



G. L. BAJAJ
INSTITUTE OF TECHNOLOGY AND MANAGEMENT
PLOT NO. 2, KNOWLEDGE PARK-III, GREATER NOIDA, UTTAR PRADESH

**FACULTY APPRAISAL
AND
DEVELOPEMENT POLICY**

(Approved in the 20th BOG meeting held on 19-05-2018 vide agenda Item no. 20.8)


Registrar

G.L. Bajaj Institute of Technology & Management
Plot No. 2, Knowledge Park - III,
Greater Noida - 201306 (U. P.)

Managed By : Rajiv Memorial Academic Welfare Society, Mathura
Approved By : All India Council for Technical Education, New Delhi
Affiliated To : Dr.A.P.J. Abdul Kalam Technical University, Lucknow

FACULTY APPRAISAL AND DEVELOPMENT POLICY

1.0 Introduction

The role of teachers is critical in enhancing education standards in any academic institution. Improving the quality of education depend in large measure, on ensuring that teachers are well qualified, highly skilled, well-resourced and motivated to perform with aplomb. The success of any institution depends on the quality of its teachers. Therefore, those institutes which have quality teachers are the winners.

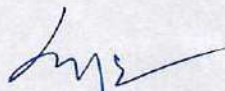
In ancient Indian literature four attributes for teachers are advocated, namely, "Sadvaranam" (holy/pious/good conduct), "Vidwat" (knowledge based on expertise, practice and experience), "Adhyapana Kaushalyam" (teaching skills) and "Shishyapriyatvam" (love and affection for pupil). "Vidwat" & "Adhyapana Kaushalyam" are path dependent. It is essential to know the strengths of teachers ("Vidwat" & "Adhyapana Kaushalyam") and their performance which could be further developed through a structured **Faculty Appraisal and Development Policy**.

From this perspective, a system of faculty appraisal and development policy is a vital step in the drive to improve the effectiveness of teaching & learning and in raising the educational standards of the Institute

Meaningful teacher evaluation involves an accurate appraisal of the effectiveness of teaching, its strengths and areas for development, followed by feedback, counseling, support and opportunities for professional development. It is also essential to recognize and reward the work of a teacher.

The goal of assessing teachers is to determine their effectiveness in teaching and to identify and to correct deficiencies within the operating system of the institution. Faculty Appraisal and Development Policy, therefore, is meant to highlight areas where faculty members have encountered difficulties in the discharge of their duties, and to identify appropriate remedies.

In this context, following policy and procedures are formulated for implementation of Faculty Appraisal and Development Policy. (This is in tune with the Affiliating University / UGC / AICTE / Government of Uttar Pradesh norms).



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Roles & Responsibilities of Teachers:

Teachers have the responsibility to ensure that students gain the knowledge and skills they require to become effective learners and ultimately become a responsible citizen. They also have a responsibility to meet high professional standards as per the need of the industries and complying the requirements of the statutory bodies such as Affiliating University, UGC, AICTE, NBA and Government of Uttar Pradesh. The responsibilities listed below provide guidance to teachers in executing their duties in three different broad areas - Administration, Research and Teaching.

- ❖ Teaching in classroom and laboratory
- ❖ Administration (Academic related)
- ❖ Learning resource development
- ❖ Research, development and innovation.
- ❖ Self-development and acquisition of knowledge and skill
- ❖ Consultancy / interaction with industry
- ❖ Extension services/ Outreach activities
- ❖ Any other duty assigned by the appropriate authorities.

2.0 Policy:

2.1 Statement

“Every teacher shall submit Self-Appraisal Report (SAR) with computed Academic Performance Indicators (API) to the Director through HOD for evaluation at the end of each academic year / period of appraisal and the Director shall prescribe the necessary remedial measures for overall professional growth after review of SAR”

2.2 This policy is applicable to all teachers of the Institute. It is developed to regularly evaluate the performance of teachers. It helps to determine whether teachers' performance meet the required standards of statutory bodies time to time.

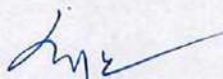
2.3 The policy is formulated to:

- ❖ Identify both strengths and deficiencies of teachers
- ❖ Encourage continuous professional growth.
- ❖ Indicate remedial measures wherever necessary
- ❖ Ensure accountability

2.4 It stipulates the curricular, co- curricular and other profession related activities of teachers and the involvement of teachers in such activities (Refer Table-I).

