

U.G.C. Guidelines 2010 & State Government:

1. The Ph.D. degree shall be a mandatory qualification for the appointment of Professors and for promotion as Professors. (3.7.0.) & also Refer Govt. of Maharashtra Regulation No. NGC-2010/(415/10) VS-1 dated 26 October 2010.
2. CAS promotions being a personal promotion to the incumbent teacher holding a substantive sanctioned post, on superannuation of the individual incumbent, the said post shall revert back to its original cadre. (6.3.8.)
3. The incumbent teacher must be on the role and active service of the Universities / Colleges on the date of consideration by the Selection Committee for Selection / CAS promotion. (6.3.9.)
4. Candidates shall offer themselves for assessment for promotion, if they fulfill the minimum API scores indicated in the appropriate API System tables by submitting an application and the required PBAS Performa. Candidates who do not consider themselves eligible can also apply at a later date.
5. In the final assessment, if the candidates do not either fulfill the minimum API scores in the criteria as per PBAS performa or obtain less than 50% in expert assessment, wherever applicable, such candidates will be reassessed only after a minimum period of one year. (6.3.11.)
6.
 - a. If a candidate applies for promotion on completion of the minimum eligibility period and is successful, the date of promotion will be from that of minimum period of eligibility. (6.3.12).
 - b. If, however, the candidates find that he/she fulfills the eligibility conditions at a later date and applies on that date and is successful, his/her promotion will be effected from that date of application fulfilling the criteria.
 - c. If the candidate does not succeed in the first assessment, but succeeds in the eventual assessment, his/her promotion will be deemed to be from the later date of successful assessment.
7. The paragraph number is same as Govt. of India Gazette dated 18-24 September 2010 for needful reference.

Counting of Past Services for Direct Recruitment and Promotion under Career Advancement Scheme:

Counting of Past Services for Direct Recruitment and Promotion under Career Advancement Scheme is unless and otherwise the Govt. of Maharashtra permits. For the CAS the previous appointment can be counted strictly with Govt. of Maharashtra Regulation No. NGC-1201/ 11815/(38/01)/ VS-4 dated 18 October 2001.

Previous regular service, whether national or international, as Assistant Professor, Associate Professor or Professor or equivalent in a University, College, National Laboratories or other scientific/professional Organizations such as the CSIR, ICAR, DRDO, UGC, ICSSR, ICMR, DBT, etc. should be counted for direct recruitment and promotion under CAS of a teacher as Assistant Professor, Associate Professor, Professor or any other nomenclature these posts are described as per Appendix III – Table No. II provided that:

- a. The essential qualifications of the post held were not lower than the qualifications prescribed by the UGC for Assistant Professor, Associate Professor and Professor as the case may be.
- b. The post is/was in an equivalent grade or of the pre-revised scale of pay as the post of Assistant Professor (Lecturer) Associate Professor (Reader) and Professor.
- c. The candidate for direct recruitment has applied through proper channel only.
- d. The concerned Assistant Professor, Associate Professor and Professor should possess the same minimum qualifications as prescribed by the UGC for appointment to the post of Assistant Professor, Associate Professor and Professor, as the case may be.
- e. The post was filled in accordance with the prescribed selection procedure as laid down in the Regulations of University/State Government/Central Government/Concerned Institution, for such appointments.
- f. The previous appointment was not as guest lecture for any duration, or an ad-hoc or in a leave vacancy of less than one year duration. Ad-hoc or temporary service of more than one year duration can be counted provided that :
 - I. the period of service was of more than one year duration;
 - II. the incumbent was appointed on the recommendation of duly constituted Selection Committee; and
 - III. the incumbent was selected to the permanent post in continuation to the ad-hoc or temporary service, without any break.
- g. No distinction should be made with reference to the nature of management of the institution where previous service was rendered (private/local body/Government), was considered for counting past service under this clause.

The teachers eligible for promotion under the Career Advancement Scheme should submit ten copies of Application Form (Annexure 2) alongwith Academic Performance Indicator (API) based Performance Based Appraisal System (PBAS) (Annexure -3) duly filled in all respect and other relevant documents in support of their claim by the stipulated date.

Note- I: CAS Promotions up-to 30.12.2008

Any candidate, who became eligible for promotion under CAS up to 30th December 2008, the promotion, will be governed by UGC Regulation 2000.

Note- II: CAS Promotion from 31st December 2008 to 30th June 2010

Any candidate, who became eligible for promotion under CAS on or after 31st December 2008, the promotion, will be governed by UGC Regulation 2010.

Note-III

As per UGC Regulation 2010, only cumulative points in category III are required in this period and points for category I & II will be applicable from academic session 2010-11. So, during this transitory period, the following guidelines will be applicable for promotion at various levels.

Minimum Academic Performance and Service Requirements for Promotion of Teachers in Universities and Colleges:

Sr. No.	Promotion of Teacher through CAS	Service Requirement	Minimum Academic Performance Requirements and Screening/ Selection Criteria
1.	Assistant Professor/ equivalent cadres from Stage 1 to Stage 2	Assistant Professor in Stage 1 and completed four years of service with Ph.D or five years of service who are with M.Phil. / PG Degree in Professional Courses such as LL.M, M.Tech. M.V.Sc., M.D. or six years of service who are without Ph.D./ M.Phil /PG Degree in Professional Courses	<p>i) Minimum API scores using PBAS scoring Performa developed by the concerned university as per the norms provided in Table II (A) / (II (B) of Appendix III.</p> <p>ii) One Orientation and one Refresher/Research Methodology Course of 2/3 weeks duration.</p> <p>iii) Screening cum Verification process for recommending promotion.</p>
2.	Assistant Professor/equivalent cadres from Stage 2 to Stage	Assistant Professor with completed service of five years in Stage 2	<p>i) Minimum API scores using PBAS scoring Performa developed by the concerned university as per the norms provided in Table II(A)/(II(B) of Appendix III.</p> <p>ii) One course/programme from among the categories of refresher courses, methodology workshops, Training, Teaching-Learning-Evaluation Technology Programmes and Faculty Development Programmes of 2/3 week duration.</p> <p>iii) Screening cum Verification process for recommending promotion.</p>
3.	Assistant Professor Stage 3 to Associate Professor (Stage 4)	Assistant Professors with three years of completed service in Stage 3	<p>i) Minimum API scores using PBAS scoring Performa developed by the concerned university as per the norms provided in Table II(A)/(II(B) of Appendix III.</p> <p>ii) At least three publications in the entire period as Assistant Professor (twelve years). However, in the case of College teachers, an exemption of one publication will be given to M.Phil. holders and an exemption of two publications will be given to Ph.D.holders.</p> <p>iii) One Course/programme from among the categories of methodology workshops, Training, Teaching-Learning-Evaluation Technology Programmes, Soft skills development Programmes and Faculty Development Programmes of minimum one week duration.</p> <p>iv) A Selection Committee process as stipulated in this regulation and in Tables II(A) and II(B) of Appendix III.</p>

4.	Associate Professor (Stage 4) Professor/equivalent cadres (stage 5)	Associate Professor with three years of completed service in Stage 4	<p>i) Minimum yearly/cumulative API scores using PBAS scoring Performa developed by the concerned University as per the norms provided in Table II(A)/(II(B) of Appendix III. Teachers may combine two assessment periods (in stages 2 and 3) to achieve minimum API Scores, if required.</p> <p>ii) A minimum of 5 publications since the period that the teacher is placed in Stage 3.</p> <p>iii) A selection committee process as stipulated in this regulation and in Table II (A) and II(B) of Appendix III.</p>
5.	Professor (Stage 5 to Professor) (Stage 6)	Professor with ten years of completed service (universities only)	<p>i) Minimum yearly/cumulative API scores for the assessment period as per the norms provided in Table II(A) of Appendix III.</p> <p>ii) Additional credentials are to be evidenced by: (a) post-doctoral research outputs of high standard; (b) awards / honours /recognitions /patents and IPR on product and processes developed / technology transfer achieved; and (c) Additional research degrees like D.Sc., D.Litt., LL.B., etc.</p> <p>iii) A review process by an Expert Committee as stipulated in this regulation and in Tables II(a) and II (b) of Appendix III</p>

5.0.0. SELECTION COMMITTEES AND GUIDELINES ON SELECTION PROCEDURES:

The UGC has evolved the following guidelines on: (a) Constitution of Selection Committees for selection of Assistant Professor, Associate Professor, Professor, Assistant Librarian, Deputy Librarian, Librarian, Assistant Director of Physical Education and Sports, Deputy Director of Physical Education and Sports and Director of Physical Education and Sports; and (b) specified selection procedures for direct recruitment and Career Advancement Schemes Regulations for teachers and other academic staff in universities and colleges.

5.1.0 Selection Committee Specifications:

5.1.1 Assistant Professor in the University:

- (a) The Selection Committee for the post of Assistant Professor in the University shall have the following composition.
1. The Vice Chancellor shall be the Chairperson of the Selection Committee.
 2. Three experts in the concerned subject nominated by the Vice Chancellor out of the panel of names approved by the relevant statutory body of the university concerned.
 3. Dean of the concerned Faculty, wherever applicable
 4. Head/Chairperson of the Department/School.
 5. An academician nominated by the Visitor/Chancellor, wherever applicable.
 6. An academician representing SC/ST/OBC/Minority/Women/Differently-abled categories to be nominated by the Vice Chancellor or Acting Vice Chancellor, if any of the candidates representing these categories is the applicant and if any of the above members of the selection committee do not belong to that category.
- (b) At least four members, including two outside subject experts shall constitute the quorum.

5.1.2 Associate Professor in the University

- (a) The Selection Committee for the post of Associate Professor in the University shall have the following composition:
1. Vice Chancellor to be the Chairperson of the Selection Committee.
 2. An academician who is the nominee of the Visitor/Chancellor, wherever applicable.
 3. Three experts in the concerned subject/field nominated by the Vice Chancellor out of the panel of names approved by the relevant statutory body of the university concerned.
 4. Dean of the faculty, wherever applicable.
 5. Head/Chairperson of the Department/School.
 6. An academician representing SC/ST/OBC/ Minority / Women / Differently-abled categories, if any of candidates representing these categories is the applicant, to be nominated by the Vice Chancellor, if any of the above members of the selection committee do not belong to that category.

At least four members, including two outside subject experts, shall constitute the quorum.

5.1.3 Professor in the University

The composition of the Selection Committee for the post of Professor in the University shall be similar in composition as that for the post of Associate Professor set out in Clause 5.1.2 above.

5.1.4 Assistant Professor in Colleges including Private Colleges:

- (a) The Selection Committee for the post of Assistant Professor in Colleges including Private Colleges shall have the following composition:
1. Chairperson of the Governing Body of the college or his/her nominee from among the members of the Governing body to be the Chairperson of the Selection Committee.
 2. The Principal of the College.

3. Head of the Department of the concerned subject in the College.
4. Two nominees of the Vice Chancellor of the affiliating university of whom one should be a subject expert. In case of colleges notified/declared as minority educational institutions, two nominees of the Chairperson of the college from out of a panel of five names, preferably from minority communities, recommended by the Vice Chancellor of the affiliating university from the list of experts suggested by the relevant statutory body of the college, of whom one should be a subject expert.
5. Two subject-experts not connected with the college to be nominated by the Chairperson of the governing body of the college out of a panel of five names recommended by the Vice Chancellor from the list of subject experts approved by the relevant statutory body of the university concerned. In case of colleges notified/declared as minority educational Institutions, two subject experts not connected with the University to be nominated by the Chairperson of the Governing Body of the College out of the panel of five names, preferably from minority communities, recommended by the Vice Chancellor from the list of subject experts approved by the relevant statutory body of the College.
6. An academician representing SC/ST/OBC/Minority/Women/Differently-abled categories, if any of candidates representing these categories is the applicant, to be nominated by the Vice Chancellor, if any of the above members of the selection committee do not belong to that category.
 - (b) To constitute the quorum for the meeting, five of which at least two must be from out of the three subject-experts shall be present.
 - (c) For all levels of teaching positions in Government colleges, the State Public Services Commissions / Teacher Recruitment Boards must invite three subject experts for which the concerned University, be involved in the selection process by the State PSC.
 - (d) For all levels of teaching positions in Constituent college(s) of a university, the selection committee norms shall be similar to that of the posts of departments of the university.

5.1.5 Associate Professor in Colleges including Private Colleges

- (a) The Selection Committee for the post of Assistant Professor in Colleges including Private Colleges shall have the following composition:
 1. The Chairperson of the Governing Body or his or her nominee, from among the members of the Governing body to be the Chairperson of the Selection Committee.
 2. The Principal of the College.
 3. The Head of the Department of the concerned subject from the college.
 4. Two University representatives nominated by the Vice Chancellor, one of whom will be the Dean of College Development Council or equivalent position in the University, and the other must be expert in the concerned subject. In case of Colleges notified/declared as minority educational institutions, two nominees of the Chairperson of the College from out of a panel of five names, preferably from minority communities, recommended by the Vice-Chancellor of the affiliating university from the list of experts suggested by the relevant statutory body of the college of whom one should be a subject expert.
 5. Two subject-experts not connected with the college to be nominated by the Chairperson of the governing body of the college out of a panel of five names recommended by the Vice Chancellor from the list of subject experts approved by the relevant statutory body of the university concerned. In case of colleges notified/declared as minority educational Institutions, two subject experts not connected with the University to be nominated by the Chairperson of the Governing Body of the College out of the panel of five names, preferably from minority communities, recommended by the Vice Chancellor from the list of subject experts approved by the relevant statutory body of the College.
 6. An academician representing SC/ST/OBC/ Minority/Women/Differently-abled categories, if any of candidates representing these categories is the applicant, to be nominated by the Vice Chancellor, if any of the above members of the selection committee do not belong to that category.
 - (b) The quorum for the meeting should be five of which at least two must be from out of the three subject-experts

5.1.7 Selection Committees for the posts of Directors, Deputy Directors, Assistant Directors of Physical Education and Sports, Librarians, Deputy Librarians and Assistant Librarians shall be the same as that of Professor, Associate Professor and Assistant Professor respectively, except that the concerned

expert in Physical Education and Sports or Sports Administration or Library, practicing Librarian/Physical Director, as the case may be, shall be associated with the Selection Committee as one of the subject experts.

6.0 .0 SELECTION PROCEDURES:

6.0.1 The overall selection procedure shall incorporate transparent, objective and credible methodology of analysis of the merits and credentials of the applicants based on weightages given to the performance of the candidate in different relevant dimensions and his/her performance on a scoring system proforma, based on the Academic Performance Indicators (API) as provided in this Regulations in Tables I to IX of Appendix III.

