



Performance Appraisal Policy

Preamble

The Madhya Pradesh Bhoj (Open) University (MPBOU), Bhopal, will be committed to follow an effective Performance Appraisal Policy for a continuous evaluation of employees' performance and to assess the needs for their development in the University. As a process, it assesses their level of achievement, good behavior and values are appreciated and consider the actions to ensure the development of employees in the organization. MPBOU provides an annual performance appraisal system that identifies performance goal(s) necessary to achieve the University's mission and evaluates employees' attainments towards these goals.

Performance appraisal positively provides feedback and helps to identify the areas for improvement. It assesses important information of employees' knowledge, skills, and attitudes (KSA) towards the overall performance of their job roles. It is essential for the growth of the institution and the employees. It helps the MPBOU decide whether the employees are being productive or a liability. It can be a productive platform for the employees to express their work-related issues and sort them out and for administrators to motivate the employees (academic and non-academic) to contribute their best in their work arena.

MPBOU marked the following benefits of the performance appraisal for its academic and operational effectiveness:

1. Performance appraisal helps to assess the overall work performance of employees. Notably, a performance-based Appraisal System (PBAS) is being practised for academic employees in teaching and learning.
2. Performance appraisal helps to assess the training and development needs of employees.
3. Performance appraisal offers various development opportunities to employees and helps them with criticisms and suggestions to decide a plan for their development.
4. Performance appraisal helps to improve organizational communication.
5. Performance appraisal helps the institution to decide rewards and promotions.
6. Performance appraisal helps to assess training and development programs being implemented in the University have been effective.
7. Performance appraisal helps to assess the competence of employees so that their competencies can be appreciated in the future.

Section 1: Definitions

- 1.1 University or University or institution:** It refers Madhya Pradesh Bhoj (Open) University (MPBOU), Bhopal.
- 1.2 Employee:** People/persons serving any role in the University that includes academic (professors, associate professors, assistant professors, and scholars) and non-academic (officers and others) positions of different levels.

- 1.3 Performance:** It means how an employee accomplishes his/her role specific responsibilities with a certain level of effectiveness, quality, and efficiency of outcomes.
- 1.4 Competence:** It refers the consolidated ability to perform a job role effectively and efficiently.
- 1.5 Competency:** It is a set of demonstrable attributes (knowledge, skills, and attitudes) that enable a person to perform a job efficiently.
- 1.6 Feedback:** It is the resultant reactions in response to an employee’s performance of his/her job role, which is used as a basis for performance improvement.
- 1.7 Employee Development:** It refers to a process where employees enhance their skills and acquire new piece of knowledge through various training and capacity building programs facilitated by their employer.
- 1.8 Training:** Teaching individuals particular skills through purposively planned set of activities.
- 1.9 Capacity Building:** “The process of developing and strengthening the skills, instincts, abilities, processes and resources that organizations and communities need to survive, adapt, and thrive in a fast-changing world” (UN, 2020).

Section 2: Policy Statement and Declaration

2.1 The Statement

This policy commits to facilitate and improve the University’s operational effectiveness through the effective management of its employee performance, enhancing employee satisfaction, and advancement of training and development programs and resources.

2.2 The Purpose

The Performance Appraisal Mechanism in the University would aim at the following:

- 2.2.1** To identify the strengths and weaknesses of employees.
- 2.2.2** To assess the potential of employees for further growth and development.
- 2.2.3** To provide feedback to employees regarding their performance.
- 2.2.4** To provide opportunities for skill development, training, and lifelong learning.

2.3 The Scope

This policy applies to employees of the University holding a permanent or a tenure-based appointment.

2.4 The Declaration

This policy sets out the responsibilities of employees at various levels of the organizational (the University) hierarchy and specifies the processes for enhancing organizational performance through the management and review of employee performance.

Section 3: Performance Appraisal Practices

- 3.1** Assessing employee performance, determining skill gaps and development needs, and managing employee performance are critical to achieve the University's objectives and effectiveness. The University's responsibility is to ensure that the performance review mechanism and instrument(s) would be appropriate to the employees' role-specific responsibilities.
- 3.2** The performance appraisal process is the collective responsibility of employees and the University and/or appointed officer(s).
- 3.3** Performance appraisal is a structured way to -
- a.** Identify and describe work expectations and learning and development needs;
 - b.** Recognize achievements and provide feedback;
 - c.** Plan for future individual and organizational growth and development.
- 3.4** Performance appraisal should serve –
- 3.4.1** To encourage dialogue between the employees, supervisors and trainers that provides concrete feedback to employees;
 - 3.4.2** To review performance based on pre-specified objectives and goals of the University;
 - 3.4.3** To set objectives/goals to guide the employees' work throughout the year. In the case of academic employees, these objectives should be consistent with their approved work profile;
 - 3.4.4** To identify development needs to support employees in taking responsibility for their career progression;
 - 3.4.5** To improve the work values, standards, and culture;
 - 3.4.6** To identify possible ways of improving the framework within the job structure;
 - 3.4.7** To identify and acknowledge staff for excellence in performance which contributes positively to objectives specified in approved University plans and objectives;
 - 3.4.8** To identify and manage potential barriers to an acceptable level of performance;
 - 3.4.9** To formulate and implement best possible strategies to improve the performance of employees in particular and the University in general;
 - 3.4.10** To ensure the compliance of ethics and academic standards while conducting the employee appraisal.