2.5 It also prescribes the minimum API scores to be secured by teachers for the award of service benefits as given in Table-II

2.6 The Self-Appraisal Report (SAR) of each teacher shall be maintained by the Registrar Office with a copy in the department.



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3.0 Procedure:

3.1 The Faculty Appraisal and Development Policy consists of:

- ❖ Self-Appraisal by the teacher
- ❖ Appraisal of the teacher by Head of the Department
- ❖ Appraisal of the teacher by Director
- ❖ Feedback from the Director in terms of appreciation / observation / remedial measures, if any, to be communicated to the concerned teacher through HOD.

3.2 Every year, every teacher shall submit the SAR to his/her HOD in the prescribed format, which defines API.

3.3 The HOD will verify SAR in consultation with the teacher concerned. In case of any disagreement, the HOD shall record his/her evaluation/observations clearly indicating the reasons for variation in API scores in Section B of the SAR. Remedial measures, if any, shall also be mentioned in this Section.

3.4 The Director shall review SAR of each teacher and take suitable measures and record the same in Section C of SAR.

3.5 Every teacher shall give a presentation on his/her performance and accomplishments before Apex Academic Committee once in three years.

3.6 Additional increment(s) shall be given as special incentives, if API scores recorded are very good.

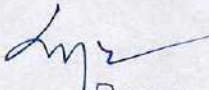
4.0 Failure to comply with the expected standards or requirements mentioned in clauses 1 to 3 of FADP.

If any faculty fails to comply with the requirements / standards as enunciated in clauses 1 to 3 of Faculty Appraisal and Development Policy, such a faculty member shall be issued a show-cause notice.

4.0 Promotion Policy of AICTE shall be applicable while considering the promotion cases in all faculty cadres.

Table I: Documents / attributes to be considered for evaluation of appraisal. (MM: 200)

| Category I: Teaching, Learning and Evaluation related activities | | |
|---|---|-----------------------|
| Activity | Basis for Appraisal documents / attributes | Max. API Score |
| Classroom instructions, laboratory and classes taken against allotted hours | Attendance register , Lesson plan , Course material, Test books , Marks statements / Academic Results, Students feedback, Class coordinator report, Remedial action taken on identified weak students | 120 |
| Learning resource development | | |
| Evaluation related activities | | |


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| Category II : Co-curricular and profession related activities including administration | | |
|---|---|-----------------------|
| Activity | Basis for Appraisal | Max. API Score |
| Participation in FDPs/Refresher Courses | Appraisal to be done on the basis of work allotted to & executed by individual teacher and other relevant documents | 35 |
| Participation in Conference / Seminar | | |
| Organization of workshops, seminars, training programmes, conferences etc., for faculty members | | |
| Organization of training programme, Seminars, guest lectures, workshops, Field or Industrial Visits for students | | |
| Contribution as a member or coordinator in various Departmental and Institutional committees | | |
| Institutional governance responsibilities like HOD, Dean, Center Supdt. Student Welfare Officer, Chief Proctor etc. | | |
| Membership of Academic / Professional bodies of other institutions like Governing Board, Advisory Board, Academic Council, Board of Studies, Editorial Board of Journals & Institutional Publications/Resource Person | | |

| Category III : Research and academic contributions | | |
|--|-----------------------------|-----------------------|
| Activity | Basis for Appraisal | Max. API Score |
| Books published | Based on relevant Documents | 45 |
| Research Publications | | |
| Research projects | | |
| Patents | | |
| Consultancy projects | | |
| Research guidance (M.Tech. / Ph.D) or Equivalent Research Work | | |

| AWARDS, HONORS AND ANY OUTSTANDING ACHIEVEMENTS | | |
|---|---|-----------------------|
| Activity | Basis for Appraisal documents / attributes | Max. API Score |
| Awards, Laurels, Honors and any other outstanding Achievement | Only to be mentioned, not to be considered for API Scores. This would be considered as special achievement and shall be appreciated at another platform | Not applicable |


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Table II: Minimum Academic Performance Indicators (API):

A teacher has to score the minimum API score per year as detailed below out of a maximum 200 of points to get service benefits category wise.

Category 1 – Satisfactory (3% annual increment).

