

No.: SRMGPC/Policy/AP/01

03 March 2017

Policy: Performance Appraisal

General

1. Performance Appraisal, also known as employee appraisal, performance evaluation, performance assessment or performance tracking is a very commonly and an important process to assess the performance of all employees.
2. In other words, Performance appraisal is a process of obtaining, analysing, recording employee information in his work environment and reporting the results to those who are interested in it.
3. Appraisal plays an essential role in identifying future planning and career needs and ensuring that all the employees contribute valuably and is recognized.
4. In addition, the appraisal meeting enables faculty and staff members to discuss performance and provides a mechanism to give and receive constructive feedback.
5. The appraisal process will apply to all faculty members who have successfully completed 12 months of probation.
6. There will be rare instances of unacceptable or poor performance. Such cases will be dealt with separately from the appraisal process through discussion with HoD and COA.
7. Monitoring or Informal Counselling meetings will be taken up regularly, and where problems persist the appropriate action will be taken.
8. The performance appraisal system must adhere to the following points-
 - a. it must be correlated with our Vision and Mission
 - b. should cover Academic and Administrative work
 - c. should cover assessment of performance as well as input for self-improvement

Appraisal Process

9. **Self-Assessment**- Employees must be informed of the appraisal at least 4 weeks before the appraisal one-to-one meeting. Following sections of Annual Performance Appraisal Report (APAR) **Appendix A** should be filled by an employee-

A. Teaching, Learning and Outcome



- B. Academic Research and Publications
- C. Academic and Administrative Work

Appraisal Performance- HoD will assess the points claimed by the employee and award the marks and their remarks in the following sections of APAR report followed by Summary Sheet of APAR report-

- D. Personal
- E. General

Appraisal Guidelines **Appendix B** should be reviewed while filling the APAR report.

The one-to-one meeting- The appraisal one-to-one meeting will be carried out in private so as to provide for confidentiality. Sufficient time will be allocated so that the meeting is unhurried and any discussion is properly considered. However, it must be understood by the employee and the HoD that information discussed in an appraisal may need to be disclosed to others. The purpose of the appraisal meeting will be to-

- a. Discuss and review the points claimed by the employees.
- b. Discuss future planning while delivering outstanding achievements and aligning them to our Vision and Mission.
- c. Give feedback to the employee on how they are managing their responsibilities.

10. **Appraisal Meeting and Timing-** The appraisal process should normally take place after the completion of one year of service of the employee. Following guidelines should be followed-

Joining from 1st to 15th- Appraisal will be done in the same month after one year of service

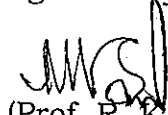
Joining from 16th to 31st- Appraisal will be done in the following month after one year of service

11. **Implementation of the Policy-** Overall responsibility for policy implementation and review rests with HoD, HR and Director. However, all employees are required to adhere to and support the implementation of the policy.

12. **Monitoring Policy-** The policy will be monitored on an on-going basis, monitoring of the policy is essential to assess how effective the performance and results have

been. Completed and signed off APAR should be given to the Human Resources department and kept in employees file after obtaining the remarks of the Director.

13. **Reviewing Policy**- This policy will be reviewed and, if necessary, revised in the light of any organizational changes.



(Prof. R. K. Jaiswal)

Director

Distr:

List A

List B

List C

Annual Performance Appraisal Report (APAR) for the A.Y.
1st July _____ to 30th June _____

Name : _____

Father's Name : _____

Designation : _____

Date of joining in the Institute : _____

Date of joining the present post : _____

Department : _____

Scale of Pay : _____

Period spend on this post : _____

Name of the Head of the Department : _____

Name of the Director : _____

Whether the annual return on the immovable property for the proceeding calendar year was filled within the prescribed date i.e. January 31st of the year following the calendar year. If no, the reasons for non-filling the return should be given (additional sheet may be attached, if required)

Remarks: _____

(to be filled by Director)

Overall Assessment:	Extra Ordinary	:	(10)
	Excellent	:	(9)
	Very Good	:	(8)
	Good	:	(7)
	Satisfactory	:	(5)

Name: _____

(Signature of the reporting Authority)

Handwritten signature

A. Teaching, Learning and Outcome

(Maximum 40 Points for Associate Professor and Professor);

(Maximum 60 Points for Assistant Professor)

