



YENEPOYA

(DEEMED TO BE UNIVERSITY)

Recognized under Sec 3(A) of the UGC Act 1956

Accredited by NAAC with 'A' Grade

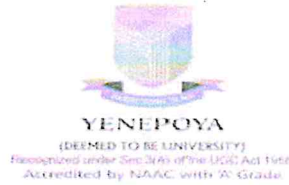
**6.3.5 - Institution has Performance Appraisal System
for teaching and non-teaching staff**

Performance Appraisal Policy of the Institution

Contents

| Sl. No | Particulars | Page No |
|---------------|---|----------------|
| 1. | Performance appraisal policy for teaching staff | 3-13 |
| 2. | Performance appraisal policy for non-teaching staff | 14-19 |

1. Performance Appraisal Policy for Teaching Staff



Performance appraisal policy/guidelines for Teaching Faculty

PREAMBLE:

Performance evaluation is an important but at the same time challenging task for teaching staff and institution. It is a yardstick which helps to make sure the organization is in the right track as individual's contribution leads to organizational goal achievement. For employees it is a personal growth target sheet and recognition from employer for their achievements and contributions.

Yenepoya (Deemed to be University) has developed specific, comprehensive, measurable and mutually benefited performance tasks in the evaluation form. It includes major areas namely Academics, Research, Awards/Recognitions/Additional Qualification/ Presentations, Feedback, Administrative /Additional Responsibilities/ Curricular / Committees / Membership / Others and Work ethics/Punctuality and each section has got overall points and indivisible criteria weightages.

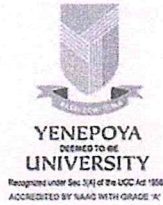
The uniqueness of any ideal performance evaluation tools are involving both sides equally so self appraisal, approvals by HOD and reviewing by university officials are part of the tools. The evaluation of performance appraisal is done annually and in specific situations like confirmation of employment and promotion.


REGISTRAR

ATTESTED



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Yenepoya (Deemed to be University)
Individual Performance Review & Development

Performance Indicators

| | |
|--|------------|
| Academics | 40 |
| Research | 20 |
| Awards/ Recognitions/ Additional Qualification/ Presentations | 15 |
| Feedback | 15 |
| Additional responsibilities/ assignments , Work ethics, Team work, human relations, | 10 |
| TOTAL | 100 |

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1. ACADEMICS – TEACHING UG/PG (Applicant must enclose supporting document if answer is YES.)

| CRITERIA (4 points each for criteria) | TOTAL POINTS | POINTS AWARDED (SELF) | POINTS AWARDED (CONSENSUS) |
|--|-------------------------|--------------------------------------|---|
| <ol style="list-style-type: none"> 1. Didactic Lectures 2. Practical and clinical demonstrations for UGs / PGs and Supervision and evaluation of practical and clinical work/ field visits of all students 3. Seminar/Journal club/ Demonstration/ Practical (conducted/attended/ moderated/ guided) 4. Small group discussions/Clinical cases / PBL/ Simulation /preparation of lesson plan 5. Conducting Unit Test / Internal Exams and Preparing, vetting question papers/question bank for Internal and university exams. 6. Conduct practical/clinical exam and viva voce 7. Invigilation during Internal and University exams 8. Expert assistant/ examiner during internal/university exam 9. Guidance for Postgraduate thesis/PhD Guidance and short studies 10. Counseling of students with attendance shortage & poor performers | 40 | | |

2. RESEARCH

| | | POINTS | POINTS AWARDED (SELF) | POINTS AWARDED (CONSENSUS) |
|---|---|---------------|--------------------------------------|---|
| <ol style="list-style-type: none"> 1. PUBLICATIONS | <p>A) Minimum 1 paper per year in indexed journals based on original research as first/second/third or corresponding author (Web of Science, Scopus, PUBMED, Medline, citation index, science citation index, expanded embase, directory of open access journals(DOAJ)).</p> | 5 | | |