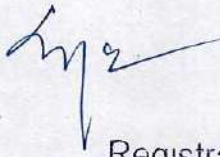
| Minimum API Scores required | | | | | Or Overall as special case |
|-----------------------------|---------------------|----------------------------|----------------------------------|---------------------|----------------------------|
| S. No. | Cadre | Category I (Max API : 120) | Category II & III (Max API : 80) | Total (Max API:200) | |
| 1 | Assistant Professor | 85 | 15 | 100 | 120 |
| 2 | Associate Professor | 95 | 25 | 120 | 130 |
| 3 | Professor | 95 | 35 | 130 | 140 |

Category 2 – Good (3% annual + 3% additional increment).

| Minimum API Scores required | | | | | Or Overall as special case |
|-----------------------------|---------------------|----------------------------|----------------------------------|---------------------|----------------------------|
| S. No. | Cadre | Category I (Max API : 120) | Category II & III (Max API : 80) | Total (Max API:200) | |
| 1 | Assistant Professor | 95 | 25 | 120 | 140 |
| 2 | Associate Professor | 100 | 35 | 135 | 150 |
| 3 | Professor | 100 | 45 | 145 | 160 |

Category 3 – Excellent (3% annual + 6% additional increment).

| Minimum API Scores required | | | | |
|-----------------------------|---------------------|----------------------------|----------------------------------|---------------------|
| S. No. | Cadre | Category I (Max API : 120) | Category II & III (Max API : 80) | Total (Max API:200) |
| 1 | Assistant Professor | 105 | 40 | 145 |
| 2 | Associate Professor | 110 | 50 | 160 |
| 3 | Professor | 110 | 55 | 165 |



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Annexure-I

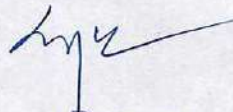
Guidelines for computation of API Scores by Faculty members

The Faculty members shall use the following guidelines to fill API scores in the SAR.

CATEGORY I: TEACHING, LEARNING AND EVALUATION RELATED ACTIVITIES

To be computed semester wise for a maximum API score of 60 per semester. API score computed for Odd and Even semester to be summed up to present in SAR.

| S. No. | Teaching, learning and evaluation related activities | Maximum API Score Allotted/ semester | Scheme for computation of API score (By Faculty member) | Scheme for computation of API score to be awarded by HOD |
|--------|--|--------------------------------------|--|---|
| 1 | Instructions: classroom teaching and laboratory classes taken against allotted hours | 10 | To be computed on the basis of percentage of class hours taken against the number of available class hours. 90% and above (10) 80% to 89.9% (8) 75% to 79.9% (5) Less than 75% (0) | To be computed on the basis of percentage of class hours taken against the number of available class hours and the feedback obtained from students regarding the effectiveness of teaching learning process |
| 2 | Coverage of Prescribed Syllabus | 10 | To be computed on the basis of percentage of syllabus completely covered during each semester 90% and above (10) 80% to 89.9% (8) 75% to 79.9% (5) Less than 75% (0) | To be computed on the basis of percentage Syllabus completely covered during each semester. To be verified from lesson plan and Class committee report and other feedback mechanism |
| 3 | Student Appraisal (Average if more than one subject) | 10 | To be computed on the basis of student feedback during each semester. 95% and above (10) 85% to 94.9% (8) 70% to 84.9% (6) 60% to 69.9% (3) Less than 60% (0) | To be Verified on the basis of student feedback during each semester. |

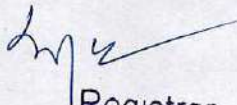

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| | | | | |
|---|---|----|--|--|
| 4 | Teaching Beyond the Syllabus in the concerned course & Use of Information Communication Technology | 15 | Per topic (3) Use of ICT (3)/Per Course | HODs to verify this. API scores to be awarded based on the extent of the tasks Teaching beyond syllabus: To be shown in lesson plan |
| 5 | Sessional Test duties (Question paper setting and evaluation of answer scripts) as per duties allotted. | 10 | Question Paper Setting (4) Evaluation (6) | To be verified by the HODs based on feedback from the Exam Cell |
| 6 | Additional examination work such as coordination, invigilation, flying squad and such allied duties assigned by Exam Cell/ HODs | 5 | Details of work assigned | Verify the details and evaluate the assignment on the basis of feedback from Exam Cell or other related section. |
| | | 60 | | |