In order to make the system more credible, universities may assess the ability for teaching and/or research aptitude through a seminar or lecture in a class room situation or discussion on the capacity to use latest technology in teaching and research at the interview stage. These procedures can be followed for both direct recruitment and CAS promotions wherever selection committees are prescribed in these Regulations.

6.0.2 The Universities shall adopt these Regulations for selection committees and selection procedures through their respective statutory bodies incorporating the Academic Performance Indicator (API) based Performance Based Appraisal System (PBAS) at the institutional level for University Departments and their Constituent colleges/ affiliated colleges (Government/Government-aided/Autonomous/ Private Colleges) to be followed transparently in all the selection processes. An indicative PBAS template proforma for direct recruitment and for Career Advancement Schemes (CAS) based on API based PBAS shall also be sent separately by the UGC to the universities. The universities may adopt the template proforma or may devise their own self-assessment cum performance appraisal forms for teachers in strict adherence to the API criteria based PBAS prescribed in these Regulations.

6.0.4 In all the Selection Committees of direct recruitment of teachers and other academic staff in universities and colleges provided herein, an academician representing Scheduled Caste/Scheduled tribe/OBC/Minority/Women/Differently-abled categories, if any of candidates representing these categories is the applicant and if any of the members of the selection committee do not belong to that category, shall be nominated by the Vice Chancellor or Acting Vice Chancellor of the University, and in case of a college Vice Chancellor or Acting Vice Chancellor of the University to which the college is affiliated to. The academician, so nominated for this purpose, shall be one level above the cadre level of the applicant, and such nominee shall ensure that the norms of the Central Government or concerned State Government, in relation to the categories mentioned above, are strictly followed during the selection process.

- 6.0.5**
- (i) Besides the indexed publications documented by various discipline-specific databases, the University concerned shall draw through committee(s) of subject experts and ISBN / ISSN experts: (a) a comprehensive list of National /Regional level journals of quality in the concerned subject(s); and (b) a comprehensive list of Indian language journals / periodicals / official publication volumes of language bodies and upload them on the University website which are to be updated periodically.
 - (ii) In respect of Indian language publications, equivalence in quality shall be prescribed for universities located in a State by a Co-ordination Committee of experts to be constituted by the Chancellor of the concerned State University.
 - (iii) At the time of assessing the quality of publications of the candidates during their appointments/promotions, the selection committees shall have to be provided with the above two lists which could be considered by the selection committees along with the other discipline-specific databases.
 - (iv) The UGC shall constitute a Committee as soon as practicable, in so far as acceptability of the (list of) Indian language journals so developed by Universities / States, to arrive at equivalence in quality of such publications with otherwise accepted and recognized journals.

6.0.6 The process of selection of Associate Professor should involve inviting the bio-data with the duly filled Performance Based Appraisal System (PBAS) proforma developed by the respective universities based on the API criteria provided in this Regulation and template separately provided. Without prejudice, to the requirements provided for selection of Associate Professor under this Regulation, the prescription of research publications for promotion from the post of Assistant Professor to Associate Professor in colleges shall be as follows:

- (a) For those who possess a Ph.D. Degree, a minimum of one publication made during the period of service as Assistant Professor;
- (b) for those with a M.Phil. Degree, a minimum of two publications made during the period of service as Assistant Professor; and
- (c) for those without Ph.D. or M.Phil. degree, at least three publications during the period of service as Assistant Professor.

Provided that in so far as teachers in Universities are concerned, three publications shall be required to be submitted for all the three categories mentioned above for consideration of promotion from Assistant Professor to Associate Professor.

Provided further that such publications shall be provided to the subject experts for assessment before the interview and the evaluation score of the publications provided by the experts shall be factored into the weightage scores while finalizing the outcome of selection by the selection committee.

6.0.7. The process of selection of Professor shall involve inviting the bio-data with duly filled Performance Based Appraisal System (PBAS) proforma developed by the respective universities based on the API criteria based PBAS set out in this Regulation and reprints of five major publications of the candidates.

Provided that such publications submitted by the candidate shall have been published subsequent to the period from which the teacher was placed in the Assistant Professor stage-II.

Provided further that such publications shall be provided to the subject experts for assessment before the interview and the evaluation of the publications by the experts shall be factored into the weightage scores while finalizing the outcome of selection.

6.0.8 In the case of selection of Professors who are from outside the academic stream and are considered under Clause 4.1.0 (B), the universities' statutory bodies must lay down clear and transparent criteria and procedures so that only outstanding professionals who can contribute substantially to the university knowledge system are selected in any discipline as per the requirements.

6.0.9 The Academic Performance Indicator (API) scoring system in the process of selection of Principal shall be similar to that of directly recruited College Professors. In addition, the selection committee shall assess the following dimensions with the weightages given below:

- a. Assessment of aptitude for teaching, research and administration (20%);
- b. Ability to communicate clearly and effectively (10%);
- c. Ability to plan institutional programmes, analyze and discuss curriculum development and delivery, research support and college development/administration (20%);
- d. Ability to deliver lecture programmes to be assessed by requiring the candidate to participate in a group discussion or exposure to a class room situation by a lecture (10%); and
- e. Analysis of the merits and credentials of the candidates on the basis of the Performance Based Appraisal System (PBAS) proforma developed by the affiliating University based on these Regulations (deduced to 40% of the total API score).

6.0.10 In the selection process for posts involving different nature of responsibilities in certain disciplines/areas, such as Music and Fine Arts, Visual arts and Performing arts, Physical education

and Library, greater emphasis may be laid on the nature of deliverables indicated against each of the posts in these Regulations which need to be taken up by the concerned institution while developing API based PBAS proforma for both direct recruitment and CAS promotions.

6.0.11 The Internal Quality Assurance Cell (IQAC) shall be established in all Universities/Colleges as per the UGC/ National Assessment Accreditation Council (NAAC) guidelines with the Vice Chancellor, as Chairperson (in the case of universities), and Principal, as Chairperson (in case of colleges). The IQAC shall act as the documentation and record-keeping Cell for the institution including assistance in the development of the API criteria based PBAS proforma using the indicative template separately developed by UGC. The IQAC may also introduce, wherever feasible, the student feedback system as per the NAAC guidelines on institutional parameters without incorporating the component of students' assessment of individual teachers in the PBAS.

6.1.0 While the API:

- (a) Tables I and III of Appendix III are applicable to the selection of Professors/ Associate Professors /Assistant Professors in universities and colleges;
- (b) Tables IV, V and VI of Appendix III are applicable to Directors/ Deputy Directors/ Assistant Directors of Physical Education and Sports; and
- (c) Tables VII, VIII and IX of Appendix III are applicable to Librarians/ Deputy Librarians and Assistant Librarians for both direct recruitment as well as Career Advancement Promotions, the ratio / percentage of minimum requirement of category-wise API Score to each of the cadres shall vary from those for university teachers and for UG/PG College Teachers, as given in these Tables of Appendix-III.

6.2.0 The minimum norms of Selection Committees and Selection Procedures as well as API score requirements for the above cadres, either through direct recruitment or through Career Advancement Schemes Regulations, shall be similar. However, since teachers recruited directly can be from different backgrounds and institutions, Table II(c) of Appendix III provides norms for direct recruitment of teachers to different cadres, while Tables II (a) and Table II(b) provide for CAS promotions of teachers in universities and colleges respectively, which accommodate these differences.

6.3.0 In order to remedy the difficulties of collecting retrospective information and to facilitate the implementation of these regulations from 31-12-2008 in the CAS Promotion, the API based PBAS will be progressively and prospectively rolled out. Accordingly, the PBAS based on the API scores of categories I and II as mentioned in these tables is to be implemented for one year, initially based on the existing systems in universities / colleges for one year only with the minimum annual scores as depicted in Table II (a) and II (b) for university and college teachers, or by Librarian/Physical Education and Sports cadres as depicted in Tables V(a) and V (b), Tables VIII(a) and VIII (b) respectively.. This annualized API scores can then be compounded progressively as and when the teacher becomes eligible for CAS promotion to the next cadre. Thus, if a teacher is considered for CAS promotion in 2010, one year API scores for 2009-10 alone will be required for assessment. In case of a teacher being considered for CAS promotion in 2011, two years average of API scores for these categories will be required for assessment and so on leading progressively for the complete assessment period. For Category III (research and academic contributions), API scores for this category will be applied for the entire assessment period.

6.3.1 A teacher who wishes to be considered for promotion under CAS may submit in writing to the university/college, with three months in advance of the due date, that he/she fulfils all qualifications under CAS and submit to the university/college the Performance Based Appraisal System proforma as evolved by the concerned university duly supported by all credentials as per the API guidelines set out in these Regulations. In order to avoid delays in holding Selection Committee meetings in various positions under CAS, the University/College should immediately initiate the process of screening/selection, and shall complete the process within six months from the date of application. Further, in order to avoid any hardships, candidates who fulfill all other criteria mentioned in these Regulations, as on 31 December, 2008 and till the date on which this Regulation is notified, can be considered for promotion from the date, on or after 31 December, 2008, on which they fulfill these

eligibility conditions, provided as mentioned above.

- 6.3.2** Candidates who do not fulfill the minimum score requirement under the API Scoring System proposed in the Regulations as per Tables II(a and b) of Appendix III or those who obtain less than 50% in the expert assessment of the selection process will have to be re-assessed only after a minimum period of one year. The date of promotion shall be the date on which he/she has successfully got re-assessed.
- 6.3.3** The Selection Committee specifications as delineated in Clauses 5.1.0 to 5.1.7 are applicable to all direct recruitments of Faculty Positions and Career Advancement promotions of Assistant Professor to Associate Professor and to that of Associate Professor to Professor.
- 6.3.4** CAS promotions from a lower grade to a higher grade of Assistant Professor shall be conducted by a “Screening cum Evaluation Committee” adhering to the criteria laid out as API score in PBAS in the Tables of Appendix-III.
- 6.3.5 The “Screening cum Evaluation Committee” for CAS promotion of Assistant Professors/equivalent cadres in Librarians/Physical Education from one AGP to the other higher AGP shall consist of:**
- 6.3.5.1. For University teachers:**
- The Vice Chancellor as the Chairperson of the Selection Committee;
 - The Dean of the concerned Faculty;
 - The Head of the Department /Chairperson of the School; and
 - One subject expert in the concerned subject nominated by the Vice Chancellor from the University panel of experts.
- 6.3.5.2 For College teachers:**
- The Principal of the college;
 - Head of the concerned department from the college;
 - Two subject experts in the concerned subject nominated by the Vice Chancellor from the university panel of experts;
- 6.3.5.3** The quorum for these committees in both categories mentioned above shall be three including the one subject expert/ university nominee need to be present.
- 6.3.6** The Screening cum Evaluation Committee on verification/evaluation of API score secured by the candidate through the ‘PBAS’ methodology designed by the respective university based on these Regulations and as per the minimum requirement specified:
- (a) in Tables II and III for each of the cadre of Assistant Professor; (b) in Tables V and VI for each of the cadre of Physical Education and Sports; and (c) in Tables VIII and IX for each of the cadre of Librarians shall recommend to the Syndicate/ Executive Council /Board of Management of the University about the suitability for the promotion of the candidate(s) under CAS for implementation.
- 6.3.7** All the selection procedures outlined above, shall be completed on the day of the selection committee meeting, wherein the minutes are recorded along with PBAS scoring proforma and recommendation made on the basis of merit and duly signed by all members of the selection committee in the minutes.
- 6.3.8** CAS promotions being a personal promotion to the incumbent teacher holding a substantive sanctioned post, on superannuation of the individual incumbent, the said post shall revert back to its original cadre.
- 6.3.9** The incumbent teacher must be on the role and active service of the Universities/Colleges on the date of consideration by the Selection Committee for Selection/CAS Promotion.
- 6.3.10** Candidates shall offer themselves for assessment for promotion, if they fulfill the minimum API scores indicated in the appropriate API system tables by submitting an application and the required PBAS proforma. They can do so three months before the due date if they consider themselves eligible. Candidates who do not consider themselves eligible can also apply at a later date. In any event, the university concerned shall send a general circular twice a year calling for applications for CAS promotions from eligible candidates.

- 6.3.11** In the final assessment, if the candidates do not either fulfill the minimum API scores in the criteria as per PBAS proforma or obtain less than 50% in expert assessment, wherever applicable, such candidates will be reassessed only after a minimum period of one year.
- 6.3.12** (a) If a candidate applies for promotion on completion of the minimum eligibility period and is successful, the date of promotion will be from that of minimum period of eligibility.
- (b) If, however, the candidates find that he/she fulfills the eligibility conditions at a later date and applies on that date and is successful, his/her promotion will be effected from that date of application fulfilling the criteria.
- (c) If the candidate does not succeed in the first assessment, but succeeds in the eventual assessment, his/her promotion will be deemed to be from the later date of successful assessment.

6.4.0. STAGES OF PROMOTION UNDER CAREER ADVANCEMENT SCHEME OF INCUMBENT AND NEWLY APPOINTED ASSISTANT PROFESSORS / ASSOCIATE PROFESSORS/PROFESSORS

- 6.4.1.** Entry level Assistant Professors (Stage 1) would be eligible for promotion under the Career Advancement Scheme (CAS) through two successive stages (stage 2 and Stage 3), provided they are assessed to fulfill the eligibility and performance criteria as laid out in Clause 6.3. of this Regulation.
- 6.4.2.** An entry level Assistant Professor, possessing Ph. D. Degree in the relevant discipline shall be eligible, for moving to the next higher grade (stage 2) after completion of four years service as Assistant Professor.
- 6.4.3.** An entry level Assistant Professor possessing M. Phil. Degree or post-graduate Degree in professional courses, approved by the relevant statutory body, such as LL.M. / M. Tech., etc. shall be eligible for the next higher grade (stage 2) after completion of five years service as Assistant Professor.
- 6.4.4.** An entry level Assistant Professor who does not have Ph.D. or M. Phil, or a Master's Degree in the relevant professional course, shall be eligible for the next higher grade (stage 2) only after completion of six years service as Assistant Professor.
- 6.4.5.** The upward movement from the entry level grade (stage 1) to the next higher grade (stage 2) for all Assistant Professors shall be subject to their satisfying the API based PBAS conditions laid down by the UGC in this Regulation.
- 6.4.6.** Assistant Professors who have completed five years of service in the second grade (stage 2) shall be eligible, subject to meeting the API based PBAS requirements laid down by these Regulations, to move up to next higher grade (stage 3).
- 6.4.7.** Assistant Professors completing three years of teaching in third grade (stage 3) shall be eligible, subject to the qualifying conditions and the API based PBAS requirements prescribed by these Regulations, to move to the next higher grade (stage 4) and to be designated as Associate Professor.
- 6.4.8.** Associate Professor completing three years of service in stage 4 and possessing a Ph.D. Degree in the relevant discipline shall be eligible to be appointed and designated as Professor and be placed in the next higher grade (stage 5), subject to (a) satisfying the required credit points as per API based PBAS methodology provided in Table I-III of Appendix IV stipulated in these Regulations, and (b) an assessment by a duly constituted selection committee as suggested for the direct recruitment of Professor. *Provided* that no teacher, other than those with a Ph.D., shall be promoted or appointed as Professor.
- 6.4.9.** In the case of Associate Professors in Colleges, promotion to the post of Professor under CAS shall be further subject to Clause 6.5.1.and 6.5.2 of this Regulation.
- 6.4.10.** Ten percent of the positions of Professors in a university, with a minimum of ten years of teaching and research experience as professor either in the pre-revised scale of Professor's pay or the revised scale pay will be eligible for promotion to the higher grade of Professorship (stage 6), on satisfying the required API score as per Tables I and II through the PBAS methodology stipulated in these Regulations through a duly constituted Expert committee, and such teachers promoted to the higher grade shall continue to be designated as 'Professor'. As this AGP elevation for Professor is applicable to only university departments, additional credentials are to be evidenced by:

- (a) post-doctoral research outputs of high standard;
- (b) awards / honours /and recognitions;
- (c) Additional research degrees like D.Sc., D.Litt., LID, etc.; patents and IPR on products and processes developed / technology transfer achieved in the case of teachers in science and technology.