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| | | | | |
|---------------------------|---|-----------|--|--|
| | B) Case Reports, case series Review articles etc . , in indexed journals as first or corresponding author Web of Science, Scopus, PUBMED, Medline, citation index, science citation index, expanded embase, directory of open access journals). | 4 | | |
| | Publications as co- authors (other than first author or corresponding author); Original research – 3 points each (upto 5 authors) Case Reports, Reviews- 2 point each (upto 3 authors) | Maximum 5 | | |
| 2 Book authored | Chapter authored /edited | 2 | | |
| 3. RESEARCH GRANTS | Research Grants including clinical trials from external agencies (Every grant received gets 1 point). (Maximum of 4 points) | 4 | | |
| TOTAL | | 20 | | |

3. AWARDS/ RECOGNITIONS/ ADDITIONAL QUALIFICATION/ PRESENTATIONS:

| | Total points | Event | Points distributed | Points awarded (self) | Points awarded (consensus) |
|--|--------------|-------------------|--------------------|-----------------------|----------------------------|
| 1. Awards/ recognition/travel grants | 5 | International | 3 | | |
| | | National / others | 2 | | |
| 2. Additional qualifications (Only on the year of qualification) | 5 | International | 3 | | |
| | | National / others | 2 | | |

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| | | | | | |
|----------------|---|--|-------------------------|--|--|
| 3. Conferences | 3 | Oration, guest talks, invited faculty for workshops, Paper/ poster presentations | 3(one point per event) | | |
| | 2 | Chair persons, moderators, panelist | 2 (one point per event) | | |
| Total | | | 15 | | |

4. FEEDBACK

| | Points allotted | Points awarded Self | Points awarded Staff/student | Final Points awarded |
|----------------------------------|-----------------|---------------------|------------------------------|----------------------|
| 1. Student feedback on faculty** | 10 | | | |
| 2. HOD feedback/ CR | 5 | | | |
| TOTAL | 15 | | | |

5. ADDITIONAL RESPONSIBILITIES/ ASSIGNMENTS AT THE ORGANIZATION

| CRITERIA | POINTS ALLOTTED | POINTS AWARDED (SELF) | POINTS AWARDED (CONSENSUS) |
|--|-----------------|-----------------------|-----------------------------|
| 1. Participation in University assignments/functions & College assignments/functions | 01 | | |
| 2. Chairperson/ Membership of various committees (e.g.: ethics committee, Medical Education unit /CHPE etc.) | 01 | | |
| 3. Active participation in quality initiatives (NAAC/ NABH/ NABL) | 04 | | |
| TOTAL | 06 | | |

6. WORK ETHICS/ TEAM WORK/ HUMAN RELATIONS

| CRITERIA | POINTS ALLOTTED | POINTS AWARDED (SELF) | POINTS AWARDED (CONSENSUS) |
|---|-----------------|-----------------------|----------------------------|
| 1. Punctuality, dependability, competency | 02 | | |
| 2. Team work and human relations | 02 | | |
| Total | 04 | | |

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Appraisee's name

Signature

Comments if any:

Appraisers Name

Signature

Comments(Overall evaluation) if any:

Agreed objectives for next year:

Reviewer's name

Signature

Comments if any:

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REGISTRAR



Yenepoya (Deemed to be University)

Faculty Performance Appraisal
YENEPOYA RESEARCH CENTRE

Performance Indicators and weightage ratio:

| | |
|--|------------|
| Academics (including PhD guidance) | 20 |
| Research (Publications/extramural grants/patents) | 60 |
| Awards/ Recognitions/ Additional Qualification/ Presentations | 05 |
| Feedback | 05 |
| Administrative/ additional responsibilities/ curricular/committees/memberships/others | 05 |
| Work Ethics/Punctuality/etc | 05 |
| TOTAL | 100 |

For assessment and promotion:

Asst. Professor Stage 1 to Stage 2: 60 points

Asst. Professor Stage 2 to Stage 3: 65 points

Asst. Professor Stage 3 to Associate Professor Stage 1: 70 points

Associate Professor Stage 1 to Associate Professor Stage 2: 80 points

Associate Professor Stage 2 to Additional Professor/ Professor: 90 points

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1. ACADEMICS – TEACHING PG/PG Diploma/PhD (Applicant must enclose supporting document if answer is YES.)