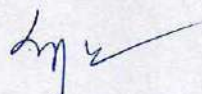
CATEGORY- II: CO-CURRICULAR AND PROFESSION RELATED ACTIVITIES

To be computed at the end of the period of appraisal for a maximum API score of 35. (Not to be computed by faculty members. To be awarded by the HOD)

| S. No | Co-curricular and profession related activities | Max. API Score Allotted | Computation of API score (By Faculty members) | Computation of API score to be awarded by HOD |
|-------|---|-------------------------|---|--|
| 1 | Participation in FDPs / Refresher Courses | 3 | At least one FDP / Refresher course is attended | HOD to award score based on verifiable proofs |
| 2 | Participation in Conferences, Seminars | 3 | At least one Conference / Seminar is attended | HOD to award score based on verifiable proofs |
| 3 | Organizing of workshops, FDP, Seminars, Training programmes, conferences etc. for faculty members | 3 | (To be awarded by the HOD). Max. 3 faculty members will be allowed in an event. | HOD to award score depending upon the contribution of the faculty member organizing such event |


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| | | | | |
|----|--|----|---|--|
| 4 | Organizing of training programme, Seminars, guest lectures, workshops, Field or Industrial Visits for students | 3 | (To be awarded by the HOD). Max. 3 faculty members will be allowed in an event. | HOD to award score depending upon the contribution of the faculty member organizing such event |
| 5 | Membership of Department Level Committees. | 2 | (To be awarded by the HOD) | HOD to award score depending upon the contribution of the faculty member in such bodies |
| 6 | Membership of Institute Level Committees. | 3 | (To be awarded by the HOD) | HOD to award score depending upon the contribution of the faculty member in such bodies |
| 7 | Institutional governance responsibilities like HOD / Cell, Dean, Center Supdt., Chief Proctor etc. | 5 | (To be awarded by the Director) | Award score based on performance |
| 8 | Membership of Academic bodies of other institutions like Governing Board, Advisory Board, Academic Council, Board of Studies, Editorial Board of Journals & Institutional Publications/Resource Person | 5 | (To be awarded by the HOD) | HOD to award score based on verifiable proofs |
| 9 | Membership of Professional bodies/ Technical Societies like IEEE, ISTE, SAE, CII, ICEIT etc. | 4 | (To be awarded by the HOD) | HOD to award score based on verifiable proofs |
| 10 | Compliance of Notice / Circulars issued by the competent authorities at Department Level | 2 | (To be awarded by the HOD) | Award score based on feedback from various authorities |
| 11 | Compliance of Notice / Circulars issued by the competent authorities at Institute Level | 2 | (To be awarded by the Director) | Award score based on feedback from various authorities |
| | Total | 35 | | |



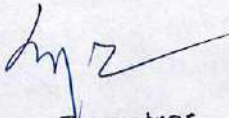
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CATEGORY – III: RESEARCH AND ACADEMIC CONTRIBUTIONS

To be computed at the end of the period of appraisal for a maximum API score of 45


| S. No. | Co-curricular and profession related activities | Max.API Score Allotted | Computation of API score (By Faculty members) | Computation of API score to be awarded by HODs |
|--------|--|------------------------|--|--|
| 1 | Research Publications (Having scopus index) | 10 | National 4 points International 6 points | HOD to award score based on verifiable proofs |
| 3 | Books Publications | 8 | National 3 points International 5 points Chapter 2 (Nat.) 3 (Int.) | HOD to award score based on verifiable proofs |
| 4 | Sponsored Research Projects | 8 | On merit basis of impact of research project | HOD to award score based on verifiable proofs |
| 5 | Consultancy Projects | 8 | On merit basis of impact of Consultancy project | HOD to award score based on verifiable proofs |
| 6 | Research guidance (M.Tech. & Ph.D) or Equivalent or Academic Qualification up gradation (Ph.D) | 5 | On merit basis of impact of research guidance (outcome based) | HOD to award score based on verifiable proofs |
| 8 | Patents | 6 | On merit basis of impact of patent | HOD to award score based on verifiable proofs |
| | Total | 45 | | |