The selection is to be conducted by the university by receiving duly filled PBAS proformas from eligible professors based on seniority, three times in number of the available vacancies in each faculty. In case the number of candidates available is less than three times the number of vacancies, the zone of consideration will be limited to the actual number of candidates available. The assessment process shall be through an Expert-Committee evaluation of all credentials submitted as stipulated in Table-II(A) of Appendix-III for teachers in University departments. No separate interview need to be conducted for this category.

6.4.11. Discretionary award of advance increments for those who enter the profession as Associate Professors or Professors with higher merit, high number of research publications and experience at the appropriate level, shall be within the competence of the appropriate authority of the concerned University or recruiting institution based on the recommendations of selection committee(s) while negotiating with individual candidates in the context of the merits of each case, taking into account the pay structure of other teachers in the faculty and other merit- specific factors. Discretionary award of advance increments is not applicable to those entering the profession as Assistant Professor/Assistant Librarian/Assistant Director of Physical Education and Sports and to those who are entitled for grant of advance increments for having acquired Ph. D., M. Phil., M.Tech., etc. However, those entering service as Assistant Professor/Assistant Librarian/Assistant Director of Physical Education and Sports with post-doctoral teaching/research experience after Ph.D. and proven credentials may be eligible for discretionary award of advanced increments to be decided and recorded by the selection committee in its minutes.

6.5.0. PROFESSORS IN UNDER GRADUATE AND POST GRADUATE COLLEGES:

6.5.1. (i) Ten percent of the number of the posts of Associate Professor in an Under Graduate College shall be that of Professors and shall be subject to the same criterion for selection / appointment as that of Professors in Universities,

Provided that there shall be no more than one post of Professor in each Department;

Provided further that one-fourth (25%) of the posts of Professor in Under Graduate Colleges shall be directly recruited or filled on deputation by eligible teachers and the remaining three-fourths (75%) of posts of Professors shall be filled by CAS promotion from among eligible Associate Professors of the relevant department of the Under Graduate College.

For avoidance of doubt, it is clarified that sanctioned posts include the posts approved under both direct recruitment and CAS promotion.

- (ii) Identification of posts of Professor in an Under Graduate College for being filled through direct recruitment / deputation shall be carried out by the affiliating/concerned University acting in consultation with the College. Where the number of posts of Professor worked out as a percentage of the number of posts of Associate Professor for CAS promotion or direct recruitment / deputation is not an integer, the same shall be rounded off to the next higher integer.
- (iii) The selection process is to be conducted by the university by receiving PBAS proformas from eligible Associate Professors based on seniority and three times in number of the available vacancies. In case the number of candidates available is less than three times the number of vacancies, the zone of consideration will be limited to the actual number of candidates available. The selection shall be conducted through the API scoring system with PBAS methodology and selection committee process stipulated in these Regulations for appointment of Professors. For direct recruitment of the 25% of the posts, the 'Rota-Quota system shall be followed starting with promotions and the direct recruitment quota shall be rotated in an alphabetical order.

- 6.5.2.** There shall be one post of Professor in each Department of a Post-Graduate College which shall be subject to the same criterion for selection / appointment as that of Professors in Universities, provided that one-fourth (25%) of the posts of Professor shall be filled on deputation/direct recruitment from among eligible teachers and the remaining three-fourths (75%) of posts shall be filled through merit promotion from among the eligible Associate Professors in the relevant department of the Post-Graduate college. Identification of posts of Professor in a Post-Graduate College for being filled through direct recruitment/deputation shall be carried out by the affiliating/concerned University acting in consultation with the College. The decision regarding whether the posts of professor will be for CAS promotion or direct recruitment/deputation shall be within the competence of the University acting in consultation with the College. Where the number of posts of professor for CAS promotion or direct recruitment / deputation worked out as a percentage of the total number of posts in a Post Graduate College is not an integer, the same shall be rounded off to the next higher integer.

The selection process is to be conducted by the university by receiving PBAS proformas from eligible Associate Professors based on seniority and three times in number of the available vacancies. In case the number of candidates available is less than three times the number of vacancies, the zone of consideration will be limited to the actual number of candidates available. The selection shall be conducted through the API scoring system with PBAS methodology, selection committee process stipulated in these Regulations for appointment of Professors. For direct recruitment of the 25% of the posts, the 'Rota-Quota System' shall be followed starting with promotion and the direct recruitment quota shall be rotated in an alphabetical order.

6.6.0 STAGES OF PROMOTION UNDER THE CAREER ADVANCEMENT SCHEME FOR ASSISTANT LIBRARIANS, ETC.

- 6.6.1** Assistant University Librarian / College Librarian in the entry level grade, possessing Ph.D. in Library Science, after completing service of four years in the lowest grade, if otherwise eligible as per API scoring system and PBAS methodology laid down by the UGC in these Regulations, shall be eligible for the higher grade (stage 2).
- 6.6.2** Assistant Librarian / College Librarian in the entry level grade, not possessing Ph.D. but only M.Phil. in Library Science, after completing service of five years in the lowest grade, if otherwise eligible as per API scoring system and PBAS methodology laid down by the UGC in these Regulations, shall become eligible for the next higher grade (stage 2).
- 6.6.3** Assistant Librarian / College Librarian in the entry level grade, without the relevant Ph.D. or M.Phil. after completing six years in the lowest grade, if otherwise eligible as per API scoring system and PBAS methodology laid down by the UGC in these Regulations, shall become eligible for the next higher grade (stage 2).
- 6.6.4.** On completion of service of five years, Assistant Librarian (Sr. Scale) / College Librarian (Sr. Scale) shall be eligible for the post of Deputy Librarian/ equivalent posts and being placed in the next higher grade (stage 3), subject to their fulfilling other conditions of eligibility (such as Ph.D. Degree, etc. for Deputy Librarian) as per API scoring system based PBAS methodology laid down by the UGC for CAS promotion in these Regulations. They shall be designated as Deputy Librarian / Assistant Librarian (Selection Grade) / College Librarian (Selection Grade), as the case may be.
- 6.6.5.** After completing three years in the above grade, Deputy Librarians /equivalent positions shall move to the next higher grade (stage 4), subject to fulfilling other conditions of eligibility as per API scoring system and PBAS methodology laid down by the UGC for CAS promotion in these Regulations.

6.7.0 STAGES OF PROMOTION UNDER CAREER ADVANCEMENT SCHEME FOR PHYSICAL EDUCATION AND SPORTS PERSONNEL

- 6.7.1** Assistant DPE&S in the entry level grade/College DPE&S, at the entry level grade, possessing Ph.D. in Physical Education, after completing service of four years in the entry level stage (stage 1), and if otherwise eligible as per API scoring system and PBAS methodology prescribed by the UGC for CAS promotion in these Regulations, shall become eligible for the next higher grade

- (stage 2).
- 6.7.2.** Assistant DPE&S/College DPE&S in the entry level grade, possessing M.Phil. in Physical Education, after completing service of the five years in the entry level stage (stage 1), and if otherwise eligible as per API scoring system and PBAS methodology prescribed by the UGC for CAS promotion in these Regulations, shall become eligible for the next higher grade (stage 2).
- 6.7.3.** Assistant DPE&S/ College DPE&S in the entry level grade, without the relevant Ph.D. and M.Phil. shall, after completing service of six years as Assistant DPE&S/College DPE&S in the entry level stage, and if otherwise eligible as per API scoring system and PBAS methodology prescribed by the UGC for CAS promotion in these Regulations, shall become eligible for the next higher grade (stage 2).
- 6.7.4** After completing service of five years in the second stage and subject to satisfying API scoring system and PBAS methodology prescribed by the UGC in these Regulations, Assistant DPE&S (Senior Scale) / College DPE&S (Senior scale) shall be promoted to the next higher grade (stage 3). They shall be designated as Deputy DPE&S/ Assistant DPE&S (Selection Grade) / College DPE&S (Selection Grade), as the case may be.
- 6.7.5.** After completing service of three years in stage 3 and subject to satisfying API/ scoring system and PBAS methodology prescribed by the UGC in these Regulations, Deputy DPE&S/Assistant DPE&S (Selection Grade) College DPE&S (Selection Grade) shall move to the next higher grade (stage 4). They shall continue to be designated as Deputy DPE&S/Assistant DPE&S (Selection Grade) / College DPE&S (Selection Grade).
- 6.8.0.** The Schedule annexed to these Regulations outlines the Pay scales, Designations and stages of promotions under CAS of incumbent and newly appointed teachers and equivalent positions in the Library and Physical Education and Sports cadres in Central Universities and colleges thereunder and Institutions deemed to be Universities whose maintenance expenditure is met by the UGC.

SCHEDULE FOR CLAUSE 6.8.0

(FOR PAY SCALES, DESIGNATIONS AND STAGES OF PROMOTION UNDER CAS OF INCUMBENT AND NEWLY APPOINTED ASSISTANT PROFESSORS/ ASSOCIATE PROFESSORS/ PROFESSORS AND OTHER EQUIVALENT CADRES IN LIBRARY AND PHYSICAL EDUCATION AND SPORTS IN CENTRAL UNIVERSITIES AND COLLEGES THEREUNDER AND INSTITUTIONS DEEMED TO BE UNIVERSITIES WHOSE MAINTENANCE EXPENDITURE IS MET BY THE UGC).

- 1.0.** Persons entering the teaching profession in universities and colleges shall be designated as Assistant Professors and shall be placed in the Pay Band III of Rs.15,600
– Rs. 39,100 with AGP of Rs. 6,000. Lecturers already in service in the pre-revised scale of Rs. 8,000 – Rs.13,500, shall be re-designated as Assistant Professors with the said AGP of Rs. 6,000. Their CAS promotions would be subject to the API criteria based PBAS system norms laid out in these regulations
- 1.1.** An Assistant Professor with completed service of four years, possessing Ph. D. Degree in the relevant discipline shall be eligible, for moving to AGP of Rs.7,000.
- 1.2.** An Assistant Professors possessing M.Phil. Degree or post-graduate degree in professional courses approved by the relevant statutory Body, such as LL.M. / M.Tech., etc. shall be eligible for the AGP of Rs. 7,000 after completion of five years service as Assistant Professor.
- 1.3.** An Assistant Professors who do not have Ph.D. or M. Phil. or a Master degree in the relevant Professional course shall be eligible for the AGP of Rs. 7,000 only after completion of six years' service as Assistant Professor.
- 1.4.** The upward movement from AGP of Rs. 6,000 to AGP of Rs. 7,000 for all Assistant Professors shall be subject to their satisfying the API criteria based PBAS conditions as laid down by the UGC in these Regulations.

- 2.0.** The pay of the incumbents to the posts of Lecturer (senior scale) (i.e. the unrevised scale of Rs. 10,000 – Rs.15,200) shall be re-designated as Assistant Professor, and shall be fixed at the appropriate stage in Pay Band III of Rs.15,600 – Rs. 39,100 based on their present pay, with AGP of Rs. 7,000.
- 2.1.** Assistant Professors with completed service of five years at the AGP of Rs. 7,000 shall be eligible, subject to other API requirements laid down by these UGC Regulations, to move up to the AGP of Rs. 8,000.
- 3.0.** Posts of Associate Professor shall be in the Pay Band IV of Rs. 37,400 – Rs. 67,000, with AGP of Rs. 9,000. Directly recruited Associate Professors under these Regulations shall be placed in the Pay Band IV of Rs. 37,400 – Rs. 67,000 with an AGP of Rs. 9,000, at the appropriate stage in the Pay Band in terms of the conditions of appointment.
- 3.1.** Incumbent Readers and Lecturers (Selection Grade) who have completed three years in the current pay scale of Rs. 12,000 – Rs. 18,300 on 1 January, 2006 shall be placed in Pay Band IV of Rs. 37,400 – Rs. 67,000 with AGP of Rs. 9,000 and shall be redesignated as Associate Professor.
- 3.2.** Incumbent Readers and Lecturers (Selection Grade) who had not completed three years in the pay scale of Rs.12,000 – Rs.18,300 on or after 1 January, 2006 shall be placed at the appropriate stage in the Pay Band of Rs.15,600 – Rs. 39,100 with AGP of Rs. 8,000 till they complete three years of service in the grade of Lecturer (Selection Grade) / Reader, and thereafter shall be placed in the higher Pay Band IV of Rs. 37,400 – Rs. 67,000 and accordingly re-designated as Associate Professor.
- 3.3.** Readers/Lecturers (Selection Grade) in service at present shall continue to be designated as Lecturer (Selection Grade) or Readers, as the case may be, until they are placed in the Pay Band of Rs. 37,400 – Rs. 67,000 and re-designated as Associate Professor in the manner described in 3.1 and 3.2. above.
- 3.4.** Assistant Professors completing three years of teaching in the AGP of Rs. 8,000 shall be eligible, subject to the qualifying conditions prescribed by these Regulations, to move to the Pay Band IV of Rs. 37,400 – Rs. 67,000 with AGP of Rs. 9,000 and to be designated as Associate Professor.
- 3.5.** Associate Professor completing three years of service in the AGP of Rs. 9,000 and possessing a Ph.D. Degree in the relevant discipline shall be eligible to be appointed and designated as Professor, subject to satisfying the required credit points as per API based on PBAS methodology provided in Appendix IV, Table I-III stipulated in these Regulations and assessment by a duly constituted selection committee as suggested for the direct recruitment of Professor. No teacher other than those with a Ph.D. shall be promoted or appointed as Professor. The Pay Band IV for the post of Professors shall be Rs. 37,400 – Rs. 67,000 with AGP of Rs. 10,000.
- 4.0.** The pay of a directly recruited Professor shall be fixed at a stage not below Rs.43,000 in the Pay Band IV of Rs. 37,400 – Rs. 67,000, with the applicable AGP of Rs.10,000.
- 4.1.** Ten percent of the positions of Professors in a university shall be eligible to be placed in the higher AGP of Rs.12,000. However, teachers promoted to the posts with higher AGP of Rs.12,000, shall continue to be designated as Professor. Eligibility for elevation as a Professor in the higher Academic Grade Pay of Rs.12,000, shall be a minimum of ten years of teaching and research experience as professor either in the pre-revised scale of Professor's Pay of Rs.16,400 – Rs. 22,400 or the revised scale of Pay Band IV of Professor with AGP of Rs.10,000 on satisfying the required API score as per Tables I and II through the PBAS methodology stipulated in these Regulations through a duly constituted Expert committee;

APPENDIX – III TABLE – I

**PROPOSED SCORES FOR ACADEMIC PERFORMANCE INDICATORS (APIs) IN RECRUITMENTS
AND CAREER ADVANCEMENT SCHEME (CAS) PROMOTIONS OF UNIVERSITY / COLLEGE
TEACHERS.**

CATEGORY I: TEACHING, LEARNING AND EVALUATION RELATED ACTIVITIES

Brief Explanation: Based on the teacher's self-assessment, API scores are proposed for (a) teaching related activities; (b) domain knowledge; (c) participation in examination and evaluation; (d) contribution to innovative teaching, new courses etc. The minimum API score required by teachers from this category is 75. The self-assessment score should be based on objectively verifiable criteria wherever possible and will be finalized by the screening/selection committee. Universities will be required to detail the activities and in case institutional specificities require, adjust the weightages, without changing the minimum total API scores required under this category.

