

Annexure - 25


Registrar
Mangalayatan University
Beswan, Aligarh



Human Resources Policy-Appraisal Process

Definitions:

Appraisal: "Appraisal" shall be considered a "Performance Appraisal". This is a procedure that may happen at least *once* in a calendar year. It refers to the exercise where the professional performance, conduct and contribution of each employee shall be evaluated subjectively and objectively (as applicable) by different stakeholders viz. the student, faculty, staff and/or administrative bodies.

Increment: "Increment" shall refer to an increase in the total monetary compensation paid to an employee. It may, as per context, refer to an increase in a single component of overall compensation, or a collection of such increases.

Relationship between Appraisal and Increment: For a given employee, or group of employees, the occurrence of an appraisal does NOT preclude a related increment. Each employee is expected to participate in each appraisal with the same commitment level, regardless of an associated increment. In extremely rare cases, an employee may qualify for more than one increment in a given year.

An increment will necessarily be the outcome of an immediately preceding appraisal, except in the most unusual of circumstances when it shall need to be sanctioned by the highest authorities.

MU's Appraisal and Increment Procedure

Appraisal Schedule

The Registrar Office of MU shall facilitate appraisals **once** a year, on finishing on the 30th of September.

Components of Appraisal

The appraisal of an employee shall be deemed complete when all of the following exercises shall be completed:

- Collection of student feedback regarding teaching (applicable only to teaching staff)
- Teaching index
- Employee Filling up a self-appraisal form
- Reporting officer filling up a counter appraisal form
- Consolidation and reconciliation of above input components by head of institute/department and a representative of the Registrar Office no less than Head-Human Resources.

Regular Increment

This component refers to the increase in remuneration that an employee is entitled to, after the scheduled appraisal conducted one year after his previous increment-linked one **OR** one year after his date of joining¹. It is directly linked to the performance of an employee, who may receive one of several levels of increase depending on his performance rating. The levels of increase may vary between institutes, departments and

¹ Refer to section on Eligibility for Increment



teaching/non-teaching sections, depending on the policy in practice at the time. Any such increment shall be considered **fixed** for all future salary-related calculations.

In the event that the Registrar Office spots an abnormal performance distribution in a given department/institute, it may expeditiously constitute a panel comprising higher administrative authorities to review the performances of all linked employees. The decision of this panel shall override all previous decisions.

Eligibility for Regular Increment

An employee is eligible for a regular increment in the cycle occurring at least **12 months** after his previous increment. For employees who have completed less than **18 months** of service at MU, the following rules shall apply:

- An employee who has completed **9 months or more** on the appraisal cycles dates shall be deemed eligible in that cycle.
- An employee who has completed **less than 9 months** on the said dates shall be considered eligible for the immediately **succeeding** cycle.

Disambiguation of Appraisal Scores

In the event that the scores on self-appraisal and appraisal by reporting officer differ by 15% or less of the total achievable score, the score taken for evaluation shall be the average of the two.

In the event that the scores on self-appraisal and appraisal by reporting officer differ by **more than 15% of the total achievable score**, the matter shall be discussed in the presence of both parties by a panel comprising the head of the institute/department and an officer of the Registrar Office no less than the Head, Human Resources. The score taken for evaluation shall be decided by the panel, and may range anywhere between the high and low of the two scores.

Quantification of Benefits/Rewards/Action in case of adverse performance:

Performance Appraisal shall take place on the overall feedback received, i.e.

- Self Appraisal
- Student Feedback
- HOD/Director Feedback
- Overall Ranking within Department and Institute

Performance Measurement and action thereon:

1. People falling in the bottom 30% as on performance ratings, (department/Institute wise) are liable to have their position and performance scrutinized.
2. Faculty/Staff may have their employment terminated, regardless of whether written feedback was provided to them on previous occasions.
3. In order to decide on the monetary growth in salary the following parameters are underlined:
 - a) The minimum pay in order to be eligible for scale based increments is fixed at Rs.14850 /- per month.
 - b) Faculty who are below such above mentioned figure shall continue to receive increments as fixed percentages to their consolidated pay till they reach the minimum prescribed above.



Department of Human Resource

- c) The lowest rate of increment that maybe granted to a faculty after due performance appraisal shall be calculated @3% of the average of the highest and lowest basic and highest and lowest grade pay rounded off to the multiple of 10.
- d) Any additional increments shall be granted in multiples of such value calculated in point 3 and shall be purely based on performance and shall be reviewed each year before any announcements for release.

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Human Resources Policy-Promotion Policy

The primary objective of promotion policy of the University shall be to identify and promote faculty members on the basis of assessment through a rational and fair criterion of merit.

(i) Promotion against a vacancy

Promotion will ordinarily be considered against a vacancy arising out of retirement, resignation or promotion of a member or because of expansion of the regular establishment.

