time-lines are established and adhered to. At the time specified each Principal / HOD / Supervisor will evaluate the performance of the employee against the established standards of performance for the job.
- d) The original, signed Annual Confidential Report (ACR), along with any letters of comment or rebuttal, will be forwarded to the Registrar Office by the appraiser on which appraisals will be decided. These will be included in the employee's personal file also.
- e) If the employee wants to request a review of his appraisal, then he/she may do so by applying a formal letter of rebuttal to the Registrar Office.
- f) If there is an area where major improvement is necessary, the evaluator should make specific recommendations in written report evaluating the performance of the employee against established standards.
- g) The management reserves the right to get the appraisal reviewed, re-assessed wherever it may not be satisfied with the report submitted.

### **4. Review Status**

In the event of Performance Appraisal process that an employee's overall job performance is unsatisfactory, the employee will be placed under review. Such employee will be subject to disciplinary action such as:

- a) He may be given warning letter for improvement.
- b) He may be debarred from getting annual Increment.

### **5. Performance Appraisal Format for Non-Teaching Staff**

**Annexures: Two**



## ANNUAL PERFORMANCE APPRAISAL REPORT (For Year 20\_\_ - 20\_\_)

### (Section - A) (Basic Information)

1. Name of Officer/Employee : \_\_\_\_\_
2. Post held : \_\_\_\_\_
3. Date of Joining : \_\_\_\_\_
4. Date of Regularisation : \_\_\_\_\_
5. Main Duty/Job : \_\_\_\_\_
6. Other duty's performed by Employee: \_\_\_\_\_
7. Leaves Record availed by Employee:

Casual Leave			
Earned Leave			
Other			

8. Details of Reporting & Reviewing Authority

S			
1.			
2.			

9. Details of difficulties faced by employee in last year during work [if there are any]

\_\_\_\_\_

**(Section - B)**

10. Functional Competency of Employee

1.	Knowledge of Laws/ Rules/ Procedures		
2.	Decision making Ability		
3.	Co-ordination Ability		
4.	Attitude to work		
5.	Sense of Responsibility		
6.	Ability to perform as a Team		
7.	Communication & Leadership quality		
8.	Discipline		
9.	Loyalty & Integrity		
10.	Knowledge of Computers/IT		

11. Strategic Planning Ability (If Applicable) : \_\_\_\_\_

**Signature of the Reporting Officer**

**Section -C**

12.

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13.

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14.

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15. Recommendations (If any)

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**(Reviewing Officer)**

**(C.E.O.)**



**ANNUAL PERFORMANCE APPRAISAL REPORT**  
**(For Year 20\_\_ - 20\_\_){ For Category III & IV}**

**Section - A**  
**Basic Information**

1. Name of Employee : \_\_\_\_\_
2. Post held : \_\_\_\_\_
3. Date of Joining : \_\_\_\_\_
4. Date of Regularization : \_\_\_\_\_
5. Main Duty/Job : \_\_\_\_\_
6. Other duty's performed by Employee: \_\_\_\_\_

7. Leaves Record availed by Employee

\_\_\_\_\_

\_\_\_\_\_

Casual Leave			
Earned Leave			
Other			

## 8. Details of Reporting & Reviewing Authority

1.				
2.				

## 9. Details of difficulties faced by employee in last year during work [if there are any]

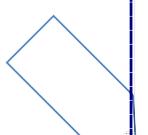
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## Section - B

### 10. Functional Competency of Employee

1.	Efficiency at Work		
2.	Punctuality at Work		
3.	Co-ordination Ability		
4.	Attitude to work		
5.	Sense of Responsibility		
6.	Team Player		
7.	Communication		
8.	Discipline		
9.	Loyalty & Integrity		
10.	Respect towards Supervisor		



## Section -C

1.

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2.

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3.

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4. Recommendations (If any)

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(Reviewing Officer)

(C. E. O.)