S. No.	Nature of Activity	Maximum Score
1	Lectures, seminars, tutorials, practicals, contact hours undertaken taken as percentage of lectures allocated*	50
2	Lectures or other teaching duties in excess of the UGC norms	10
3	Preparation and Imparting of knowledge / instruction as per curriculum; syllabus enrichment by providing additional resources to students	20
4	Use of participatory and innovative teaching-learning methodologies; updating of subject content, course improvement etc.	20
5	Examination duties (Invigilation; question paper setting, evaluation/assessment of answer scripts) as per allotment.	25
	Total Score	125
	Minimum API Score Required	75

Note: *Lectures and tutorials allocation to add up to the UGC norm for particular category of teacher. University may prescribe minimum cut-off (net of due leave), say 80 %, for 1 and 5 above, below which no scores may be assigned in these sub-categories.

CATEGORY II: CO-CURRICULAR, EXTENSION AND PROFESSIONAL DEVELOPMENT RELATED ACTIVITIES.

Brief Explanation: Based on the teacher's self-assessment, category II API scores are proposed for co-curricular and extension activities; and Professional development related contributions. The minimum API required by teachers for eligibility for promotion is 15. A list of items and proposed scores is given below. It will be noticed that all teachers can earn scores from a number of items, whereas some activities will be carried out only by one or a few teachers. The list of activities is broad enough for the minimum API score required (15) in this category to accrue to all teachers. As before, the self-assessment score should be based on objectively verifiable criteria and will be finalized by the screening/selection committee. The model table below gives groups of activities and API scores. Universities may detail the activities or, in case institutional specificities require, adjust the weightages, without changing the minimum total API scores required under this category.

S. No.	Nature of Activity	Maximum Score
1	Student related co-curricular, extension and field based activities (such as extension work through NSS/NCC and other channels, cultural activities, subject related events, advisement and counseling)	20
2	Contribution to Corporate life and management of the department and institution through participation in academic and administrative committees and responsibilities.	15
3	Professional Development activities (such as participation in seminars, conferences, short term, training courses, talks, lectures, membership of associations, dissemination and general articles, not covered in Category III below)	15
	Minimum API Score Required	15

CATEGORY-III: RESEARCH AND ACADEMIC CONTRIBUTIONS

Brief Explanation: Based on the teacher's self-assessment, API scores are proposed for research and academic contributions. The minimum API score required by teachers from this category is different for different levels of promotion and between university and colleges. The self-assessment score will be based on verifiable criteria and will be finalized by the screening/selection committee.

S No.	APIs	Engineering/Agriculture/ Veterinary Science/Sciences/Medical Sciences	Faculties of Languages Arts/Humanities/Social Sciences/Library/ Physical education/Management	Max. points for University and college teacher position
III A	Research Papers published in:	Refereed Journals *	Refereed Journals*	15 / publication
		Non-refereed but recognized and reputable journals and periodicals, having ISBN / ISSN numbers.***	Non-refereed but recognized and reputable journals and periodicals, having ISBN/ISSN numbers.	10 / Publication
		Conference proceedings as full papers , etc. (Abstracts not to be included)	Conference proceedings as full papers, etc. (Abstracts not to be included)	10/ publication
III (B)	Research Publications (books, chapters in books, other than refereed journal articles)	Text or Reference Books Published by International Publishers with an established peer review system	Text or Reference Books Published by International Publishers with an established peer review system	50 /sole author; 10 / chapter in an edited book
		Subjects Books by National level publishers/State and Central Govt. Publications with ISBN/ISSN numbers.	Subject Books by / national level publishers/State and Central Govt. Publications with ISBN/ISSN numbers.	25 /sole author, and 5/ chapter in edited books
		Subject Books by Other local publishers with ISBN/ISSN numbers OR non ISBN no. for University Syllabus.	Subject Books by Other local publishers with ISBN/ISSN numbers OR non ISBN no. for University Syllabus.	15 / sole author, and 3 / chapter in edited books
		Chapters contributed to edited knowledge based volumes published by International Publishers	Chapters contributed to edited knowledge based volumes published by International Publishers	10 /Chapter

		Chapters in knowledge based volumes by Indian/National level publishers with ISBN/ISSN numbers and with numbers of national and international directories	Chapters in knowledge based volumes in Indian/National level publishers with ISBN / ISSN numbers and with numbers of national and international directories	5 / Chapter
III (C)	RESEARCH PROJECTS			
III (C) (i)	Sponsored Projects carried out/ ongoing	(a) Major Projects amount mobilized with grants above 30.0 lakhs	Major Projects amount mobilized with grants above 5.0 lakhs	20 /each Project
		(b) Major Projects amount mobilized with grants above 5.0 lakhs up to 30.00 lakhs	Major Projects Amount mobilized with minimum of Rs. 3.00 lakhs up to Rs. 5.00 lakhs	15 /each Project
		(c) Minor Projects (Amount mobilized with grants above Rs. 50,000 up to Rs. 5 lakh)	Minor Projects (Amount mobilized with grants above Rs. 25,000 up to Rs. 3 lakh)	10/each Project
III (C) (ii)	Consultancy Projects	Amount mobilized with	Amount mobilized with	10 per every

	carried out / ongoing	minimum of Rs.10.00 lakh	minimum of Rs. 2.0 lakhs	Rs.10.0 lakhs and Rs.2.0 lakhs, respectively
III (C) (iii)	Completed projects : Quality Evaluation	Completed project Report (Acceptance from funding agency)	Completed project report (Accepted by funding agency)	20 /each major project and 10 / each minor project
III (C) (iv)	Projects Outcome / Outputs	Patent/Technology transfer/ Product/Process	Major Policy document of Govt. Bodies at Central and State level	30 / each national level output or patent /50 /each for International level,
III (D)	RESEARCH GUIDANCE			
III (D) (i)	M.Phil.	Degree awarded only	Degree awarded only	3 /each candidate
III (D) (ii)	Ph.D	Degree awarded	Degree awarded	10 /each candidate
		Thesis submitted	Thesis submitted	7 /each candidate
III(E)	TRAINING COURSES AND CONFERENCE /SEMINAR/WORKSHOP PAPERS			
III(E) (i)	Refresher courses, Methodology	(a) Not less than two weeks duration	(a) Not less than two weeks duration	20/each

	workshops, Training, Teaching-Learning-Evaluation Technology Programmes, Soft Skills development Programmes, Faculty Development Programmes (Max: 30 points)	(b) One week duration	(b) One week duration	10/each
III(E) (ii)	Papers in Conferences/ Seminars/ workshops etc.**	Participation and Presentation of research papers (oral/poster) in	Participation and Presentation of research papers (oral/poster) in	
		a) International conference	a) International conference	10 each
		b) National	b) National	7.5 / each
		c) Regional/State level	c) Regional/State level	5 /each
		d) Local –University / College level	d) Local –University/College level	3 / each
III(E) (iv)	Invited lectures or presentations for conferences/ / symposia	(a) International	(a) International	10 /each
		(b) National level	(b) National level	5

*Wherever relevant to any specific discipline, the API score for paper in refereed journal would be augmented as follows: (i) indexed journals – by 10 points; (ii) papers with impact factor between 1 and 2 by 15 points; (iii) papers with impact factor between 2 and 5 by 20 points; (iv) papers with impact factor between 5 and 10 by 25 points.

** If a paper presented in Conference/Seminar is published in the form of Proceedings, the points would accrue for the publication (III (a)) and not under presentation (III (e)(ii)).

***Indexed in Refereed Journals

Notes.

1. It is incumbent on the Coordination Committee proposed in these Regulations and the University to prepare and publicize within six months subject-wise lists of journals, periodicals and publishers under categories IIIA and B. Till such time, screening / selection committees will assess and verify the categorization and scores of publications.
2. The API for joint publications will have to be calculated in the following manner: Of the total score for the relevant category of publication by the concerned teacher, the first/Principal author and the corresponding author/supervisor/mentor of the teacher would share equally 60% of the total points and the remaining 40% would be shared equally by all other authors.

APPENDIX – III TABLE – II (A)
MINIMUM APIS AS PROVIDED IN APPENDIX – III TABLE I TO BE APPLIED FOR
THE PROMOTION OF TEACHERS UNDER CAREER
ADVANCEMENT SCHEME (CAS) IN UNIVERSITY DEPARTMENTS, AND
WEIGHTAGES FOR EXPERT ASSESSMENT

		Assistant Professor/ equivalent cadres: (Stage 1 to Stage 2)	Assistant Professor/ equivalent cadres: (Stage 2 to Stage 3)	Assistant Professor (Stage 3) to Associate Professor/ equivalent cadres (Stage 4)	Associate Professor (Stage 4) to Professor/ equivalent cadres (Stage 5)	Professor (Stage 5) to Professor (Stage 6)
I	Teaching-learning, Evaluation Related Activities (category I)	75/Year	75/year	75/year	75/year	75/year
II	Co-curricular, Extension and Profession related activities (Category II)	15/Year	15/Year	15/Year	15/Year	15/Year
III	Minimum total average annual Score under Categories I and II*	100/Year	100/Year	100/Year	100/Year	100/Year
IV	Research and Academic Contribution (Category III) –	10/Year (40/assessment period)	20/Year (100/assessment Period)	30/Year (90/assessment period)	40/Year (120/assessment period)	50/Year (500/assessment period)
	Expert Assessment System	Screening Committee	Screening Committee	Selection Committee	Selection Committee	Expert Committee
V	Percentage Distribution of Weightage Points in the Expert Assessment (Total weightage = 100. Minimum required for promotion is 50)	No separate points. Screening committee to verify API scores	No separate points. Screening committee to verify API scores	30% - Contribution to Research 50% - Assessment of domain knowledge and teaching practices. 20 % - Interview performance	50% - Contribution to Research. 30 % - Assessment of domain knowledge and teaching practices. 20 % - Interview performance	50% - research. 50 % - Performance evaluation and other credential by referral procedure

*** Teachers may score 10 points from either Category I or Category II to achieve the minimum score required under Category I + II. Note: For universities for which Sixth PRC Awards (vide Appendix 2) are applicable, Stages 1, 2, 3, 4, 5 and 6 correspond to scales with AGP of Rs. 6000, 7000, 8000, 9000, 10000 and 12000 respectively**

APPENDIX – III TABLE – II (B)
MINIMUM POINT NORMS OF THE APIS AS PROVIDED IN TABLE I AND
WEIGHTAGES FOR EXPERT ASSESSMENT TO BE APPLIED FOR THE
PROMOTION OF TEACHERS, IN COLLEGES (UG AND PG) UNDER CAREER
ADVANCEMENT SCHEME (CAS)

		Assistant Professor/ equivalent cadres Stage 1 to Stage 2:	Assistant Professor/ equivalent cadres: Stage 2 to Stage 3	Assistant Professor (Stage 3) to Associate Professor/ equivalent cadre (Stage 4)	Associate Professor to Professor Promotion in Colleges (Stage 5) as per assigned posts
I	Teaching-learning, Evaluation Related Activities (Category – I)	75/Year	75/Year	75/year	75/year
II	Co-curricular, Extension and Profession related activities (Category – II)	15/Year	15/Year	15/Year	15/Year
III	Minimum total average annual Score under Categories I and II*	100/Year	100/Year	100/Year	100/Year
IV	Research and Academic Contribution (Category III)	5/Year (20/assessment period)	10/Year (50/assessment period)	15/Year (45/assessment period)	20/Year (60/assessment period)
	Expert Assessment System	Screening Committee	Screening Committee	Selection Committee	Selection Committee
V	Percentage Distribution of Weightage Points in the Expert Assessment (Total weightage = 100. Minimum required for promotion is 50)	No separate points. Screening committee to verify API scores	No separate points. Screening committee to verify API scores	20% - Contribution to Research 60% - Assessment of domain knowledge and teaching practices. 20% - Interview performance	30% - Contribution to Research. 50% - Assessment of domain knowledge and teaching practices. 20% - Interview performance

*** Teachers may score 10 points from either Category I or Category II to achieve the minimum score required under Category I + II.**

Note: For universities for which Sixth PRC Awards (vide Appendix 2) are applicable, Stages 1, 2, 3, 4 and 5 correspond to scales with AGP of Rs. 6000, 7000, 8000, 9000 and 10000 respectively

Explanatory note for Tables II (a) and II (b)

1. All universities / colleges will set up verifiable systems for the API related information required in these tables within THREE months of notification of these regulations. They will have to be documented and collated annually by the Internal Quality Assessment cells (IQACs) of the universities / colleges for follow up by the universities / college authorities. In order to facilitate this process, all teachers shall submit the duly filled-in Performance Based Appraisal System (PBAS) proforma to the IQAC annually.
2. However, in order to remedy the difficulties of collecting retrospective information and to facilitate the implementation of these regulations from 31-12-2008 in the CAS Promotion, the API based PBAS will be progressively and prospectively rolled out.
3. Accordingly, the PBAS based on the API scores of categories I and II as mentioned in these tables is to be implemented for one year, initially based on the existing systems in universities / colleges for one year only with the minimum average scores as depicted in Table II (a) and II (b) in rows I to III. This annualized API scores can then be compounded progressively as and when the teacher becomes eligible for CAS promotion to the next cadre. Thus, if a teacher is considered for CAS promotion in 2010, one year API scores for 2009-10 alone will be required for assessment. In case of a teacher being considered for CAS promotion in 2011, two years average of API scores for these categories will be required for assessment and so on leading progressively for the complete assessment period.
4. As shown in Table II, the aggregate minimum API score required (given in row III) can be earned from any of the two broad categories, subject to the minimum prescribed in each category. This will provide for due weightage to teachers who contribute additionally through any of the components given in Categories I and II also for the differing nature of contributions possible in different institutional settings
5. For Category III (research and academic contributions), maintenance of past record is done on a normal basis by teachers and hence no difficulty is envisaged in applying the API scores for this category for the entire assessment period. In this category, an aggregate minimum score is required for promotion over each stage. Alternatively, a teacher should acquire the required minimum aggregate score over two previous stages, taken together. In the case of promotion to Professor, the publication requirement shall be met over the two previous stages.