Section 4: Kinds of Appraisal

There will be two types of appraisal: 1) Self Appraisal System for teachers and 2) Confidential Report System for non-teaching employees.

4.1 Self Appraisal System for Teaching Staff

As per the University Grant Commission (UGC) standards, the Performance Based Appraisal System (PBAS) would be adopted for the performance of faculty members and officers. This policy assures that –

- 4.1.1 The performance of each faculty member is assessed annually. Thus, he/she has to submit his/her Annual Self Assessment as per the prescribed format of PBAS.
- 4.1.2 Promotion under UGC's Career Advancement Scheme (CAS) is based on the API score of the faculty member, which should be calculated as per PBAS.
- 4.1.3 The University undertakes a variety of activities besides academics, for which faculty members are assigned additional responsibilities and duties (if required), which are mostly voluntary. The University accords appropriate credit for these contributions in their overall assessment.
- 4.1.4 The PBAS proforma filled by the Faculty Member should be reviewed and verified by the Directors/Heads of the Departments, followed by the Dean and CIQA.
- 4.1.5 Faculty members with due promotions should be recommended based on their API score and would require to appear before the screening-cum-selection committee.

4.2 Confidential Report System for Non-Teaching Staff

All non-teaching staff is appraised through an annual confidential report by controlling officers and annual performance appraisal. These staff members should be examined on various parameters, mainly– character, abilities in the departmental role, discipline, sociability and cooperation with peers, subordinates, superiors, and students.

Section 5: Responsibilities

- 5.1 The Executive Council of the University and the Hon'ble Vice-Chancellor as the Chief Executive are primarily responsible for implementing this performance appraisal policy.
- 5.2 The Registrar and/or Deputy/Assistant Registrar (Establishment) hold the responsibility to consider this policy document for the employees' performance appraisal.
- 5.3 The Employee's responsibilities:
 - 5.3.1 To consult with their officers/superiors, seek advice/guidance and express views on any aspect of his/her work role or assigned responsibilities;
 - 5.3.2 To give input on performance objectives and plan performance improvement strategies;
 - 5.3.3 To be accountable for the achievement of performance objectives and self-assess achievements against approved role-specific performance objectives, departmental performance objectives and institutional performance objectives;
 - 5.3.4 For academic staff, to submit a current Academic CV, publication details, and PBAS as per defined academic/assessment cycle;
 - 5.3.5 To seek clarification from officers/management on job expectations;
 - 5.3.6 To seek opportunities and take responsibilities for capacity building and ensure that career advancement needs are met;

- 5.3.7 To participate in annual performance appraisal and review, and prepare a plan for academic and/or professional readiness for next year;
- 5.3.8 To behave with officers/superiors respectfully and fairly.

5.4 The Officer's/Superiors/Head's responsibilities:

- 5.4.1 To initiate and ensure the compliance of performance appraisal process is performed annually for every employee;
- 5.4.2 To review employee performance against established criteria;
- 5.4.3 To consider employees in an ethical manner;
- 5.4.4 To give employees details of work expectations, including setting performance objectives and adequate timelines for their achievement;
- 5.4.5 For academic staff, to review job description/work profile periodically (as per standards/guidelines of regulatory bodies) against approved role-specific performance objectives, departmental performance objectives and institutional performance objectives and bring changes in the work profile, if necessary;
- 5.4.6 To motivate and give recognition to employees where appropriate;
- 5.4.7 To set performance criteria aligning operations and strategic plans in coordination with employees;
- 5.4.8 To identify and resolve underperformance issues;
- 5.4.9 To develop strategies for performance improvement;
- 5.4.10 To facilitate employees with professional learning and advancement opportunities aligned with their job role and departmental and/or institutional goals.

Section 6: Developmental Aspects

6.1 Professional Learning

- 6.1.1 Information extracted from the appraisal process should inform the University's employee development and capacity building priorities and initiatives.
- 6.1.2 Professional learning needs identified in the appraisal process should be linked to the Work Unit's and the University's operational and strategic plans and should consider the range of professional learning options available.

6.2 Training for Performance Management

- 6.2.1 Administrators/Officers/Superiors/Heads should be familiar with the appraisal process.
- 6.2.2 Administrators/Officers/Superiors/Heads would ensure that employees under their supervision are aware of the appraisal process.
- 6.2.3 Administrators/Officers/Superiors/Heads would be responsible for making available awareness and training programs on Performance Appraisal Policy.

6.3 Managing Underperformance

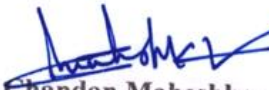
- 6.3.1 Administrators/Officers/Superiors/Heads would address underperformance issues.


- 6.3.2 Where underperformance is identified, the Administrators/Officers/Supervisors/heads set objectives and reasonable timelines within which improvements will be achieved. Here,
- Administrators/Officers/Superiors/Heads will monitor employee performance and frequently communicate with employees.
 - The employee will be provided with the opportunity and assistance to address underperformance.
- 6.3.3 Where underperformance would not remedy through these steps, the relevant formal Procedures for managing unsatisfactory performance should be adopted.

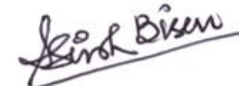
6.4 Equity


The performance appraisal process must be consistent with equity principles and academic ethics.

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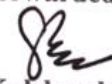

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CIQA/MPBOU/2022