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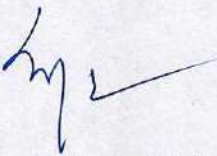
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Self-Appraisal Report

| SECTION – A | | | | | | | | | |
|--|-----------------------------|----------------|------------|------------|---------------|--------------|-------|--------------------|----------|
| (To be filled in by the teacher and verified by the respective Head of Department) | | | | | | | | | |
| Month of Appraisal (Enter month of annual salary Increment) | | | | | | | | | |
| | Eg: Aug | | | | | | | | |
| Period of Appraisal (One year previous to the month of appraisal) | | | | | | | | | |
| | Eg: Aug To July | | | | | | | | |
| Name (in Block letters) | | | | | | | | | |
| Current Designation: | | | | | | | | | |
| Department | | | | | | | | | |
| Date of Joining | | | | | Date of Birth | | | | |
| Qualification : | | | | | | | | | |
| Degree / Diploma | University / Board | Specialization | Passing | | | | | | |
| | | | | | | | | | |
| | | | | | | | | | |
| | | | | | | | | | |
| | | | | | | | | | |
| | | | | | | | | | |
| Subjects taught during previous two completed semesters with students' performance | | | | | | | | | |
| S No | Subject with code | Sem | No. Appear | No. Passed | Pass % | Attendance % | | No. of Sheet Given | |
| | | | | | | Subject | Class | Assignme | Tutorial |
| 1 | | | | | | | | | |
| 2 | | | | | | | | | |
| 3 | | | | | | | | | |
| 4 | | | | | | | | | |
| 5 | | | | | | | | | |
| 6 | | | | | | | | | |


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| Data corresponding to the period of appraisal and one year previous to the period of appraisal | | | | | |
|--|--|---|---------------------|---|---------------------|
| S. No | Particulars | Corresponding to one year previous to Period of Appraisal | | Period of Appraisal (Eg: Aug __ to July __) | |
| 1 | Number of short-term courses/FDPs attended | | | | |
| 2 | Number of training programmes seminars/workshops organized for faculty members | | | | |
| 3 | Number of seminars/Workshops organized for students | | | | |
| 4 | Awards, Honours & any outstanding achievements | | | | |
| 5 | Number of Research Publications | Conferences | Journals | Conferences | Journals |
| | | National: ____ | National: ____ | National: ____ | National: ____ |
| | | International: ____ | International: ____ | International: ____ | International: ____ |
| 6 | Funded research proposal submitted to University/ DST/ UGC/ AICTE/etc., | | | | |
| 7 | Ongoing funded research projects (As Director investigator / co-investigator) | | | | |
| 8 | Visit Abroad/ Interaction with Overseas University and organizations | | | | |
| 9 | Details of Review of Books/Papers etc., / Evaluation of Ph.D Thesis | | | | |
| 10 | Any other data you wish to add as special achievement which is equivalent to above | | | | |

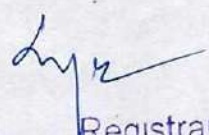

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Academic Performance Indicator (API) Scores

CATEGORY I: TEACHING, LEARNING AND EVALUATION RELATED ACTIVITIES

To be computed semester wise for a maximum API score of 60 per semester. API scores computed for previous two completed semesters to be summed up.

| S. No. | Nature of Activity | Max API Score Allotted | Score | | | | |
|---|--|------------------------|--------------------|----------|--------------------------|----------|-------|
| | | | Self-Appraisal API | | API Score Awarded by the | | |
| | | | Odd Sem | Even Sem | Odd Sem | Even Sem | Total |
| 1 | Instructions: classroom teaching and laboratory classes taken against allotted hours | 10 | | | | | |
| 2 | Coverage of Prescribed Syllabus | 10 | | | | | |
| 3 | Student Appraisal (Average if more than one subject) | 10 | | | | | |
| 4 | Teaching Beyond the Syllabus in the Concerned Course & Use of Information Communication Technology | 15 | | | | | |
| 5 | End Semester Examination duties (Question paper setting and evaluation of answer scripts) as per duties allotted. | 10 | | | | | |
| 6 | Additional work such as coordination, invigilation, flying squad and such allied duties assigned by Exam Cell / HODs | 5 | | | | | |
| Semester wise Total | | 60 | | | | | |
| Annual Total (Period of Appraisal) | | 120 | | | | | |



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CATEGORY- II : CO-CURRICULAR AND PROFESSION RELATED ACTIVITIES INCLUDING ADMINISTRATION