6. Candidates should offer themselves for assessment for promotion, if they fulfill the minimum API scores indicated in Tables I and II, by submitting an application and the required proforma. They can do so three months before the due date if they consider themselves eligible. Candidates who do not consider themselves eligible, can also apply at a later date.
7. If however, on final assessment, candidates do not either fulfill the minimum criteria under Rows III and IV of Tables II(A) and II (B) or obtain less than 50% in the expert assessment, they will be reassessed only after a minimum period of one year.
8. (a) If a candidate applies for promotion on completion of the minimum eligibility period and is successful, the date of promotion will be deemed to be the minimum period of eligibility.
(b) If however, the candidate finds that she / he fulfills the eligibility conditions at a late date and applies on that date and is successful, her / his promotion will be deemed to be from that date of application
(c) If the candidate does not succeed in the first assessment, but succeeds in an eventual assessment, her / his promotion will be deemed to be from the later date.

APPENDIX – III TABLE – II(c)

Minimum Scores for APIs for direct recruitment of teachers in university departments / Colleges, Librarian/Physical Education cadres in Universities / Colleges, and weightages in Selection Committees to be considered along with other specified eligibility qualifications stipulated in the Regulation.

	Assistant Professor/ equivalent cadres (Stage 1)	Associate Professor/ equivalent cadres (Stage 4)	Professor/equivalent cadres (Stage 5)
Minimum API Scores	Minimum Qualification as stipulated in these regulations	Consolidated API score requirement of 300 points from category III of APIs	Consolidated API score requirement of 400 points from category III of APIs
Selection Committee criteria / weightages (Total Weightages = 100)	a) Academic Record and Research Performance (50%) b) Assessment of Domain Knowledge and Teaching Skills (30%) c) Interview performance (20%)	a) Academic Background (20%) b) Research performance based on API score and quality of publications (40%). c) Assessment of Domain Knowledge and Teaching Skills (20%) d) Interview performance: (20%)	e) Academic Background (20%) f) Research performance based on API score and quality of publications (40%). g) Assessment of Domain Knowledge and Teaching Skills (20%) Interview performance: (20%)

Note: For universities/colleges for which Sixth PRC Awards (vide Appendix 2) are applicable, Stages 1, 4 and 5 correspond to scales with AGP of Rs. 6000, 9000 and 10000 respectively

APPENDIX-III - TABLE: III
MINIMUM ACADEMIC PERFORMANCE AND SERVICE REQUIREMENTS FOR
PROMOTION OF TEACHERS
IN UNIVERSITIES AND COLLEGES

S. No.	Promotion of Teachers through CAS	Service requirement	Minimum Academic Performance Requirements and Screening/Selection Criteria
1	Assistant Professor/ equivalent cadres from Stage 1 to Stage 2	Assistant Professor in Stage 1 and completed four years of service with Ph.D. or five years of service who are with M.Phil/PG Degree in Professional Courses such as LLM, M.Tech, M.V.Sc., M.D., or six years of service who are without Ph.D/M.Phil/PG Degree in Professional Courses	(i) Minimum API scores using PBAS scoring proforma developed by the concerned university as per the norms provided in Table II(A)/II(B) of Appendix III. (ii) One Orientation and one Refresher/Research Methodology Course of 2/3 weeks duration. (iii) Screening cum Verification process for recommending promotion.
2.	Assistant Professor/ equivalent cadres from Stage 2 to Stage 3	Assistant Professor with completed service of five years in Stage 2.	(i) Minimum API scores using the PBAS scoring proforma developed by the concerned university as per the norms provided in Table II(A)/II(B) of Appendix III (ii) One course / programme from among the categories of refresher courses, methodology workshops, Training, Teaching-Learning-Evaluation Technology Programmes , Soft Skills development Programmes and Faculty Development Programmes of 2/3 week duration. (iii) Screening cum Verification process for recommending promotion.

3.	Assistant Professor (Stage 3) to Associate Professor (Stage 4)	Assistant Professors with three years of completed service in Stage 3.	<p>I. Minimum API scores using the PBAS scoring proforma developed by the concerned university as per the norms provided in Table IIA/II(B) of Appendix III.</p> <p>II. At least three publications in the entire period as Assistant Professor (twelve years). However, in the case of College teachers, an exemption of one publication will be given to M. Phil. holders and an exemption of two publications will be given to Ph. D. holders..</p>
			<p>III. One course / programme from among the categories of methodology workshops, Training, Teaching-Learning-Evaluation Technology Programmes, Soft Skills development Programmes and Faculty Development Programmes of minimum one week duration. IV. A selection committee process as stipulated in this regulation and in Tables II(A) and II(B) of Appendix III.</p>
4.	Associate Professor (Stage 4) Professor/ equivalent cadres (Stage 5)	Associate Professor with three years of completed service in Stage 4.	<p>(i) Minimum yearly /cumulative API scores using the PBAS scoring proforma developed by the concerned university as per the norms provided in Table II(A)/II(B) of Appendix III.</p> <p>Teachers may combine two assessment periods (in Stages 2 and 3) to achieve minimum API scores, if required.</p> <p>(ii) A minimum of five publications since the period that the teacher is placed in Stage 3. (iii) A selection committee process as stipulated in this regulation and in Tables II(A) and II(B) of Appendix III.</p>
5.	Professor (Stage 5) to Professor (Stage 6) .	Professor with ten years of completed service (universities only)	<p>(i)Minimum yearly /cumulative API scores for the assessment period as per the norms provided in Table II(A) of Appendix III (ii) Additional credentials are to be evidenced by: (a) postdoctoral research outputs of high standard; (b) awards / honours / recognitions / patents and IPR on products and processes developed / technology transfer achieved; and (c) Additional research degrees like D.Sc., D.Litt., LL.B., etc.,</p> <p>(iii) A review process by an Expert Committee as stipulated in this regulation and in Tables II(A) and II(b) of Appendix III.</p>

* For teachers seeking promotion under CAS to Associate Professor, for those who on the date of this notification are Assistant Professors in Stage 2, the requirement of publications may be adjusted pro rata. For all others who enter Stage 2, subsequent to this notification, the requirement of three publications, as defined in these regulations, will be applicable.

Note: For universities/colleges for which Sixth PRC Awards (vide Appendix 2) are applicable, Stages 1, 2, 3, 4, 5 and 6 correspond to scales with AGP of Rs. 6000, 7000, 8000, 9000, 10000 and 12000 respectively

APPENDIX – III: TABLE – IV

ACADEMIC PERFORMANCE INDICATORS (APIs) AND PROPOSED SCORES DEVELOPED BY THE UGC FOR ADOPTION OF PERFORMANCE BASED APPRAISAL SYSTEM (PBAS) FOR CAREER ADVANCEMENT SCHEME (CAS) PROMOTIONS OF UNIVERSITY / DIRECTOR/ DEPUTY DIRECTOR/ ASSISTANT DIRECTOR OF PHYSICAL EDUCATION/ COLLEGE DIRECTOR OF PHYSICAL EDUCATION CATEGORY II: CO-CURRICULAR, EXTENSION AND PROFESSIONAL DEVELOPMENT RELATED ACTIVITIES.

CATEGORY I: TEACHING, TRAINING, COACHING, SPORTS PERSON DEVELOPMENT AND SPORTS MANAGEMENT ACTIVITIES S. No

Sr. No.	Nature of Activity	Maximum Score
CATEGORY -I		
1	Management of Physical Education and Sports Programme for students (Planning, executing and evaluating the policies in Physical Education and Sports) (20 Points) Lecture cum practice based athlete / sports classes, seminars undertaken as percentage of allotted hours (20 Points)	40
2	Extending services, sports facilities and training on holidays to the institutions and organisations	10
3	Organizing and conducting sports and games competitions at the International /National/ State/ Inter University/Inter Zonal Levels (25 Points) Organizing and conducting coaching camps / sports person development / training programmes (15 Points)	40
4	Up gradation of scientific and technological knowledge in Physical Education and Sports (5 Points) Identifying sports talents and Mentoring sports excellence among students (10 Points)	20
5	Development and maintenance of play fields, purchase and maintenance of the other sports facilities	15
	Total Score	125
	Minimum API Score Required	75

S. No.	Nature of Activity	Maximum Score
1	Student related co-curricular, extension and field based activities (such Cultural exchange and Sports Programmes (Various level of extramurals and intramural programmes); extension work through NSS/NCC and other channels,	20
2	Contribution to Corporate life and management of the sports units and institution through participation in sports and administrative committees and responsibilities.	15
3	Professional Development activities (such as participation in seminars, conferences, short term, training courses, camps and events, talks, lectures, membership of associations, dissemination and general articles, not covered in Category III below)	15
	Minimum API Score Required	15

CATEGORY-III: RESEARCH AND ACADEMIC CONTRIBUTIONS

S.No.	APIs	Faculties of Physical education	Max. points for University and college teacher position
III(a)	Research Publication (Journals)	Refereed Journals*	15/ Publication
		Non-referred but recognized and reputable journals and periodicals, having ISBN/ISSN numbers.	10 / Publication
		Full papers in Conference proceedings, etc.* (Abstracts not to be included)	10 / publication
III(b)	Research Publications (books, chapters in books, other than refereed journal articles)	Text or Reference Books Published by International Publishers **	50 /sole author 10 / chapter in an edited book
		Text or Reference Books Published by National/ Central/ State Government/ Societies **	25/sole author, 5/chapter in edited books
		Subject Books by Other local publishers with ISBN/ISSN numbers OR non ISBN no. for University Syllabus ** Chapters in knowledge based volumes in 5 / Chapter Indian/National level publishers with ISBN /ISSN numbers and with numbers of national and international directories **	15/ sole author, 3/ chapter in edited books

*The API for joint publications will have to be calculated in the following manner: Of the total score for the relevant category of publication by the concerned teacher, the first/ Principal author and the corresponding author/supervisor/mentor of the teacher would share equally 70% of the total points and the remaining 30% would be shared equally by all other authors

** Scores (50/25/10/03 whatever the case may be) to be shared as par norms by all authors

III(C)	RESEARCH PROJECT		
	Major Projects/Events		20 each Project
	amount	mobilized with grants	above
	5.0 lakhs		
III (C) (i)	Sponsored Projects carried out/ongoing	Major Projects /Events Amount mobilized with minimum of Rs. 4.00 lakhs up to Rs. 5.00 lakhs	15 each major project
		Minor projects from central / state funding agencies with grants below 4.00 lakhs	10 each minor Project

III (C)	RESEARCH PROJECT		
III (C) (I)	Sponsored Projects carried out/ongoing	Major Projects/Events amount mobilized with grants above 5.0 lakhs	20 each Project
		Major Projects /Events Amount mobilized with minimum of Rs. 4.00 lakhs up to Rs. 5.00 lakhs	15 each major project
		Minor projects from central / state funding agencies with grants below 4.00 lakh	10 each minor Project
III (C) (ii)	Consultancy Projects carried out / ongoing	Amount mobilized with minimum of Rs.1.0 lakh	10 per every Rs.5.0 lakhs 2 per every Rs.1.0 lakhs
III (C) (iii)	Completed projects : Quality Evaluation	Completed project report (Accepted by funding agency)	20 /each major project and 10 / each minor project
III (C) (iv)	Projects Outcome / Outputs	Policy document of Govt. Bodies at Central and State Level	30 / each output or outcome for National patents etc/50 /each for International patents.
III (D)	RESEARCH GUIDANCE		
III (D)(i)	M.Phil.	Degree awarded only	3 /each candidate
III (D)(ii)	Ph.D	Degree awarded	10 /each candidate

III(E)	TRAINING COURSES AND CONFERENCE /SEMINAR/WORKSHOP PAPERS		
III(E)(i)	Research Methodology/ Training/ Coaching Workshops	Research methodology / Training/ Coaching programme (not less than three weeks)/workshops of not less than one week.	20
III(E)(ii)	Papers in Conferences/ Seminars/ workshops Etc	Participation and Presentation of research papers (oral/poster) in:	
		a) International conference	10 / each
		b) National	7.5 / each
		c) Regional/State level	5 /each
		d) Local – University/College level	3 / each
		(a) International	10 / each
		(b) National	7.5 / each
		(c) State level/Regional	5 /each
		(d) University/College level Endowment lectures	5 / each
III(E)(iv)	Invitations for conferences/seminars/ workshops/ symposia to deliver lectures/chair sessions		

MINIMUM APIS AS PROVIDED IN APPENDIX – III TABLE: IV TO BE APPLIED FOR THE CAREER ADVANCEMENT SCHEME (CAS) PROMOTION OF COLLEGE DIRECTOR OF PHYSICAL EDUCATION (SENIOR SCALE) / COLLEGE DIRECTOR OF PHYSICAL EDUCATION (SELECTION GRADE), AND WEIGHTAGES FOR EXPERT ASSESSMENT IN SELECTION COMMITTEES.