(a) Teaching Process and outcome

Class/ Batch	Subject Code	L- T - P	No of Students Appeared in exam (P)	No. of classes		No. of Pass Students (S)
				Scheduled (Q)	Actually held (R)	
Odd Semester (July-December)						
Even Semester (January-May)						
Summer Course (June)						
Total(
						Points claimed
Teaching Process on scale of y						
Outcome of Teaching on scale of y						

y = 15 for Associate Professor and Professor
y = 25 for Assistant Professor

- (b) List of Project and Thesis (Dissertations) Supervised: ICD/B.E./B-Tech/ M.Tech / MBA/M.Sc./Ph.D. (Separate Sheet may be attached, if required)

Level	Title of Project/Thesis	Names of Students	Name of other supervisor (if any)	Point(s) Claimed
Diploma				
B.E./B. Com/B,Sc				
M.Tech/MBA/M.Sc.				
Ph.D.				
Scaled to maximum marks (10)				

- (c) Laboratory Developed/Instruction Software and Education Technology Package Developed

Grand total for A point

(a + b + c) (Maximum marks 40 (AsP/P) /60 (AP))	
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B. Academic Research and Publications

**(Maximum 30 Points for Associate Professor and Professor);
(Maximum 10 Points for Assistant Professor)**

- (a) List of Paper Published (Separate Sheet may be attached, if required)

Journal/Conferences	No. of Publication	Point(s) Claimed
WOS/SCI//SCIE/SSCI/A&HCI Journals		
SCOPUS Journal		
Other Indexed Journals (ISSN No. only)		
International Conferences Proceedings		
National Conferences/Seminar/Workshop Proceedings		
TOTAL		

11/12/18

(b) Technical Reports Prepared (Separate Sheet may be attached, if required)

S. No.	Title of Report	Particulars (sponsored R & D / Consultancy/ status reports etc.)	Authors (same order as in publication)	Remarks (External/ Internal report)	Point(s) Claimed
TOTAL					

(c) Books/Monograms/Laboratory Manual/ / MOOCS/ SWAYAM/ e-contents Authored

Authors names	Title	Publishers	Year of Publish	ISBN No.	Point(s) Claimed
TOTAL					

(d) Patents

Title	Filed/Published/granted	Name of inventors	Point(s) Claimed
TOTAL			

(e) Sponsored Research Project

S. No.	Title of Project	Funding Agency	Financial Outlay	Year of start & total period	Name of P.I and other Investigators	Status: started or completed or in progress	Point(s) Claimed
TOTAL							

(f) Consultancy Projects

S. No.	Title of Project	Name of Industry	Financial Outlay	Year of start & total period	Name of P.I and other Investigators	Status: started or completed or in progress	Point(s) Claimed
TOTAL							

(g) Continuing Education/ STTP/Conferences/ Workshop/ Symposia organized

S. No.	Duration and venue	Title of programme	Other relevant information	Point(s) Claimed
TOTAL				

(h) Other Activities

(Awards/Distinctions/Honors/Special Lecture Delivered/STTP or FDP/ Conference/ Workshop attended/Experts of Committees out of Institute/External Examiner/Paper Setter/Reviewers/Editors) (Separate Sheet may be attached, if required)

S. No.	Activity	Point(s) Claimed
TOTAL		

Grand total for B point

(a + b + c + d + e + f + g + h) (Maximum marks 30 (AsP/P) /10 (AP))	
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C. Academic and Administrative Work**Maximum 20Points**

(a) Department Level Administration

Sr. N	Activity	Points claimed
(i)		
(ii)		
(iii)		
(iv)		
TOTAL		

(b) Institutional Level Administration

Sr. N	Activity	Points claimed
(i)		
(ii)		
(iii)		
(iv)		
TOTAL		

(c) Contributions to the Society

Sr. N	Activity	Points claimed
(i)		
(ii)		
(iii)		
(iv)		
TOTAL		

Grand total for C point

a + b + c (Maximum marks 20)	
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D. Personal**Maximum 10Points**

Sr. No.	Attribute		Max. Marks	Marks awarded by	
				Reporting Officer	Reviewing Officer
a)	Temperament	Normal/Sensitive	10		
b)	Sense of Responsibility	Responsible/ Non-serious	10		
c)	Discipline and obedience	Disciplined and obedient/ undisciplined and disobedient	10		
d)	Maturity	Mature/ immature	10		
e)	Response Towards Official Orders	Cooperative/ non-cooperative	10		
f)	Response towards emergent/urgent call for work during the holidays and or beyond office hours	Responds promptly/ Does not respond at all	10		
g)	Relations with students, Staff and Faculty	Good/ Bad	10		

h)	For Misc. institutional work relating to his profession	Accepts the work willingly/ Refuses such work	10		
i)	Tendency to lodge complaint and allegations against others	Yes/No	10		
j)	Attitude towards weaker sections	Good/Bad	10		
Average Marks on the scale of 10 (a + b + c + d + e + f + g + h + i + j)/10			10		

Note: Any adverse remark by reporting officer must be substantiated.

