



Gujarat National Law University

**GUJARAT NATIONAL LAW UNIVERSITY**  
**Administrative Directives**  
**GNLU/AD/01/09**

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**PERFORMANCE MANAGEMENT AND APPRAISAL SYSTEM**

**1.0 General**

- (i) This draft administrative directive sets out the policy and procedures applicable to performance appraisal and reporting of staff members of the Gujarat National Law University for year 2009
- (ii) The Performance Appraisal Report system is designed to ensure a fair, consistent and objective assessment of the staff member's performance and abilities, and to foster continuing and constructive dialogue on work performance between the staff member and the supervisors.
- (iii) The success of the reporting system dependent, in a large measure, upon the forthrightness and objectivity of the reporting staff and their complete familiarity with all aspects of the work of the staff member.

**2.0 Objectives:**

The objectives of performance appraisal reporting system are:

- (i) to improve performance and thereby, promote the achievement of the GNLU vision;
- (ii) to increase objectivity in evaluating staff by focusing on the performance and outputs achieved;
- (iii) to enhance communication and understanding between supervisors and staff as to job responsibilities; performance goals and indicators;
- (iv) to make performance management an on-going, intentional and essential management and staff responsibility;
- (v) to help staff member feel valued as joint contributor; and
- (vi) to provide a basis for academic/professional career counselling and identification of training needs of the staff member.

**3.0 Policy**

**Performance Appraisal System**

- (i) Performance appraisal shall be based on well defined objectives and expected results as periodically reviewed and adjusted by the supervisor and the staff member whose performance is appraised.
- (ii) The staff member, immediate supervisor and second appraising supervisor are the primary participants in the performance appraisal reporting system.
- (iii) The Dean of Academic Affairs shall be direct supervisor of all academic faculty members and the Registrar shall be the direct supervisor of all administrative staff.

**Performance Appraisal Period**

There are three key periods in the Performance Appraisal System.

- (i) Within 30 days of the commencement of his/her job, the staff member and supervisor shall discuss the most important contribution areas in the staff member's job description. Here discussion should focus on goals and priorities, key actions and time frames and other measures that will be used to evaluate progress against the goals.
- (ii) First appraisal: In case of newly joined staff members the first appraisal shall take place at the end of the first three months of work corresponding to the period of

probation. At this stage, the supervisor and the staff member shall formally discuss and appraise progress against goals and review actions needed to ensure achievement of goals.

- (iii) Mid-Year appraisal: In the middle of each performance year, the supervisor shall review the performance of each staff member under his/her direct supervision. This review may include the progress made by the staff member, discussion on any problem that has arisen to the staff member and search for solutions, and any other matter which the staff member and the supervisor may consider relevant to discuss.
- (iv) Annual appraisal: At the end of the performance year, the supervisor and the staff member shall meet to review progress against goals. After discussion, the supervisor recommends an appraisal rating and justifies it with comments, when necessary.
- (v) For the effectiveness of the system it is necessary that at the end of each review, the supervisor informs in writing the goals and pertaining tasks he/she expects to get accomplished by his/her staff member.
- (vi) The subsequent mid-year and annual performance appraisal review shall be made during the same month as the previous year.

#### **Performance Appraisal procedure**

- (i) The primary responsibility for the execution of the performance appraisal review including the Performance Appraisal Form rests with the supervisor. However, it is in the interest of each staff member to cooperate as much as possible by providing in a timely manner a draft individual work plan, and by being available for scheduled discussions with the supervisor for the mid-year and annual review.
- (ii) The results of the appraisal shall be recorded using the established Performance Management and Appraisal System.
- (iii) The second appraising supervisor shall review and discuss the appraisal report with the designated supervisor, and if necessary, with the staff member. One copy of the final Report shall be given to the staff member, while the original copy is kept in the official personal file of the staff member.

#### **Conciliation Procedure**


- (i) Performance appraisal should not be the subject of negotiation between the supervisor and the staff member. It is a managerial responsibility of the supervisor to report accurately and objectively on performance.
- (ii) If a staff member has reasons to believe that the performance evaluation does not reflect his/her performance properly, he/she may try to resolve the problem with the designated supervisor.
- (iii) If the disagreement persists between the staff member and the designated supervisor, they should consult the Director.
- (iv) Recognising the administrative implications and staff member's future career plans, care should be taken to ensure that any of such disagreement is resolved in a timely and effective manner.

#### **Rating System**

Following are the rating system to be used for rating the performance of the staff members.

- ◇ **Outstanding** - All objectives and performance dimensions are exceeded *and* significant unplanned achievements have been registered; the staff member is a model performer

- ◇ **Superior** – The majority of objectives are exceeded; the majority of performance dimensions are exceeded
- ◇ **Fully Performing** - The majority of objectives are fully met and some are exceeded; the majority of performance dimensions are fully achieved and some are exceeded
- ◇ **Requiring Some Improvement** – Many objectives are met or exceeded and many performance dimensions are fully achieved or exceeded, but critical ones or a significant proportion are not
- ◇ **Insufficient** - The majority of objectives are not fully met *or* the majority of performance dimensions are less than fully achieved

 Gujarat National Law University	<b>GUJARAT NATIONAL LAW UNIVERSITY, GANDHINAGAR</b>
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**PERFORMANCE MANAGEMENT AND APPRAISAL SYSTEM**

**PMAS FORM FOR FIXED-TERM STAFF MEMBERS**

<b>Last name</b>	
<b>First name, middle initial</b>	
<b>Functional Unit</b>	
<b>Functional title</b>	
<b>Entry on Duty Date &amp; GNLU ID Number</b>	
<b>Performance period</b>	
<b>Designated supervisor</b>	
<b>Second appraising supervisor</b>	