S. No	Categories of Criteria	Minimum Average, yearly or cumulative, API score required during the assessment period of each level as evaluated under the Performance Based Appraisal System (PBAS) with weightages for Expert Assessment		
		College Director of Physical Education to College Director of Physical Education (Senior Scale) (Stage 1 to Stage 2)	College Director of Physical Education Senior Scale to Selection Grade (Stage 2 to Stage 3).	College Director of Physical Education (Selection Grade) (Stage 3 to Stage 4).
I	Teaching-learning, Evaluation Related Activities (Category – I)	75/Year	75/Year	75/year
II	Co-curricular, Extension and Profession related activities (Category – II)	15/Year	15/Year	15/Year
III	Minimum total average annual Score under Categories I and II*	100/Year	100/Year	100/Year
IV	Research and Academic Contribution (Category III) – Minimum Annual Score Required- to assessed cumulatively	5/Year (20/assessment period)	10/Year (50/assessment period)	15/Year (45/assessment period)
	Expert Assessment System	Screening Committee	Screening Committee	Selection Committee
V	Percentage Distribution of Weightage Points in the Expert Assessment (Total weightage = 100. Minimum required 50)	No separate points. Screening committee to verify API scores	No separate points. Screening committee to verify API scores	30% - Research evaluation 50% - Assessment of domain knowledge and skills in sports. 20 % - Interview performance

* Teachers may score 10 points from either Category I or Category II to achieve the minimum score required under Category I + II.

Note: For colleges in which Sixth PRC Awards (vide Appendix 2) are applicable, Stages 1, 2, 3 and 4 correspond to

scales as provided, and AGP of Rs. 6000, 7000, 8000 and 9000 respectively

APPENDIX – III TABLE – V(c)

MINIMUM APIS AND OTHER NORMS FOR THE DIRECT RECRUITMENT OF PHYSICAL EDUCATION PERSONNEL IN UNIVERSITY DEPARTMENTS/COLLEGES (TO BE CONSIDERED ALONG WITH OTHER SPECIFIED ELIGIBILITY QUALIFICATIONS STIPULATED IN THIS UGC REGULATION)

S. No. of category	Minimum Norm / Criteria	Assistant Director of Physical Education/College Director of Physical Education (Entry Stage – Stage 1)	Deputy Director of Physical Education in university (Stage 4)	Director of Physical Education in university (Stage 5)
I	API score (Research and Academic Contribution – Category III)		Consolidated API score requirement of 300 points	Consolidated API score requirement of 400 points
II	Selection Committee criteria/weightages (Total weightage = 100)	d) Track Record of championship won (30%) e) Sports and athletic skills (40%) f) Interview performance (30%)	h) Research papers (3 nos) evaluation: (40%) i) Organisational skills / Plans of sports: (30%) j) Interview performance: (30%)	a) Research papers (5 nos) evaluation: (50%) b) Organisational track vision plan: (25%) c) Interview performance: (25%)

Note: For universities/colleges in which Sixth PRC Awards (vide Appendix 2) are applicable, Stages 1, 4 and 5 correspond to scales as provided, and AGP of Rs. 6000, 9000 and

APPENDIX-III. TABLE: VI

MINIMUM ACADEMIC PERFORMANCE AND SERVICE REQUIREMENTS FOR PROMOTION OF PHYSICAL EDUCATION CADRES IN UNIVERSITIES AND COLLEGES

S. No.	Promotion of Physical Education Cadres through CAS	Service (as prescribed by the MHRD Notification) requirement	Minimum Academic Performance Requirements and Screening/Selection Criteria
1	Assistant DPE / College DPE to Assistant DPE (Senior Scale) / College DPE (Senior Scale) (Stage 1 to Stage 2)	Assistant DPE / College DPE completed four years of service in Stage 1 with Ph.D. or five years of service who are with M.Phil. or six years of service who are without Ph.D/M.Phil	(iv) Minimum API scores using PBAS scoring proforma developed by the concerned university as per the norms provided in Table V(a) of Appendix III for university DPEs cadres in Universities and in Table V(b) of Appendix III for cadres in Colleges. (v) One Orientation and one Refresher Course of 3/4 weeks duration. (vi) No separate interview points for the Screening cum Evaluation process of recommending promotion.
2.	Assistant DPE (senior scale) / College DPE (senior scale) to Deputy DPE / Assistant DPE (selection grade) / College DPE(selection grade) (Stage 2 to Stage 3)	Assistant DPE (senior scale) College DPE (senior scale) with completed service of five years in Stage 2	(iv) Minimum API scores using the PBAS scoring proforma developed by the concerned university as per the norms provided in Table V(a) of Appendix III for university DPEs cadres in Universities and in Table V(b) of Appendix III for DPEs cadres in Colleges. (v) Additionally, two refresher courses of 3-4 weeks duration to have been undergone during the assessment period. (vi) No separate interview points for the Screening cum Evaluation process of recommending promotion.
3.	Deputy DPE / Assistant DPE (Selection Grade) / College DPE (Selection Grade) to Deputy DPE/ Assistant DPE (Selection Grade) / College DPE (Selection Grade) (Stage 3 to Stage 4).	Deputy DPE / Assistant DPE (Selection Grade) / College DPE (Selection Grade) with three years of completed service in Stage 3.	(i) Minimum API scores using the PBAS scoring proforma developed by the concerned university as per the norms provided in Table V(a) of Appendix III for university DPEs cadres in Universities and in Table V(b) of Appendix III for cadres in Colleges. (ii) Minimum three publications over twelve years. For promotion in Colleges an exemption of one publication for M. Phil. holders and exemption of two publications for Ph. D. holders. (iii) Evidence of having produced teams / athletes. (iv) A selection committee process as stipulated in this regulation and in Table V(a) of Appendix III for the university DPE cadres in universities and in Table V(b) of Appendix III for cadres in colleges.
4.	University DPE (Stage 5) (For universities only)	Deputy DPE in universities with three years of completed service in Stage 4.	(iv) Minimum API scores using the PBAS scoring proforma developed by the concerned university as per the norms provided in Table V(a) of Appendix III for DPEs in university. These may be achieved over two assessment periods, if required. (v) A minimum of five publications over two assessment periods (six years). (vi) Evidence of having produced teams / athletes. (vii) A selection committee process as stipulated in this regulation and in Table V(a) of Appendix III for DPEs in the university.

Note: The explanatory note provided for Tables IIA and IIB for CAS for teachers is also applicable for the Physical Director cadres as per the API score specified for this cadre.

Note: For universities/colleges for which Sixth PRC Awards (vide Appendix 2) are applicable, Stages 1, 2, 3, 4 and 5 correspond to scales with AGP of Rs. 6000, 7000, 8000, 9000 and 10000 respectively

**APPENDIX – III: TABLE –VII
ACADEMIC PERFORMANCE INDICATORS (APIs) AND PROPOSED SCORES DEVELOPED BY UGC
FOR ADOPTION OF PERFORMANCE BASED APPRAISAL SYSTEM (PBAS) FOR DIRECT
APPOINTMENT / CAREER ADVANCEMENT SCHEME (CAS) PROMOTIONS APPLICABLE TO
LIBRARIAN, (UNIVERSITY) DEPUTY LIBRARIAN AND ASSTT. LIBRARIAN / COLLEGE LIBRARIAN.**

**Category – I : Procurement, organisation, and delivery of knowledge and information through
Library services**

S.No	Nature of Activity	Maximum Score
1.	Library resources organisation and maintenance of books, journals, reports; Provision of library reader services, literature retrieval services to researchers and analysis of reports; Provision of assistance to the departments of University/College with the required inputs for preparing reports, manuals and related documents; Assistance towards updating institutional website with activity related information and for bringing out institutional Newsletters, etc.	40
2.	ICT and other new technologies' application for upgradation of library services such as automation of catalogue, learning resources procurement functions, circulation operations including membership records, serial subscription system, reference and information services, library security (technology based methods such as RFID, CCTV), development of library management tools (software), Intranet management.	30
3.	Development, organisation and management of e-resources including their accessibility over Intranet/Internet, digitization of library resources, e-delivery of information, etc.	25
4	User awareness and instruction programmes (Orientation lectures, users' training in the use of library services as e-resources, OPAC; knowledge resources user promotion programmes like organizing book exhibitions, other interactive latest learning resources, etc.	20
5.	Additional services such as extending library facilities on holidays, shelf order maintenance, library user manual, building and extending institutional library facilities to outsiders through external membership norms	10
Total Score		125
Minimum API score required		75

**Category- II – CO-CURRICULAR, EXTENSION AND PROFESSIONAL
DEVELOPMENT RELATED ACTIVITIES.**

S. No.	Nature of Activity	Maximum Score
1	Student related co-curricular, extension and field based activities (such Cultural exchange and Library service Programmes (various level of extramural and intramural programmes); extension, library-literary work through different channels,	20
2	Contribution to Corporate life and management of the library units and institution through participation in library and administrative committees and responsibilities.	15
3	Professional Development activities (such as participation in seminars, conferences, short term, e-library training courses, workshops and events, talks, lectures, membership of associations, dissemination and general articles, not covered in Category III below)	15
Minimum API Score Required		15

Category – III – Research and academic contributions III (E)

S No.	APIs	Activity	Maximum Point
III A	Research Papers published in:	Refereed Journals	15 / publication
		Non-refereed but recognized and reputable journals and periodicals, having ISBN/ISSN numbers.	10 / Publication
		Conference proceedings as full papers, etc. (Abstracts not to be included)	10 / publication
III (B)	Research Publications (books, chapters in books, other than refereed journal articles)	Text or Reference Books Published by International Publishers with an established peer review system	50 /sole author; 10 / chapter in an edited book

		Subjects Books by National level publishers/State and Central Govt. Publications with ISBN/ISSN numbers.	25 /sole author, and 5/ chapter in edited books
		Subject Books by Other local publishers with ISBN/ISSN numbers.	15 / sole author, and 3 / chapter in edited books
		Chapters contributed to edited knowledge based volumes published by International Publishers	10 /Chapter
		Chapters in knowledge based volumes by Indian/National level publishers with ISBN/ISSN numbers and with numbers of national and international directories	5 / Chapter
III (C)			
III (C) (i)	Sponsored Projects carried out/ ongoing	(d) Major Projects amount mobilized with grants above 30.0 lakhs	20 /each Project
III (C) (ii)	Consultancy Projects carried out / ongoing	(e) Major Projects amount mobilized with grants above 5.0 lakhs up to 30.00 lakhs (f) Minor Projects (Amount mobilized with grants above Rs. 50,000 up to Rs. 5.0 lakh) Amount mobilized with minimum of Rs.10.00 lakhs	15 /each Project 10/each Project 10 per every Rs.10.0 lakhs and Rs.2.0 lakhs, respectively
III (C) (iii)	Completed projects : Quality Evaluation	Completed project Report (Acceptance from funding agency)	20 /each major project and 10 / each minor project
III (C) (iv)	Projects Outcome / Outputs	Patent/Technology transfer/ Product/Process	30 / each national level output or patent / 50 /each for International level,

III (D)			
III (D) (i)	M.Phil.	Degree awarded only	3 /each candidate
III (D) (ii)	Ph.D	Degree awarded	10 /each
		Thesis submitted	7 /each candidate
III(E)			
III(E) (i)	Refresher courses, Methodology workshops, Training, Teaching-Learning-Evaluation Technology Programmes, Soft Skills development Programmes, Faculty Development Programmes (Max: 30 points)	Not less than two weeks Duration	20/each
		One week duration	10/each
III(E) (ii)	Papers in Conferences/ Seminars/ workshops etc. *	Participation and Presentation of research papers (oral/poster) in	
		International conference	Each
		b) National	/ each
		c) Regional/State level	/ each
		Local –University/College level	3 / each
III(E) (iv)	Invited lectures or presentations for conferences/ / symposia	International	10 /each
		National level	5

* If a paper presented in Conference/Seminar is published in the form of Proceedings, the points would accrue for the publication (III (a)) and not under presentation (III (e)(ii)).

Note:

The API for joint publications will have to be calculated in the following manner: Of the total score for the relevant category of publication by the concerned teacher, the first/ Principal author and the corresponding author/supervisor/mentor of the teacher would share equally 70% of the total points and the remaining 30% would be shared equally by all other authors.

APPENDIX – III TABLE – VIII (a)

Minimum APIs as provided in Appendix III Table VII to be applied for the Promotion of Library staff of universities and Weightages for Expert Assessment UNDER CAREER ADVANCEMENT SCHEME (CAS)

		Assistant Librarian to Assistant Librarian (senior scale) (Stage 1 to Stage 2)	Deputy Librarian / Assistant Librarian (Selection Grade) (Stage 2 to Stage 3)	Deputy Librarian/ Assistant Librarian (selection Grade) (Stage 3 to Stage 4)	Librarian (university only) (Stage 4 to Stage 5)
I	Procurement, organisation and delivery of knowledge and information thro' library services (category I)	75/Year	75/Year	75/year	75/year
II	Extension and Profession related activities (Category II)	15/Year	15/Year	15/Year	15/Year
III	Minimum total average annual Score under Categories I and II*	100/Year	100/Year	100/Year	100/Year
IV	Research and Academic Contribution (Category III) – Minimum Annual Score Required – to be assessed cumulatively	10/Year (40/assessment period)	20/Year (100/assessment period)	30/Year (90/assessment period)	40/Year (120/assessment period)
	Expert Assessment System	Screening Committee	Screening Committee	Selection Committee	
V	Percentage Distribution of Weightage Points in the Expert Assessment (Total weightage = 100. Minimum required 50))	No separate points. Screening committee to verify API scores	No separate points. Screening committee to verify API scores	30% - Library related research papers evaluation 50% - Assessment of domain knowledge on Library automation and Organisational skills 20 % - Interview performance	50% Library publication work 30% Assessment of innovative Library service and organisation of digital library services 20% Interview performance

* Candidates may score 10 points from either Category I or Category II to achieve the minimum score required under Category I + II. Note: For universities/colleges for which Sixth PRC Awards (vide Appendix 2) are applicable, Stages 1, 2, 3, 4 and 5 correspond to scales as given with AGP of Rs. 6000, 7000, 8000, 9000 and 10000 respectively

APPENDIX – III TABLE – VIII (b)

**Minimum Weightage Points (WP) norms of the APIs as provided in Appendix III
Table VII to be applied for the Promotion of Library staff of Colleges and
Weightages for Expert Assessment UNDER CAREER ADVANCEMENT SCHEME
(CAS)**

		College Librarian (Stage 1) College Librarian (senior scale) (Stage 2)	College Librarian (senior scale) (Stage 2) to College Librarian (Selection Grade) (Stage 3)	College Librarian (selection Grade) (Stage 3 to Stage 4)
I	Procurement, organisation and delivery of knowledge and information thro' library services (category I)	75/Year	75/Year	75/year
II	Extension and Profession related activities (Category II)	15/Year	15/Year	15/Year
III	Minimum total average annual Score under Categories I and II*	100/Year	100/Year	100/Year
IV	Research and Academic Contribution (Category III) – Minimum Annual Score Required – to be assessed cumulatively	5/Year (40/assessment period)	10/Year (100/assessment period)	15/Year (90/assessment period)
	Expert Assessment System	Screening Committee	Screening Committee	Selection Committee
V	Percentage of Distribution of Weightage Points in the Expert Assessment (Total weightage = 100. Minimum required 50)	No separate points. Screening committee to verify API scores	No separate points. Screening committee to verify API scores	30% - Library related research papers evaluation 50% - Assessment of domain knowledge on Library automation and Organisational skills 20 % - Interview performance

* Candidates may score 10 points from either Category I or Category II to achieve the minimum score required under Category I + II.