| CRITERIA (2 points/criteria) | | TOTAL POINTS | POINTS AWARDED (SELF) | POINTS AWARDED (CONSENSUS) |
|-----------------------------------|---|-----------------|--------------------------------------|---------------------------------------|
| i. | Didactic Lectures | 20 | | |
| ii. | Practical sessions | | | |
| iii. | Seminar/Journal club/ Demonstration/ (conducted/attended/ moderated/ supervised) | | | |
| iv. | Small group discussions (PhD scholars) | | | |
| v. | Conducting Unit Test / Internal Exams and Preparing, vetting question papers for Internal and university exams. | | | |
| vi. | Conduct practical / exam and viva voce (Expert assistant/ examiner during internal/university exam) | | | |
| vii. | Invigilation during Internal and University exams | | | |
| viii. | Guidance for PhD (Supervisor/Co-Supervisor) | | | |
| ix. | Doctoral committee member and participating in progress review meetings/counseling | | | |
| x. | Course Coordinator/PhD Course work coordinator/etc | | | |
| 2. RESEARCH | | POINTS | POINTS AWARDED (SELF) | POINTS AWARDED (CONSENSUS) |
| A. Publications | (A) Original articles in indexed journals as first/Second/ corresponding author (Web of Science, Scopus indexed journals) Per publication=2 points x impact factor | 20 | | |
| | (B) Review articles as first or corresponding author (Web of Science, Scopus indexed journals) Per publication=1 point x impact factor | 5 | | |

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| | | | | |
|---------------------------|--|-----------------|--|--|
| | (C) Publications as co- authors Original research – (2 points each) Editorials/ Reviews- (1 point each) | Max 5 points | | |
| | Chapter authored /edited (2 points each) | | | |
| B. Research grants | Research Grants: Extramural (Govt/Non Govt) including consultancy projects Principal investigator: 1 point/2 lakhs Co-investigator: 0.25 point/2 Lakhs | 20 | | |
| C. Patents | Patents Filed: 2 points Patents Published=3 points Patents granted: 10 points | 10 | | |
| TOTAL | | 60 | | |

3. AWARDS/ RECOGNITIONS/ ADDITIONAL QUALIFICATION/ PRESENTATIONS:

| | Total points | Event | POINTS DISTRIBUTED | POINTS AWARDED (SELF) | POINTS AWARDED (CONSENSUS) |
|---|--------------|--|--------------------|-----------------------|----------------------------|
| A. Awards/ recognition/travel grants | 2 | INTERNATIONAL | 2 | | |
| | | NATIONAL / OTHERS | 1 | | |
| B. Conferences | 3 | Oration/guest talks, invited faculty for workshops/Paper/poster presentations/ Chair persons/moderators/panelist | 3 (1/Event) | | |
| Total | 5 | | 5 | | |

4. FEEDBACK

| | Total Points | POINTS AWARDED STAFF/ STUDENT | FINAL POINTS AWARDED | Remarks |
|--------------------|--------------|-------------------------------|----------------------|---------|
| A. Student | 2.5 | | | |
| B. HOD / CR | 2.5 | | | |
| TOTAL | 5 | | | |

5. ADDITIONAL RESPONSIBILITIES/ ASSIGNMENTS AT THE ORGANIZATION (administrative/ curricular/committees/memberships/others)

| CRITERIA | POINTS ALLOTTED | POINTS AWARDED (SELF) | POINTS AWARDED (CONSENSUS) |
|--|-----------------|-----------------------|-----------------------------|
| A. Participation in University assignments/functions & College assignments/events | 02 | | |

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| | | | |
|--|-----------|--|--|
| 2. Chairperson/ Membership of various committees/organizing committee of workshops and conferences | 01 | | |
| 3. Active participation in quality initiatives (NAAC/ NABH/ NABL) | 02 | | |
| TOTAL | 05 | | |