Provided that exception to this norm can be made to promote a member of a truly outstanding merit

(ii) Eligibility Criteria

A faculty /staff shall be eligible for promotion to the next higher designation/scale on the completion of 2 years of service with the University. The eligibility of promotion to the next higher position shall take into consideration the guidelines mentioned by UGC. However, appropriate changes may be carried out in the best interest of the University.

(iii) Selection Committee

Assessment of relative merit shall be made by a selection committee duly constituted in accordance with the provisions of the regulations.

(iv) Criterion for determination of merit:

Faculty:

A member of faculty may be considered for promotion to a higher designation/scale. The process for assessing the suitability for promotion shall comprise assessment by a duly constituted selection committee which, in addition to interviewing the member takes into account his /her educational qualifications, performance on the job and potential for growth. The weights assigned to these factors shall be as under.

Sr. No.	Description	Weightage
1	Educational Qualification	0.30
2	Performance	0.50
3	Interview (potential assessment)	0.20
The degree of proficiency on these factors will be determined in the following manner:		
1.	Ph.D	30 Marks
2.	Minimum qualification prescribed	20 Marks
Maximum Mark		50 Marks

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5. Performance Rating as per the Appraisal System
(Marks will be calculated on the weightage given in the Appraisal Table and shall be given due weightage as mentioned above
i.e. 0.50)

Sr. No	Points	Weightage Factor	Rating Scale					Factor Weight s score
			9-10 High	7-8 Above Average	5-6 Average	3-4 Below Average	1-2 Low	
1.	Academic	0.50						
2.	Profession-related contribution	0.10						
2.	Co-curricular activities	0.05						
3.	Extracurricular activities	0.05						
4.	Extension activities	0.05						
6	Training and placement activities and/or	0.10						
7.	Achievements /Honours	0.05						
8.	Research and Development Activities	0.10						
			Overall Rating Score (On 10 point scale)					

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3. Assessment of potential through interview	20 Marks
Outstanding	17 Marks
Very Good	14 Marks
Good	10 Marks
Satisfactory	

Each member of selection committee will allot the marks for interview independently and the aggregate will be taken into consideration for deciding the competency level of the candidate. However the marks for other factors will be assigned collectively on the basis of facts on record or on the basis of the feedback. The minimum marks required for promotion appointment be 70.

(v) Administrative Staff/Non Teaching Staff:

A member of staff may be considered for promotion to a higher designation/scale. The process for assessing the suitability for promotion shall comprise assessment by a duly constituted selection committee which, in addition to interviewing the member, takes into account his /her educational qualifications, performance on the job and potential for growth. The weights assigned to these factors shall be as under.

1. Performance	0.70
2. Interview (potential assessment)	0.30

1. Performance Rating as per the Appraisal System
Maximum Marks 80 Marks
(Marks will be calculated on the weightage given in the Appraisal Table and shall be given

due weightage as mentioned above i.e. 0.80)

2. Assessment of potential through interview	20 Marks
Outstanding	17 Marks
Very Good	14 Marks
Good	10 Marks
Satisfactory	

Each member of selection committee will allot the marks for interview independently and the aggregate will be taken into consideration for deciding the competency level of the candidate. However the marks for other factors will be assigned collectively on the basis of facts on record or on the basis of the feedback. The minimum marks required for promotion appointment be 70.

(v) Merit List

Subject to acquiring the minimum level of competency as per the criterion laid down under sub clause (iv). On the recommendation of the selection committee, the promotion orders will be issued in order of merits after the approval by the competent authority.

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Faculty Appraisal Form



Assessment Duration: July 2023 to June 2024
SECTION 1 (To be filled by faculty member)

Appraisee's Details			
Name of Faculty Member			
Designation		Date of Joining	
Academic Unit			
Faculty			
Employee Code			

Part 1: TEACHING LEARNING & EVALUATION

ODD Semester

Level (UG/PG)	Course Code	Course Name	Program	No. of students	Contact Hours			Equivalent Load*	Result (Pass Percentage) [†]
					L	T	P		
TOTAL LOAD									

EVEN Semester

Level (UG/PG)	Course Code	Course Name	Program	No. of students	Contact Hours			Equivalent Load*	Result (Pass Percentage) [†]
					L	T	P		
TOTAL LOAD									

*For Equivalent Load please note that Theory Load = No. of contact hours, Tutorial Load = No. of contact hours and for Practical = No. of contact hours x 0.5

†Concerned HAU will verify the result with the copy sent by the Examination Cell

[Handwritten Signature]

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Faculty Appraisal Form



In the following tables please bear in mind the following points:

- Multiply the Number with the points given in parentheses to award points to yourself, e.g., If the No. of research papers published in UGC CARE list = 2, then points to be awarded are $2 \times 10 = 20$
- Include a proof for each claim that you make.
- HAU's have to verify all claims made by faculty members.

