

# Performance Improvement Policy



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# Performance Improvement Policy

## I. PURPOSE

Performance Improvement Policy of Sambalpur University is a tool designed to formulate standard criteria and procedure to identify performance deficiencies, and to prescribe corrective measures to improve the performance.

- (a) To align annual individual goals with concerned department and university goals
- (b) Provide feedback on progress against the goals
- (c) Documenting the professional growth and development needs and achievements of employees
- (d) Encourage and improve open communication between supervisors and their staff
- (e) Encourage and
- (f) Inform necessary updates to Job Description Questionnaires
- (g) Collect data to support analysis and decisions in staffing, compensation and training.

## II. OBJECTIVES

- (a) To provide the faculty members of the university with guidelines to address unsatisfactory work performance and to foster continued professional development.
- (b) To establish a structured corrective action process to improve and prevent the recurrence of unsatisfactory work performance.
- (c) To identify the gap between the expected and the actual performance by the faculty members.
- (d) To prescribe the corrective measures that the individual faculty member can take to improve his/her performance in future
- (e) To align annual individual goals with concerned department and university goals and to promote individual as well as group performance

## III. POLICY COVERAGE

### (a) Definition of Performance Improvement Policy

A Performance Improvement Policy (PIP), also known as a Performance Action Plan, is a tool to give an employee with performance deficiencies and the opportunity to succeed. It may be used to address failures to meet specific job goals or to improve behavior-related concerns.

### (b) The Performance Improvement Process

It is quite clear from the definition of the concept of PIP that, there are four important steps, (i) setting up standards and benchmarks of performance and (ii) performance appraisal, (iii) Analysis of performance and (iv) Corrective measures to improve performance.

### **(c) Setting up standards and Benchmarks**

Sambalpur University adopts the standards of performance as prescribed by UGC in the “*UGC Regulation on Minimum Qualifications for appointment of teachers and other academic staff in universities and colleges and measures for the maintenance of standards in higher education, 2018*” (the latest regulation) and its amendments from time to time in future. Also the Orissa Universities First Statute, 1989 followed scrupulously for the purpose of selection, career promotion and appraisal of faculty performance on regular basis.

### **(d) Performance Appraisal**

Performance Appraisal, also known as employee appraisal, performance evaluation, performance assessment or performance tracking is a very commonly used term in Human Resource Management and in most business entities. It is a management tool which is helpful in motivating and effectively utilizing human resources.

In other words, Performance appraisal is a process of obtaining, analyzing, recording employee information in his work environment and reporting the results to those who are interested in it. This process provides a system for assessing employees at their work for their further development. The performance appraisal system must adhere to the following points:

- It must be correlated with the organization’s mission, philosophies and the value system.
- Should cover assessment of performance as well as potential for development of the employee.
- should take care of organizational as well as individual needs/goals
- helps in creating a transparent and highly motivated work environment

### **(e) Performance Appraisal Policy**

This policy applies to all faculty members of the university.

The performance appraisal provides opportunity for supervisors to develop, encourage, and recognize positive performance and work place behaviours, and to proactively identify and apply appropriate corrective measures to address any

concerns impacting the employee's ability to meet the established performance expectations.

All faculty members of Sambalpur University will receive an annual written Performance Appraisal. HoDs of the Departments will be responsible for initiating, managing, conducting and completing the Performance Appraisal process through the Academic Audit Committee both Internal and External constituted by the university.

**(f) Process of Performance Appraisal & Feedback:**

- i. Each department will follow an Academic Calendar prepared by the P.G. Council (for non-autonomous Departments) and the Academic Calendar prepared and approved by the Teachers Council (for Autonomous Departments). The said timeline should be shared with the staff prior to the start of the evaluation process.
- ii. All staff and employees must receive an annual written Performance Appraisal. The HoDs may determine the timing of the annual performance cycle based on the needs and work cycles of their respective department. The two common timelines are as follows:
  1. Fiscal year/Academic year cycle (1<sup>st</sup> June to 31<sup>st</sup> May)
    - a. Goal setting generally completed in the first quarter
    - b. Performance appraisals completed, reviewed and finalized (all signatures obtained) by 30<sup>th</sup> November.
  2. Calendar year cycle (1<sup>st</sup> January to 31<sup>st</sup> December)
    - a. Goal setting generally completed in the first quarter
    - b. Performance appraisals completed, reviewed and finalized (all signatures obtained) by 31<sup>st</sup> March

There are a total of 2 **questionnaire templates**

- 1. Annual Self-Assessment Questionnaire (open ended). This has to be developed and revised by IQAC Cell of the university and approved by the Syndicate. (Appendix-1)**
- 2. Student feedback on the teacher questionnaire (Appendix-2)**

**(g) Steps in the appraisal process**

Performance appraisal involves an evaluation of actual against desired performance. It also helps in reviewing various factors which influence performance. The university should plan performance development strategies in a structured manner for each employee. In doing so, they should keep the goals of the organization in mind and aim at optimal utilization of all available resources, including financial. Performance appraisal is a multistage process in which plays an important role.