6. WORK ETHICS/ TEAM WORK/ HUMAN RELATIONS

| CRITERIA | POINTS ALLOTTED | POINTS AWARDED (SELF) | POINTS AWARDED (CONSENSUS) |
|---|-----------------|-----------------------|----------------------------|
| 1. Punctuality, dependability, competency/work ethics | 03 | | |
| 2. Team work and human relations | 02 | | |
| Total | 05 | | |

Appraisee's name: _____ Signature: _____ Date: _____

Other information if any:

Appraisers Name _____ Signature: _____ Date: _____

Comments based on the overall evaluation:

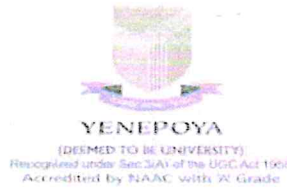
Reviewer's name: _____ Signature: _____ Date: _____

Comments if any:

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2. Performance Appraisal Policy for Non-Teaching Staff



Performance appraisal policy/guidelines for Non-Teaching Faculty

PREAMBLE:

Performance evaluation is an important but at the same time, challenging task for non teaching staff and institution. It is a yardstick which helps to make sure the organization is in the right track as individual's contribution leads to organizational goal achievement. For employees, it is a personal growth target sheet and recognition from employer for their achievements and contributions.

Yenepoya (Deemed to be University) has developed specific, comprehensive, measurable and mutually benefited performance tasks in the evaluation form. The uniqueness of any ideal performance evaluation tools are involving both sides equally so self appraisal, evaluating by the subordinate and reviewing by the HOD are part of the tools. The evaluation of performance appraisal is done bi-annually and in specific situations like confirmation of employment and promotion.


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YENEPOYA (Deemed to be University)

Performance Evaluation (Applicant must enclose supporting document if answer is YES)

Name & code of the Employee:

Designation:


Department:

Date of Joining:

Present Status:

| Section-I | | Self | | | | | Subordinate/Peer | | | | | Comments* |
|--|---|---------|---|---|---|---|------------------|---|---|---|---|-----------|
| S.N | Parameters | Ratings | | | | | Ratings | | | | | |
| 1 | Support /guidance /mentoring | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 2 | Role model for subordinates orco- workers | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 3 | Interest about work | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 4 | Interpersonal relationship with Colleagues | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 5 | Coordination in Team Work | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 6 | Helps others to Improve the Quality of their work | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| Total Marks(30) : | | | | | | | | | | | | |
| Name &ID of subordinate/peer(if willing to disclose) | | | | | | | | | | | | |
| Section-II | | Self | | | | | HOD/Appraiser | | | | | Comments* |
| S.N | Parameters | Ratings | | | | | Ratings | | | | | |
| 1 | Job knowledge | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 2 | Willing to take up responsibility of given team task | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 3 | Submitting the reports on time | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 4 | Willingness to learn new skills | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 5 | Go beyond the call of duty when it is required | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 6 | Knowledge about computer, Technology and other relevant advance skill require for the job | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 7 | Quality of work | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| Total Marks(30) : | | | | | | | | | | | | |
| Name and designation of the HOD/Appraiser | | | | | | | | | | | | |
| Section-III | | Self | | | | | HOD/Appraiser | | | | | Comments |
| SN | Parameters | Ratings | | | | | Ratings | | | | | |
| 1 | Communication skills | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 2 | Dedication to the assigned work | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 3 | Cooperation in the departmental works | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 4 | Punctuality | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 5 | Initiative | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 6 | Behaviour | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 7 | Appearance | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| 8 | Responsiveness | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| Total Marks (40) | | | | | | | | | | | | |
| Name and designation of the HOD/Appraiser | | | | | | | | | | | | |

*Comments will be mandatory if the difference between self&others rating is equal to or more than 1. Points and comments will be mandatory when point by peers/HOD is only 1.