E. General

(a) Future Planning

(b) Input Required for self-improvement

(c) Outstanding achievement not covered above

Self-Appraisal:

(Separate Sheet may be attached, if required)

Summary Sheet for Faculty Performance

Appraisal for the academic session _____

Name :

Designation :

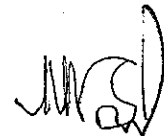
Department :

(Table to be filled by the HOD, concerned)

S. No.	Factor of Appraisal	Grade points claimed	Agreed/Not Agreed by HOD	Reason/Remarks (if any) by HOD and Grade points to be awarded (if not agreed)
A	Teaching and learning			
B	Academic Research and Publication			
C	Academic and Administrative Work			
D	Personal			
Total				
Overall Average grading (A+B+C+D)/10				

Signature of Faculty Member

Head of Department



Part-IV (to be filled in by the Director)

1. Nothing has come to my knowledge, which cast any reflection on the integrity of Sh./Mr./Mrs./Dr.....
2. The following facts have come to my knowledge which cast doubt in this officers/official's integrity:

3. The following circumstances have come to my notice which amount to a more vague allegation not susceptible of formal proof.

General Remarks:

Grading (Whether outstanding, Excellent, Very Good, Good, OR Satisfactory)

Name:.....

Signature:.....

DIRECTOR



Guidelines for Points Claimed in Annual Performance Appraisal Report

Sr. No.	Factor of	Points Distribution		Max. Point	
		A.	Teaching Learning and Outcome		
	(a) Teaching process and outcome	Based on teaching load and result		*As P/P-15	*AP-25
	(b) List of Project and Thesis (Dissertations) Supervised	4 Marks each		10	
	** (c) Lab Developed/Package Developed	As P/P-5-15	AP-10-25	As P/P-15	AP-25
B.	Academic Research and Publication				
	(a) List of Paper Published				
	(i) WOs/SCI/SCOPUS	20	(70% & 30% of total points are to be given to main and co-author(s))		
	(ii) Indexed Journals/International Conference Proceedings	15			
	(iii) National Conferences/Seminar/Workshop/Proceedings	10			
	(b) Technical Reports Prepared	15			
	(c) Book	Before 2018-19	After 2018-19		
	(i) International	25	15		
	(ii) National	20	10		
	(iii) Lab Manual	5	5		
	(g) Continuing Education/conference/Workshop organised				
	(i) International		7		
	(ii) National		5		
	(iii) State/University		2		
	(h) Other Activity				
	(i) Guest Lecture/Invited Talk		5		
	(ii) Paper Presentation in International Conferences		5		
	(iii) Paper Presentation in National Conferences		3		
	(iv) FDP-1 week/Less than 1 week or Conference attained		10/2		
	(v) Experts of Committees		2 to 5		
	(vi) External Examiner/Paper Setter		2		
	(vii) Reviewers/Editors		5		
C.	Academic and Administration				
	(a) Department level administration			20	
		5 for each		10	

AsP/P-30
AP-10

	(b) Institutional level administration	7/8 for each	15
	(c) Contributions to the Society	2-3 for each	5
D.	Personal	To be filled by HoD/AD	10
E.	General	Has to be filled by individual	

	Course allocation + Delivery (10)	Result (5)	Max. Marks (15)
*As P/P- 15		>80% - 5	
		>70% - 4	
		<70% - 3	
*AP-25	Course allocation + Delivery (15)	Result (10)	Max. Marks (25)
		>80% - 10	
		>70% - 8	
		<70% - 6	

** (c) Lab Developed/Package Developed	As P/P (Max- 15)	AP (Max- 25)
New Lab setup	10	15
New Experiment setup	5/Experiment	10/Experiment
Additional Lab Experiment Developed (Apart from AKTU)	10/Experiment	5/Experiment