Note: For colleges for which Sixth PRC Awards (vide Appendix 2) are applicable, Stages 1, 2, 3 and 4 correspond to scales as provided with AGP of Rs. 6000, 7000, 8000 and 9000 respectively

APPENDIX – III:TABLE – VIII(c)

**MINIMUM APIS AND OTHER NORMS FOR THE DIRECT RECRUITMENT OF
LIBRARIAN POSITIONS IN UNIVERSITY DEPARTMENTS/ COLLEGES**

**(TO BE CONSIDERED ALONG WITH OTHER SPECIFIED ELIGIBILITY
QUALIFICATIONS STIPULATED IN THIS UGC REGULATION)**

S. No. of category	Minimum Norm / Criteria	Assistant University Librarian / College Librarian (Stage 1)	Deputy Librarian in universities (Stage 4)	Librarian (university only) (Stage 5)
I	API score (Research and Academic Contribution – Category III)		Consolidated API score requirement of 300 points	Consolidated API score requirement of 400 points
II	Selection Committee criteria/weightages (Total weightage = 100)	a). Teaching / compute and communication skills by a Lecture demonstration (30%) b). Record of Library management skills (20%) c). Interview performance (50%)	a). Library related Research / Theme papers (3 Nos) Evaluation: (50%) b). Library automation skills and Organisational Plans (20%) c). Interview performance (30%)	a) Library Research papers (Five) evaluation (60%) b) organisational track record of innovation library service and vision plan (20%) c) Interview performance (20 %)

Note: For universities for which Sixth PRC Awards (vide Appendix 2) are applicable, Stages 1, 4, 5 and 5 correspond to scales as given and AGP of Rs. 6000, 7000, 8000, 9000, 10000 and 12000 respectively

APPENDIX – III: TABLE - IX

MINIMUM ACADEMIC PERFORMANCE AND SERVICE REQUIREMENTS FOR PROMOTION OF LIBRARIAN CADRES IN UNIVERSITIES AND COLLEGES

S. No	Promotion of Librarian cadres through CAS	Service (as prescribed by the MHRD Notification) requirement	Minimum Academic Performance Requirements and Screening/Selection Criteria
1.	Assistant University Librarian / College Librarian to Assistant Librarian (Senior Scale) / College Librarian (Senior Scale) (Stage 1 to Stage 2)	Assistant University Librarian / College Librarian (Stage 1) completed four years of service with Ph. D. or five years of service who are with M. Phil or six years of service who are without Ph. D./M.Phil.	(i) Minimum API scores using PBAS scoring proforma developed by the university as per the norms provided in Table VIII (a) of Appendix III for Librarian cadres in universities and Table VIII(b) of Appendix III for college Librarian cadres. (ii) One Orientation and one Refresher Course of 3/4 weeks duration (iii) No separate interview points for the Screening cum Verification process of recommending promotion.
2.	Assistant university Librarian (Senior Scale) / college Librarian (senior scale) to Assistant university Librarian (Selection Grade)/ College Librarian/ (selection grade) (Stage 2 to Stage 3)	Assistant university Librarian (Senior Scale) / college Librarian (senior scale) with completed service of five years in Stage 2	(i) Minimum API scores using the PBAS scoring proforma developed by University as per the norms provided in Table VIII (a) of Appendix III for Librarian Cadres in universities and Table VIII (b) of Appendix III for college librarian cadres.
			(ii) Additionally, two refresher courses, for a minimum period of 3 to 4 week duration to have been
			undergone during the assessment period.
			(iii) No separate interview points for the Screening cum Verification process of recommending promotion.
3.	Deputy university Librarian / Assistant university Librarian (Selection Grade) / College Librarian (Selection Grade) (Stage 3 to Stage 4)	Assistant university Librarian (Selection Grade) / College Librarian (Selection Grade) with three years of completed service in Stage 3.	(i) Minimum API scores using the PBAS scoring proforma developed by university as per the norms provided in Table VIII (a) of Appendix III for Librarian cadres in universities and in Table VIII (b) of Appendix III for Librarian Cadres in Colleges.

			<p>(ii) Three publications over twelve years. In Colleges, an exemption of one publication will be given to M. Phil holders and two publications to Ph. D. Holders.</p> <p>(iii) Additionally one course/training under the categories of Library automation / Analytical tool Development for academic documentation.</p> <p>(iv) A selection committee process as stipulated in the Regulation and in Table VIII (a) of Appendix III for university in Table VIII (b) of Appendix III for librarian cadres in colleges.</p>
4.	Librarian (university) (Stage 5) -	Deputy Librarian in university with three years of completed service in Stage 4.	<p>(i) Minimum API scores using the PBAS scoring proforma developed by the university as per the norms provided in Table VIII (a) of Appendix III for Librarian (university). Minimum API scores can also be</p>
			considered over two assessment
			periods (Stages 3 and 4), if required.
			(ii) A minimum of 5 publications over current and previous assessment periods.
			(iii) Evidence of innovative library service and organisation of published work
			(iv) A selection committee process as stipulated in this regulation and in Table VIII (a) of Appendix III for Librarian (university)

Note: The explanatory note provided for Tables IIA and IIB for CAS for teachers is also applicable for the librarian cadres as per the API score specified for this cadre.

Note: For universities for which Sixth PRC Awards (vide Appendix 2) are applicable, Stages 1, 2, 3, 4 and 5 correspond to scales as provided and AGP of Rs. 6000, 7000, 8000, 9000, 10000 and 12000 respectively .



Swami Ramanand Teerth Marathwada University, NANDED

Name of College: _____

PBAS Proforma for Promotion under CAS

1. **Name (in Block Letters) :-**
 2. **Father's Name / Mother's Name :-**
 3. **Department :-**
 4. **Current Designation & Grade Pay :-**
 5. **Date of last Promotion :-**
 6. **Which position and grade pay are you an applicant under CAS?**
 7. **Date of eligibility for promotion :-**
 8. **Date and Place of Birth :-**
 9. **Sex :-**
 10. **Marital status :-**
 11. **Nationality :-**
 12. **Indicate whether belongs to SC/ST/OBC category :-**
 13. **Address for correspondence (with Pin code) :-**
 14. **Permanent Address (with Pin code) :-**
- Telephone No :-**
- Email :-**

15. Academic Qualifications (Matric till post graduation) :-

Examinations	Name of the Board/ University	Year of Passing	Percentage of marks obtained	Division / Class / Grade	Subject
High School /Matric					
Intermediate					
B.A./B.Sc/B.Com/ B. Mus					
M.A./M.Sc/M.Com/ M. Mus					
Others examination, if any					

16. Research Degree(s)

Degrees	University	Subject	Title	Date of Award
M. Phil.				
Ph.D./D. Phil				
D.Sc/D. Litt				

17. Appointments held prior to joining this institution (please attach relevant certificates of service / experience)

Designation	Name of Employer	Essential qualifications for the post at the time of appointment	Nature of appointment (Regular/ Fixed term/ Temporary / Adhoc)	Nature of Duties	Date of Joining	Date of Leaving	Salary with Grade	Reason of leaving

Please indicate whether in previous service:

- The essential qualifications of the post held were not lower than the qualifications prescribed by the UGC.
- The post is/was in an equivalent grade or of the pre-revised scale of pay.

- c) Whether applied through proper channel.
- d) Whether possess the same minimum qualifications as prescribed by the UGC for appointment to the post.
- e) The post was filled in accordance with the prescribed selection procedure as laid down in the Regulations of University/State Government/Central Government/Concerned Institution, for such appointments.
- f) The previous appointment was not as guest lecture for any duration, or an ad-hoc or in a leave vacancy of less than one year duration.

18. Posts held before appointment at this institution:-

Designation	Department / School	Essential qualifications for the post at the time of appointment	Nature of appointment (Regular/ Fixed term/ Temporary / Adhoc)	Nature of Duties	Date of actual Joining		Grade	Total period of		
					From	To		Y	M	D

19. Period of teaching experience :

P.G. Classes (in years) _____

U.G. Classes (in years) _____

20. Research Experience excluding years spent in M. Phil / Ph. D. (in years) _____

21. Fields of Specialization under the Subject / Discipline

(a) _____

(b) _____

22. Academic Staff College Orientation / Refresher Course attended (Attach certificates):

Name of the Course / Summer School	Place	Duration	Sponsoring Agency

23. List of Publication (for the purpose of evaluation):

Sr.No.	Name of Publication	Name of publisher	Date of publication
1	_____	_____	_____
2	_____	_____	_____
3	_____	_____	_____
4	_____	_____	_____
5	_____	_____	_____

24. Any other relevant information:

25. Future Plans

(Please provide a brief resume of your future plans for teaching and research)

- i) Teaching
- ii) Research

Signature

Date : _____

PART B : ACADEMIC PERFORMANCE INDICATORS

(Please see detailed instructions of this PBAS proforma before filling out this section)

CATEGORY: I. TEACHING, LEARNING AND EVALUATION RELATED ACTIVITIES

Those teachers, who are eligible for promotion up to 30th June, 2010 at any stage, are not required to submit score from category I & II, i.e., scores from category III is required for promotion due before 30th June, 2010.

(I) Lectures, Seminars, Tutorials, Practicals, Contact Hours (give semester-wise details, where necessary)

Sr.No.	Course / Paper	Level	Mode of Teaching*	Hours per week allotted	% of classes taken as per documented record

* Lecture (L), Seminar (S), Tutorial (T), Practical (P), Contract Hours (C)

		API Score
(a)	Classes Taken (max 50 for 100% performance & proportionate score up to 80% performance, below which no score may be given)	
(b)	Teaching Load in excess of UGC norm (max score : 10)	

(ii) Reading / Instructional material consulted and additional knowledge resources provided to students

Sr. No.	Course / Paper	Consulted	Prescribed	Additional Resource provided
API score based on Preparation and imparting of knowledge / instruction as per curriculum & syllabus enrichment by providing additional resources to Students (max. score :20)				API Score

(iii) Use of Participatory and Innovative Teaching-Learning Methodologies, Updating of Subject Content, Course Improvement etc.

Sr.No.	Short Description	API Score
	Total Score (Max : 20)	

(iv) Examination Duties Assigned and Performed

Sr.No.	Type of Examination Duties	Duties Assigned	Extent to which carried out (%)	API Score
	Total Score (Max : 25)			

CATEGORY : II. CO-CURRICULAR, EXTENSION, PROFESSIONAL DEVELOPMENT RELATED ACTIVITIES

Please mention your contribution to any of the following:

Sr.No.	Type of Activity	Average Hrs/Week	API Score
	(i) Extension, Co-curricular & field based Activities Total (Max : 20)		
	(ii) Contribution to Corporate Life and Management of the Institution Total (Max : 15)	Yearly / Semester wise responsibilities	API Score
	(iii) Professional Development Activities Total (Max : 15)		
	Total Score (i + ii + iii) (Max : 25)		

CATEGORY: III. RESEARCH, PUBLICATIONS AND ACADEMIC CONTRIBUTIONS

Note: Please read the instructions given at the end of Proforma for calculating API Score in each category.

A) Published Papers in Journals

Sr. No.	Title with page Nos.	Journal	ISSN/ISBN No.	Whether peer reviewed. Impact Factor, if any	No. of co-authors	Whether you are the main author	API Score

B (i) Articles / Chapters published in Books

Sr. No.	Title with page Nos.	Book Title, editor and publisher	ISSN/ISBN No.	Whether peer reviewed	No. of co-authors	Whether you are the main author	API Score

(ii) Full Papers in Conference Proceedings

Sr. No.	Title with page Nos.	Details of Conference Publication	ISSN/ ISBN No.	No. of co-authors	Whether you are the main author	API Score

iii) Books Published as single author or as editor

Sr. No.	Title with page Nos.	Type of Book and Authorship	Publisher & ISSN/ ISBN No.	Whether peer reviewed	No. of co-authors	Whether you are the main author	API Score

C) Ongoing and Completed Research Projects and Consultancies

(C) (i & ii) Ongoing Projects / Consultancies

Sr. No.	Title	Agency	Period	Grant / Amount Mobilized (Rs. Lakh)	API Score

(C) (iii & iv) Completed Projects / Consultancies

Sr. No.	Title	Agency	Period	Grant / Amount Mobilized (Rs. Lakh)	Whether policy document / patent as outcome	API Score

(D) Research Guidance

Sr. No.	Number Enrolled	Thesis submitted	Degree awarded	API Score
M.Phil or equivalent				
Ph.D. or equivalent				

(E)(i): Training Courses, Teaching-Learning-Evaluation Technology Programmes, Faculty Development Programmes (one week duration)

Sr. No.	Programme	Duration	Organized by	API Score

(E) (ii): Papers presented in Conferences, Seminars, Workshops, Symposia

Sr. No.	Title of the paper presented	Title of Conference / Seminar, etc.	Date(s) of the event	Organized by	Whether International / National / State / Regional / University / College level	API Score

(E) (iii): Invited Lectures and Chairmanships at national or international conference/seminar etc.

Sr. No.	Title of Lecture / Academic Session	Title of Conference / Seminar, etc.	Date(s) of the event	Organized by	Whether International / National	API Score

IV. SUMMARY OF API SCORES

Sr. No.	Criteria	Last Academic Year	Total – API Score for Assessment Period	Annual Av. API Score for Assessment Period
I	Teaching, Learning and Evaluation related activities			
II	Co-curricular, Extension, Professional development etc			
	Total I + II			
III	Research and Academic Contribution			

PART C: OTHER RELEVANT INFORMATION

Please give details of any other credential, significant contributions, awards received etc. which are not mentioned earlier.

Sr. No.	Details (Mention Year, value etc. where relevant)

LIST OF ENCLOSURES: *(Please attach, copies of certificates, sanction orders, papers etc. wherever necessary)*

1	8
2	9
3	10
4	11
5	12
6	13
7	14

I certify that the information provided is correct as per records available with the University and / or documents enclosed along with the duly filled PBAS proforma.

Signature of the faculty with
Designation, Place & Date

Date : _____

Signature of HOD / School
Chairperson / Principal

N.B.: The individual PBAS proforma duly filled along with all enclosures, submitted for CAS promotions will be duly verified by the University/College as necessary and placed before the Screening cum Evaluation Committee or Selection Committee for assessment / verification.