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| Section-IV | | | | | | | |
|--|---|------------------|----------|---|-------------|----|-----------------|
| Any additional Course has done since last promotion - PG/UG/CERTIFICATE-OFFLINE/ONLINE | | | | | Yes | NO | Points assigned |
| If Yes, please mention the additional Course details | | | | | | | |
| 1 | Course completed | In Last one year | 1-2years | 2-3years | 3-4years | | |
| | Points | 5 | 4 | 3 | 2 | | |
| 2 | Course related to the job | Yes | | NO | | | |
| | Points | 5 | | 1 | | | |
| Comments by University officials | | | | | | | |
| Details of the course if the course related to the job role , | | | | | | | |
| 4 | Mode of the course | Regular | | Part time/On line | Distance | | |
| | Points | 5 | | 3 | 2 | | |
| 5 | Course details | PG | UG | Diploma | Certificate | | |
| | Points | 5 | 4 | 3 | 2 | | |
| 6 | Course has hands on training | Yes | No | Mention the points/comments | | | |
| | Points | 5 | 1 | | | | |
| 7 | Publication and involvement in extracurricular activities which positively impact society. (Arts, Sports, Culture, Publication etc) | Yes | NO | Details of the activities with Proof attachments: | | | |
| | Points | 5 | 1 | | | | |
| TOTAL SCORE(30) | | | | | | | |

Tick on Grade of Performance according to the grand total (Section 1-3)marks:

Poor (10-20) Fair(21-40) Good(41-60) Very Good (61-80) Excellent(81-100)

| Sl No | Recommendations to regularise/promote by HOD** | Opinion | Recommended | |
|-------|--|-----------|-------------|----|
| | | | Yes | NO |
| 1 | To be promoted(Regularisation) for next level with one additional increment | Excellent | | |
| 2 | To be promoted(Regularisation) with Salary changes | Very Good | | |
| 3 | To be promoted/rotated/regularised may be done after 6 months of performance observation | Good | | |
| 4 | To be continued to work for 6 months& then performance will be evaluated | Fair | | |
| 5 | To be terminated | Poor | | |

Appraisee comments (Mandatory):

Appraiser (HOD) comments (Mandatory)**:

Recommendation for job Rotation/Recommendation for upskilling or reskilling if score is below good and any specific area or parameter is weak or identified as requirement for the job. (YES/NO)

Objectives for next evaluation (Mandatory):

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Counselling points

Reviewers comments and conclusions (Branch heads (principal /MS)(Mandatory):

Recommendation for job Rotation/ Recommendation for upskilling or reskilling if score is below good and any specific area or parameter is weak or identified as requirement for the job. (YES/NO)

Appraisee signature

Appraiser signature

Reviewers signature

Regularisation (promotion) Committee

Comments by regularisation (promotion) committee:

Space for University office comments /feedback:

| Section V: Assessment on current job skills – score of 10 weightage | Score | Weightage |
|---|-------|-----------|
| | | |

Total score(I-III)=

Weightage for section IV=

Weightage for section V=

Discrepancies in scoring -

Lack of proof for the scoring or claims –

Report of confidential enquiry -

Eligible for promotion /regularisation = YES/NO

6/6

Comments:

Action suggested :

HR Manager.

REGISTRAR

Vice Chancellor

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Guidelines to conduct performance appraisal and submission of the format to the University

1. This form will be used for the purpose of regularisation / promotion or for confidential assessment of employees .
2. Performance assessment is an ongoing constructive measure to support the employee to improve and enhance team work in the departments and not a disciplinary measure.
3. This form is divided into 5 sections and section 1 to 3 is having options to self-rate by the employee along with that section 1 will be assessed by a peer or subordinate by voluntary selection or by the choice of the HOD. The section 2 and 3 are assessed by the reviewer or the HOD .
4. Section 4 is focusing on the skills or training gained by the employee in the recent past to enhance the work done by the employee in order to achieve the departmental or organizational objectives.
5. Section 5 is an online or written examination and which will conducted by the university .
6. The section 4 and 5 score will be taken for weightage to rank or prioritise the applicants .
7. Every relevant documents as proof must be attached for the parameters answered as 'YES'.
8. Every performance appraisal process should end with a counselling session with appraisee and appraiser in order to set a mutually agreeable terms and conditions for future improvements and the counselling points will be taken into consideration for the next evaluation for the completion or achievements of the set objectives .
9. Any concerns regarding this process, can be raised through official process to the Registrar's office
10. Final authority on decision making in this regard will be the Hon. Vice Chancellor.

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