To be computed at the end of the period of appraisal for a maximum API score of 35 (**not to be computed by faculty members)

| S. No. | Nature of Activity | API Score | | |
|--------|--|-----------|----------------------------------|--------------------------|
| | | Max Score | Self-Assessment | Score Awarded by the HOD |
| 1 | Participation in FDPs / MDPs / Refresher Courses | 3 | | |
| 2 | Participation in Conferences, Seminars | 3 | | |
| 3 | Organizing of workshops, FDP, Seminars, Training programmes, conferences etc. for faculty | 3 | | |
| 4 | Organizing of training programme, Seminars, guest lectures, workshops, Field or Industrial Visits for students | 3 | | |
| 5 | Membership of Department Level Committees. | 2 | ** (To be awarded by the HOD) | |
| 6 | Membership of Institute Level Committees. | 3 | ** (To be awarded by the HOD) | |
| 7 | Institutional governance responsibilities like HOD / Cell, Dean, Center Supdt., Chief Proctor etc. | 5 | ** (To be awarded by the HOD) | |
| 8 | Membership of Academic bodies of other institutions like Governing Board, Advisory Board, Academic Council, Board of Studies, Editorial Board of Journals & Institutional Publications/Resource Person | 5 | ** (To be awarded by the HOD) | |
| 9 | Membership of Professional bodies/ Technical Societies like IEEE, ISTE, SAE, CSI, ICEIT | 4 | | |
| 10 | Compliance of Notice / Circulars issued by the competent authorities at Department Level | 2 | ** (To be awarded by the HOD) | |


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| | | | | |
|-------------------|---|-----------|---------------------------------------|--|
| 11 | Compliance of Notice / Circulars issued by the competent authorities at Institute Level | 2 | ** (To be awarded by the Director) | |
| Total (II) | | 35 | | |

CATEGORY - III: RESEARCH AND ACADEMIC CONTRIBUTIONS

To be computed at the end of the period of appraisal for a maximum API score of 45

| S. No. | Nature of Activity Research and Academic Contributions | Score | | |
|--------------------|---|------------------------|--------------------------|------------------------------|
| | | Max API Score Allotted | Self-Appraisal API Score | API Score Awarded by the HOD |
| 1 | Research Publications | 10 | | |
| 2 | Books Publications | 8 | | |
| 3 | Sponsored Research Projects | 8 | | |
| 4 | Consultancy Projects | 8 | | |
| 5 | Research guidance (M.Tech. & Ph.D) or Academic Qualification up gradation | 5 | | |
| 6 | Patents | 6 | | |
| Total (III) | | 45 | | |

.....
Signature of the Teacher with date

.....
Signature of the HOD with date and seal

Note:

1. Teachers are required to provide complete list of publications (in referred journals, recognized and reputable journals and periodicals mentioning names of all authors, ISBN/ISSN numbers of journals and year of publications), list of seminars/symposia/conferences/workshops/refresher courses/skill development programmes etc., organized and attended, list of completed/on-going research and consultancy projects with amount and funding agency, list of Patent/Technology transfer/ Product/ Process, list of M.Tech and Ph.D supervised, list of awards/ honours/ recognitions received.
2. Teachers are required to enclose documentary evidence items mentioned at Note-1 above.
3. Guidelines to compute API scores are provided (please refer Annexure-I).
4. All the supporting documents will be in the custody of HODs. Only SAR filled with all details and duly signed by the faculty member with recommendations of HOD will be sent to the Director



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SECTION B
(To be filled in by the Head of the Department)

| Abstract | | | Observations: (Regarding activities given under category I, II, III) |
|---|----------------|--------------------|---|
| Category | Max. API Score | API Scores secured | |
| Category I (Total I) | 120 | | Recommendations/Remedial Measures suggested: |
| Category II + Category III (Total II + Total III) | 80 | | |
| Total | 200 | | |

Annual Increment: Recommended / Not recommended

Additional Increments Recommended on the basis of appraisal score

| | | |
|--|----------------------|---|
| Name of the Head of Department | Date | Signature of the Head of Department |
|--|----------------------|---|

SECTION C
(To be filled in by the Director)

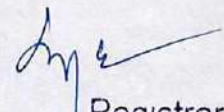
Observations/ Recommendations / Remedial Measures suggested:
.....
.....
.....

Increment (s) Recommended / Not recommended/ Increments may be postponed by ----- month (s)/year(s)

Date:

SEAL

.....
Signature of the Director


Registrar
G.L. Bajaj Institute of Technology & Management
Plot No. 2, Knowledge Park - III,
Greater Noida - 201306 (U. P.)