Instructions for Filling up Category- I & II of the PBAS Proforma

Category I: Teaching, Learning And Evaluation Related Activities

Maximum Scores Allocated : 125

Minimum API Score Required : 75

Sr.No.	Nature of Activity	Max. Score
(i)	Lectures, seminars, tutorials, practical, contact classes should be based on verifiable records.	50
(a)	No score should be assigned if a teacher has taken less than 80% of the assigned classes. University may give allowance for periods of leave where alternative teaching arrangements have been made. Maximum score of 50 if there is 100% performance	
(b)	If a teacher has taken classes exceeding UGC norms, then two points to be assigned for each extra hour of classes/credit	10
(ii)	Imparting of knowledge / instruction as per curriculum with the prescribed material (Text book/Manual etc.), syllabus enrichment by providing additional resources to students (100% compliance = 20 points)	20
	Use of participatory and innovative teaching-learning methodologies; updating of subject content, course improvement etc.	
	Updating of Courses, design of curriculum, (5 per single course)	10
	Participatory & Innovative T/L Process with material for problem based learning, case studies, Group discussions etc. a) Interactive Courses : 5 points/each b) Participatory Learning modules: 5 points/each c) Case studies: 5 points/each	10
	Use of ICT in T/L process with computer-aided methods like power-point/Multimedia/Simulation/Software etc., (Use of any one of these in addition to Chalk & Board: 5 points)	10
	Developing and imparting Remedial/Bridge Courses (each activity: 5 points)	10
	Developing and imparting soft skills/communications skills/personality development courses/modules (each activity 5 points)	
	Developing and imparting specialized teaching-learning programmes in Physical education, library; innovative compositions and creations in music, performing and visual arts and other traditional areas (each activity: 5 points)	10
	Organizing and conduction of popularization programmes/training courses in computer assisted teaching/web-based learning and e-library skills to students a) Workshop/Training course : 10 points each b) Popularization programmes: 5 points each	10
	Maximum Aggregate Limit	20
	Examination Related Work	
	College/University end semester/Annual Examination work as per duties, allotted. (invigilation – 10 points, Evaluation of answer scripts – 5 points; Question paper setting – 5 points) (100% compliance = 20 points)	20
	College/University examination/Evaluation responsibilities for internal/ continuous assessment work as allotted (100% compliance = 10 points)	10
	Examination work such as coordination, or flying squad duties etc. (maximum of 5 or 10 depending upon intensity of duty) (100% compliance = 10 points)	10
	Maximum Aggregate Limit B (iv)	25

Category II: Co-Curricular, Extension and Professional Development Related Activities.

Maximum Scores Allocated: 50

Minimum API Score Required: 15

Sr.No.	Nature of Activity	Max. Score
(i)	Extension and Co-curricular, Extension and Professional Development Related Activities	
	Institutional Co-curricular activities for students such as field studies/ educational tours, industry-implant training and placement activity (5 point each)	
	Positions held/Leadership role played in organization linked with Extension Work and National service Scheme (NSS), NCC, NSO or any other similar activity (each activity 10 points)	
	Students and Staff Related Socio Cultural and Sports Programmes, campus publications (departmental level 2 points, institutional level 5 points)	
	Community work such as values of National Integration, Environment democracy, socialism, Human Rights, peace, scientific temper; flood or, drought relief, small family norms etc. (5 points)	
	Maximum Aggregate Limit	
(ii)	Contribution to Corporate Life and Management of the Institution	
	Contribution to Corporate life in Universities/colleges through meetings, popular lectures, subject related events, articles in college magazine and University volumes (2 point each)	
	Institutional Governance responsibilities like, Vice-Principal, Dean, Director, Warden, Bursa, School Chairperson, IQAC Coordinator (10 points each)	
	Participation in committees concerned with any aspect of departmental or institutional management such as admission committee, campus development, library committee (5 points each)	
	Responsibility for, or participation in committees for Students Welfare, Counseling and Discipline (5 points each)	
	Organization of Conference / Training as Chairman/Organizational Secretary/Treasurer: (a) International (10 points) National/regional (5 points) (b) As member of the organizing committee (1 point each)	
	Maximum Aggregate Limit	
(iii)	Professional Development Related Activities	
	Membership in profession related committees at state and national level a) At national level : 3 points each b) At site activity : 2 points each	
	Participation in subject associations, conferences, seminars without paper presentation (each activity : 2 points)	
	Participation in short term training courses less than one week duration in educational technology, curriculum development, professional development, Examination reforms, Institutional governance (each activity: 5 points)	
	Membership/participation in State/Central Bodies/Committees on Education, Research and National Development (5 points each)	
	Publication of articles in newspapers, magazines or other publications (not covered in category 3); radio talks; television programmes (1 point each)	
	Maximum Aggregate Limit	

API scoring will be progressively rolled out for categories 1 & II, beginning with assessment of one year for selection committees in 2010-11, annual average of two years in 2011-12 and so on. But for Category III, scores will be computed for the entire assessment period as already indicated in the Regulations.

Instructions for Filling up Part B of the PBAS Proforma

Part B of the Proforma is based on Appendix-III, Table 1 of the UGC Regulations 2010.

B(I) is based on API scoring for Category I of the Table. Detailed information for 2009-10 or most recent assessment year is to be provided.

B(II) is based on Category II of the Table. Detailed information for 2009-10 or most recent assessment year is to be provided.

B(III) is based on Category III of the Table. Detailed information for the entire assessment period is to be provided.

The proforma is to be filled as per these tables and self-assessment scores given. For each category, even though several avenue of activities and their API scores are given to provide choice/opportunity to the teacher, maximum limit of scores that can be given or carried forward under each category/area is indicated in the Table-1 of the UGC Regulations.

The self-assessment scores are further to be based on the indicators/activities given below. Universities may modify the detailed indicators and related scores based on their experience and requirement without changing the score requirements assigned to categories and sub-categories in Appendix III, Table 1.

NB. The self-assessment scores are subject to verification by the university/college, and by the Screening cum Verification Committee or Selection Committee as the case may be.

CATEGORY: I. Teaching, Learning and Evaluation Related Activities

(i) (a)

Lectures/Seminars/Practicals/Tutorials/Contact classes taken should be based on verifiable records. No score should be assigned if a teacher has taken less than 80 % of the assigned classes. Universities may give allowance for periods of leave where alternative teaching arrangements have been made. Maximum score of 50 if there is 100 % performance.	Max Score: 50
---	---------------

(b)

If teacher has taken classes exceeding UGC norm, then two points to be assigned for each extra hour of classes/credit	Max. Score : 10
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(ii)

Imparting of knowledge / instruction <i>as per curriculum</i> with the prescribed material (Text book / Manual etc), syllabus enrichment by providing additional resources to students (100% compliance = 20 points)	Max Score: 20
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(iii) Use of Participatory and Innovative Teaching-Learning Methodologies, Updating of Subject Content, Course Improvement etc.

Indicators/ Activities	Maximum Score
Updating of courses, design of curriculum, (5 per single course)	10
Participatory & Innovative T/L Process with materials for problem based learning, case studies, Group discussions etc., (a) Interactive Courses: 5 points/each (b) Participatory Learning modules: 5 points/each (c) Case studies: 5 points/each	10
Use of ICT in T/L process with computer-aided methods like powerpoint / Multimedia/Simulation/Softwares etc., (Use of any one of these in addition to Chalk & Board: 5 points)	10
Developing and imparting Remedial/Bridge Courses (Each activity : 5 points)	10
Developing and imparting soft skills/communication skills/personality development courses/modules (Each activity : 5 points)	10
Developing and imparting specialized teaching-learning programmes in physical education, library ; innovative compositions and creations in music, performing and visual arts and other traditional areas (Each activity : 5 points)	10
Organizing and conduction of popularization programmes/training courses in computer assisted teaching/web-based learning and e-library skills to students (a) Workshop / Training course : 10 points each (b) Popularization program : 5 points each	10
Maximum Aggregate Limit	20

(iv) Examination Related Work

Indicators	Max. Score
College/University end semester / Annual Examination work as per duties allotted. (Invigilation – 10 points; Evaluation of answer scripts – 5 points; Question paper setting – 5 points). (100% compliance = 20 points)	20
College/University examination/Evaluation responsibilities for internal/continuous assessment work as allotted (100% compliance = 10 points)	10
Examination work such as coordination, or flying squad duties etc. (maximum of 5 or 10 depending upon intensity of duty) (100% compliance = 10 points)	10
Maximum Aggregate Limit B (iv)	25

CATEGORY: II. Co-curricular, Extension and Professional Development Related Activities

(i) Extension and Co-curricular & field based Activities

Institutional Co-curricular activities for students such as field studies/educational tours, industry-implant training and placement activity (5 point each).	10
Positions held/Leadership role played in organization linked with Extension Work and National service Scheme (NSS), NCC, NSO or any other similar activity (Each activity 10 points)	10
Students and Staff Related Socio Cultural and Sports Programmes, campus	10

CATEGORY: III. Research and Publications and Academic Contributions

This is to be filled as per Appendix III Table 1, Category III of the UGC Regulations 2010. Wherever the research contribution is jointly made, the API scores should be shared between the contributors as per the formula provided in the Table 1.

III. Summary of API Scores

As stated in the UGC Regulations 2010, the API scoring will be progressively rolled out for categories I and II, beginning with assessment of one year for selection committees in 2010-2011, annual averages of two years in 2011-2012 and so on. But for Category III, scores will be computed for the entire assessment period as already indicated in the Regulations.

- IV. Similar PBAS proforma could be developed by the universities for the Cadres of Librarian / Deputy Librarian / Assistant Librarian and Director of Physical Education & Sports / Deputy Director of Physical Education & Sports / Assistant Director of Physical Education & Sports based on the API Scoring pattern outlined in Appendix III: Tables – IV to IX of the UGC-Regulations, 2010.



Swami Ramanand Teerth Marathwada University, NANDED

Name of College: _____

Annual Self-Assessment for the Performance Based Appraisal System (PBAS)

Session/Year 2010-11

(To be completed and submitted at the end of each academic year)

PART A: GENERAL INFORMATION

1. Name (In Block Letters):
2. Father's Name/Mothers Name/Husband's Name:
3. Department:
4. Current Designation & Grade Pay:
5. Date of last Promotion:
6. Address for Correspondence (with pin code)
7. Permanent Address (with pin code)

Telephone No.:

Mobile No.:

Email:

8. Whether acquired any degree or fresh academic qualification during the year:
9. Academic staff college Orientation/Refresher Course attended during the year

S. No.	Name of the Course/ Summer School	Place	Duration	Sponsoring Agency

PART B: ACADEMIC PERFORMANCE INDICATORS

(Please see detailed instruction of this PBAS proforma filling out this section)

CATEGORY: 1. TEACHING, LEARNING AND EVALUATION RELATED ACTIVITES

(i) Lectures, seminars, Tutorials, practicals, contact Hours (give semester-wise details, where necessary)

S. No.	Course/Paper	Level	Mode of teaching*	No. of Classes per week allotted	No. of Classes conducted	% of Classes/Practical taken as per documented record

*Lecture (L), Seminar (S), Tutorial (T), Practical (P), Contact Hours (C)

		API Score
(a)	Classes Taken (max 50 for 100% performance & proportionate score up to 80% performance, below which no score may be given)	
(b)	Teaching load in excess of UGC norms (max score 10)	

(ii) Reading/Instructional material consulted and additional knowledge resources provided to students

S. No.	Course/Paper	Consulted	Prescribed	Additional Resource provided
API score based on preparation and imparting of knowledge/ instruction as per curriculum & syllabus enrichment by providing additional resources to students (max, score : 20)				API Score

(iii) Use of Participatory and Innovative Teaching-Learning Methodologies, Updating of Subject Content, Course Improvement etc.

S. No.	Short Description	API Score
	Total Score (Max Score : 20)	

B) i) Articles /Chapters published in Books

S. No.	Title with page nos.	Book Title editor & publisher	ISSN/ ISBN No.	Whether peer reviewed	No. of Co. authors	Whether you are the main author	API Score

ii) Full Papers in Conference Proceedings

S. No.	Title with page nos.	Details of conference publication	ISSN/ ISBN No.	No. of Co. authors	Whether you are the main author	API Score

iii) Books published as single author or as editor

S. No.	Title with page nos.	Type of Book & Authorship	Publisher & ISSN/ ISBN No.	Whether peer reviewed	No. of Co. authors	Whether you are the main author	API Score

III c) Ongoing Completed Research Project and Consultancies

(c) (i & ii) Ongoing Project/Consultancies

S. No.	Title	Agency	Period	Grant/ Amount Mobilized (Rs lacs)	API Score

(c) (iii & iv) Completed Project/Consultancies

S. No.	Title	Agency	Period	Grant/Amount Mobilized (Rs lacs)	Whether policy document/patent as outcome	API Score

(D) Research Guidance

S. No	Number Enrolled	Thesis submitted	Degree awarded	API Score
M. Phil or equivalent				
Ph.D. or equivalent				

(E) (I) Training Courses, Teaching-Learning-Evaluation Technology Programmes, Faculty Development Programmes (not less than one week duration)

S. No.	Programme	Duration	Organized by	API Score

(E) (ii) Paper Presented in Conference. Seminars, Workshop, Symposia

S. No.	Title of the Paper Presented	Title of Conference/ Seminar	Organised by	Whether International/ national /State/ regional / College or university level	API Score

(E) (iii) Invited Lectures and Chairmanships at national or International Conference/seminar etc.

S. No.	Title of Lecture/ Academic Session	Title of Conference/ Seminar etc	Organised by	Whether International/ National	API Score

IV SUMMARY OF API SCORES

	CRITERIA	Last Academic Year	Total-API Score for Assessment Period	Annual Av. API Score for Assessment Period
I	Teaching, Learning and Evaluation related activities			
II	Co-curricular, Extension, professional development etc			
	Total I + II			
III	Research and Academic Contribution			

PART C: OTHER RELEVANT INFORMATION

Please give details of any other credential, significant contributions, awards received etc. not mentioned earlier.

S.No.	Details (Mention Year, Value etc where relevant

List of enclosures:(Please attach. copies of certificates, sanction orders paper etc wherever necessary)

- | | |
|---|----|
| 1 | 6 |
| 2 | 7 |
| 3 | 8 |
| 4 | 9 |
| 5 | 10 |

I certify that the information provided is correct as per records available with the university and/ or documents enclosed along with the duly filled PBAS proforma.

Signature of the faculty with
Designation, Place & Date

Signature of HOD/School
Chairperson/Principal

N. B. The Annual Self- Assessment Proforma duly filled along with all enclosures, submitted for CAS promotions will be verified by the university/college and information filed with the IQAC