**ACKNOWLEDGEMENT OF DISCUSSIONS**

**Work plan**

Staff member's signature	Designated supervisor's signature
Date :	Date :

*The designated supervisor should keep the original of the work plan (Part I) and this cover page and give a copy to the staff member.*

**Mid-point review**

Staff member's signature	Designated supervisor's signature
Date :	Date :

*After the year-end appraisal, the original of the whole form should be forwarded to the Director by the designated supervisor. One copy should be kept by the designated supervisor; and one copy should be given to the staff member.*

**PART I: INDIVIDUAL WORKPLAN**

<b>What is to be Accomplished</b>	<b>Supervisor's Mid-Point Review</b>	<b>Staff Member's Comments</b>	<b>Supervisor's End of Period Appraisal</b>	<b>Staff Member's Comments</b>
<b>Objective # 1 (Academic/scholarly/administrative)</b> <b>Success criteria / Indicators of achievement</b> a. b. c. d.				
<b>Objective # 2 (Academic/scholarly/administrative)</b> <b>Success criteria / Indicators of achievement</b> a. b. c. d.				
<b>Objective # 3 (Academic/scholarly/administrative)</b> <b>Success criteria / Indicators of achievement</b> a. b. c. d.				
<b>Objective # 4 (Contribution to GNLU Vision)</b> <b>Success criteria / Indicators of achievement</b> a. b. c. d.				
<b>Objective # 5 (Professional Personal Development)</b> <b>Success criteria / Indicators of achievement</b> a. b. c. d.				

Assessment of staff member's achievement of performance dimensions at mid-point review and at end of period appraisal as "<" (less than fully achieved), "F" (fully achieved) or ">" (more than fully achieved):

**A. Performance Dimensions for all staff**

(Give a rating for each of the Performance Indicators)

**Rating:  
Mid-Point**

**End**

**Integrity:**

< F > < F >

• Is trustworthy, reliable & accountable							
• Respects diversity; promotes team spirit & positive relations							
• Acts not out of personal gain; does not abuse power / authority							

**Professional Competence:**

< F > < F >

• Shows mastery of, follows developments in & expands depth / range of knowledge of work area							
• Is committed & sees difficult assignments through to completion							
• Understands GNLU needs & perspective; ensures follow up & GNLU satisfaction							
• Is open to new ideas, creative & willing / available to take on new work							

**Efficiency:**

< F > < F >

• Plans, organises & executes work efficiently & effectively							
• Ensures quality, timely & cost effective products / services							
• Aligns work & priorities with broader team / organisational goals							
• Listens well & speaks well, writes & uses information technology effectively							
• Keeps calm & promotes calmness in stressful circumstances							

**B. Performance Dimensions for Supervisors / Managers**

(Give a rating for each of the Performance Indicators)

**Rating:  
Mid-Point**

**End**

**GNLU Vision:**

< F > < F >

• Anticipates needs & identifies strategic issues, opportunities & risks							
• Is innovative, drives for improvement & facilitates change							
• Aligns programme development & delivery to broad organisational strategy							

**Leadership:**

< F > < F >

• Inspires staff by exhibiting academic and professional attitude							
• Sets clear priorities & allocates & manages resources effectively							
• Resolves conflicts by crafting mutually beneficial outcomes							
• Builds professional networks & alliances to promote scholarly input of GNLU							
• Integrates diverse perspectives & skills & delivers comprehensive service							

**Team Building:**

< F > < F >

• Delegates responsibility, empowers staff & promotes teamwork							
• Operates transparently, shares knowledge & promotes communication							
• Sets attainable but challenging goals & gives support, encouragement & follow up							
• Regularly discusses performance, providing frank feedback & coaching							
• Actively supports & facilitates staff learning & development							

**C. Additional Work-Related Performance Dimensions (if any)**

**Rating:  
Mid-Point**

End

< F > < F >

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**Summary Performance Rating**

(choose one rating. For Outstanding and Insufficient the GNLU Performance Committee will review and make the final decision, for the other ratings the supervisor decides)

- ◇ Outstanding - All objectives and performance dimensions are exceeded *and* significant unplanned achievements have been registered; the staff member is a model performer
- ◇ Superior – The majority of objectives are exceeded; the majority of performance dimensions are exceeded
- ◇ Fully Performing - The majority of objectives are fully met and some are exceeded; the majority of performance dimensions are fully achieved and some are exceeded
- ◇ Requiring Some Improvement – Many objectives are met or exceeded and many performance dimensions are fully achieved or exceeded, but critical ones or a significant proportion are not
- ◇ Insufficient - The majority of objectives are not fully met *or* the majority of performance dimensions are less than fully achieved

**Justification for the ratings Outstanding, Superior, Requiring Some Improvement or Insufficient (including specific examples and explanations):**

**Recommendation regarding within-grade salary increment based on above performance:**

◇ Salary increment recommended

◇ Salary increment NOT recommended

Designated supervisor's signature:

Date:

Staff member's comments regarding appraisal: ◇ I agree / ◇ I disagree with the appraisal.

◇ I have ◇ I have not received a copy and discussed with my supervisor my upwards appraisals. (For supervisors / managers only)

Staff member's signature:

Date:

**Second appraising supervisor's confirmation on Summary Performance Rating following decision and comments by Performance Management Committee (only if proposed rating is Outstanding or Insufficient)**

◇ O, ◇ S, ◇ F, ◇ R, ◇ I



**Second appraising supervisor's signature:**  
**Comments of second appraising supervisor if any:**

**Date:**

**Staff member's comments after second appraising supervisor's comments if any:**

**Staff member's signature:**

**Date:**