APPRAISAL CRITERIA	NUMBER	POINTS
No. of UG/PG Projects / Dissertations guided of one semester duration (10)		
LMS videos recorded (5)		
New original learning content developed (lab manual, instructional software, curriculum study material) (10)		
Short Term Courses developed (minimum 30 hours) (10)		
MOOCs developed (in line with SWAYAM/ NPTEL) (20)		

Part 2: ACADEMIC RESEARCH & EXTENSION ACTIVITIES

APPRAISAL CRITERIA	NUMBER	POINTS
Number of PhDs awarded during the assessment period (10)		
No. of Research Paper(s) published	Peer reviewed (5)	
	in UGC Care list (10)	
	Scopus/ SCI indexed (15)	
Conference Proceedings	(Full paper with ISBN No.) (5)	
	(Full paper without ISBN No.) (10)	
No. of Books Published with reputed* publishers	As First author (20)	
	As second/ other author (15)	
No. of Books Published with other publisher	As First author (15)	
	As second/ other author (10)	
No. of Book Chapters published with reputed* publishers	As First author (15)	
	As second/ other author (10)	
No. of Book Chapters Published with other publishers	As First author (10)	
	As second/ other author (5)	
Invited lectures/Paper Presentation	In Indian College (5)	
	In Indian University (10)	
	Outside India (20)	
MOOCs completed	SWAYAM/ NPTEL (10)	
	NPTEL (10)	
FDP Attended	3 days (5)	
	5 days (10)	
Awards/ distinctions/ honours received	Professional body (10)	
	State Govt (15)	
	Central Govt (25)	

*McgrawHill/ Pearson/ PHI/ Springer/ CBS/S. Chand/ Sultan Chand/ Oxford/ Orient Longman/ Jaico Publishing House/ Macmillan India/ Cambridge University Press/ Harper Collins/ Penguin/ Lexis Nexis/ Allahabad Law Agency/ Sage/ Taxman/ Excel Books/ Eastern Book Company/ Bentham Publications/ Elsevier

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Part 3: SPONSORED RESEARCH

APPRAISAL CRITERIA	NUMBER	POINTS
Sponsored Research Projects	≥ 20 lacs Rs. (30)	
	10 to <20 lacs (25)	
	5 to <10 lacs (20)	
	Up to 5 lacs (10)	
Consultancy projects mobilized	5 to <10 lacs (20)	
	1 to <5 lacs (15)	
	Up to 1 lac (10)	
External Funding for attending R&D Activities (Conferences/ Seminars/ Short Term Training Programs/ Faculty Development Program)	10 to <20 lacs (20)	
	20000 to < 50000 Rs. (15)	
	10000 to <20000 Rs. (10)	
Patents	Published in India (10)	
	Granted in India (20)	
	Published/ Granted outside India (30)	

Part 4: ADMINISTRATIVE RESPONSIBILITIES

APPRAISAL CRITERIA	Description	Remarks from HAU regarding performance	POINTS (to be given by HAU)
Student centric activity organized	Department level (5)		
	University level (10)		
	Inter-university level (20)		
Department level administrative responsibility	Coordinator (10)		
	Member (5)		
University level administrative responsibility	Coordinator (20)		
	Member (10)		
Admission related	Counselling (2)		
	Travelling for admissions (5)		
	Direct admission (10)		

Date:

Signature of Faculty

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Section 2 (To be filled by HAU)

Assessment by the HAU/ Reporting Authority

(Please rate on a scale of 1-5; where 1=poor, 2= Below average, 3=average, 4=above average, 5=high)

PART A: TEACHING & CLASS MANAGEMENT

No.	Key Result Areas and Projects	Rating
1	Good teaching practices adopted	
2	Regularity and punctuality	
3	Class management including discipline and inclusion	
4	Interaction with, and support to, diverse learners	
5	Curriculum enrichment initiatives	
6	Timeliness in evaluation	

PART B: RESEARCH AND INNOVATION

No.	Key Result Areas and Projects	Rating
7	Research as evidenced by participation in minor or major projects	
8	Research as evidenced by publication in national and international journals	
9	Research as evidenced by patents filed/awarded	
10	Presentations at national/international conferences	

PART C: OTHER ACTIVITIES

No.	Key Result Areas and Projects	Rating
11	Handling of responsibilities in Department/ University management	
12	Organizing and managing events at the Department/ University level	
13	Contributing significantly to learner recruitment	
TOTAL		

Additional Comments (if any) by HAU/ Reporting Authority

Date:

Signature of HAU/ Reporting Authority

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Section 3 (To be compiled by HR)

FINAL POINTS TABLE

S. No.	Appraisal Criteria	Factor Weightage (Faculty)	Factor Weightage	Cumulative Score	Factor Weights Score
1.	Teaching Learning & Evaluation	0.35	0.15		
2.	Academic Research & Extension Activities	0.20	0.20		
3.	Sponsored Research	0.15	0.15		
4.	Administrative Responsibilities	0.15	0.35		
5.	HAU Rating	0.15	0.15		
FINAL POINTS					


Summary from HR Department


Signature of HR Head

Recommendation of Vice Chancellor:

Signature of Vice Chancellor

Date:


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