**(i) Step 1: Creating a Performance plan:**

The basis of an effective performance plan is developing and communicating clearly defined performance expectations to assist the staff member in understanding how the duties and responsibilities should be performed. Performance expectations should focus on end results not just activities. Expectations for the appraisal cycle should be communicated in the performance appraisal (e.g., in the Goals/ Project/ Responsibility section of the appraisal).

Inform the staff member of the performance appraisal period and that he/she will soon be receiving a Performance and Staff Development Plan. The goals and activities in this plan must be discussed between the employee and the supervisor. Describe the key goals, projects and/or responsibilities the staff member will have for the coming appraisal cycle. This occurs in the beginning of each performance year.

**(ii) Step 2: Acknowledging the plan:**

In this stage the employee will review the plan and consult the supervisor if he/she has any questions. Then it is important for the employee to acknowledge and commit to the plan.

**(iii) Step 3: Timely performance feedback:**

Managers/supervisors shall meet with each employee periodically to review goals, assess progress, and, as applicable, clarify or redefine expectations for the remainder of the cycle. Additionally, there are specific events that will require an off-cycle review session to be performed. Communication shall occur throughout the cycle on employee progress toward meeting goals.

**(iv) Step 4: Conducting the annual performance appraisal:**

The purpose of the annual performance appraisal at the end of the cycle is to provide an opportunity for the manager/supervisor to meet with each employee to review performance results and assign a final overall rating for

the cycle. Managers/ supervisors shall not submit final overall ratings for employees until an annual performance appraisal, supported by ongoing performance documentation, has been completed in compliance with this policy.

- In the first stage it will require the employee to fill the 'questionnaire no 1. Employee self appraisal questionnaire (open ended)'
- In the second stage, the 'questionnaire no. 2 Employee self appraisal questionnaire' is required to be filled by the employee after having a discussion with the supervisor on the basis of his/ her responses from questionnaire no 1. This is followed by the supervisor assigning an annual performance rating in space provided in the questionnaire no 2. Once the supervisor gives his rating, there is scope for the employee to agree or disagree with the appraisal rating being assigned to him/her along with a written response.
- After the first two questionnaires are completed the supervisor now fill the 'Questionnaire no 3 Employee self appraisal questionnaire (structured response, includes check list) for appraising the employee on relevant performance factors.
- Once reviewed and signed by the manager/supervisor and next-level manager/supervisor, the employee shall review, sign and date the annual performance appraisal document. The employee's signature confirms only that the employee has received the document. However, if an employee refuses to sign, then the manager/ supervisor shall not the employee's refusal on the document.

**(v) Step 5:** As a best practice, Sambalpur University strongly encourages supervisors and department heads, to use upward appraisals to facilitate two-way performance communication with their staff & faculty. Two templates are provided to obtain feedback; open-ended, structured response along with checklist, similar to the formats of the staff appraisal templates. However, the nature of the feedback solicited is related to an individual's performance in the areas of supervision, management, and leadership. Name of those templates are:

- Questionnaire 7—Upward appraisal of supervisor (open ended),
- Questionnaire 8—Upward appraisal of supervisor (structured response, includes checklist)

**(vi) Step 6: Feedback:** After the formal appraisal stage, a feedback session is desirable. This session should involve verbal communication, listening, problem solving, negotiating, compromising, conflict resolution and reaching consensus.

**(vii) Step 7: Decision making:** On the basis of appraisal and feedback results, various decisions can be made about giving rewards (e.g., promotion,

incentives, etc.) and punishments (e.g., demotion). The outcome of an appraisal system should also be used for career development.

**(viii) Step 8: Development of performance:**

The last stage of performance appraisal is 'development of performance,' or professional development, by providing opportunities for upgrading skills and professional interactions. This can be done by supporting participation in professional conferences or by providing opportunities for further study. Such opportunities can also act as incentives or rewards to employees.

**(h) Performance Scales**

- All employees and staff will be appraised on a **scale of 1-5 (whole numbers only)**. No other scale may be substituted. The definitions of these numbers are:

**5 = Outstanding:** *Performance during appraisal period was consistently exceptional, significantly exceeding all expectations for the position.*

**4=Exceeds Expectations:** *Performance during appraisal period met expectations and frequently exceeded some expectations for the position.*

**3 =Successful/ Meets Expectations:** *Performance during appraisal period effectively fulfilled all expectations for the position.*

**2 = Does Not Meet Expectations:** *Performance during appraisal period met some, but not all expectations for the position. Performance improvement process should be initiated or continued.*

**1 = Unsatisfactory:** *Performance during appraisal period consistently failed to meet minimum expectations for the position. Individual lacks or did not apply knowledge, skills or behavior expected for the position. Performance documentation process (e.g. written warning, Performance Improvement Plan) should be initiated or continued. This rating is not to be used for employees new in their position, see "NA" rating below.*

**NA=New:** *Individual has not been in position long enough (at least six months) to fully demonstrate the competencies required for the position. This appraisal is provided for feedback purposes.*

*Please note that the academic staff/ teachers will also have to go through the above mentioned employee self-appraisal process along with the teacher appraisal process*

*separately. For the academic staff they need to complete the teacher appraisal process before the employee self-appraisal process.*

