

Application No.....



**GURUKULA KANGRI (DEEMED TO BE UNIVERSITY),
HARIDWAR**

(NAAC Accredited 'A' Grade Deemed to be University u/s 3 of UGC Act
1956)

Application for Promotion under CAS

Academic Performance Indicators (API)-2010 (4th Amendment, 2016)

(As per Notification in the Gazette of India 11 July 2016, No.F.1-2/2016(PS/Amendment))

[Application for Assistant Professor Stage-II (AGP Rs 7,000)/ Assistant Professor Stage-III (AGP Rs 8,000) Associated Professor Stage IV (AGP Rs 9,000) Professor Stage V (AGP Rs 10,000)]

(To be submitted in 10 copies along with 04 sets of the documents)

Note : Please see detailed instructions of this PBAS Proforma before filling out this proforma

Tick (✓)which is applicable:-

- For Promotion of Assistant Professor (from Stage 1 to Stage 2)
- For Promotion of Assistant Professor (from Stage 2 to Stage 3)
- For Promotion of Astd. Professor (Stage 3) to Assoc. Professor (Stage 4)
- For Promotion of Associate Professor (Stage 4) to Professor (Stage 5)

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Passport size
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Part A: GENERAL INFORMATION AND ACADEMIC BACKGROUND

1.	Name (in Block Letters)	
2.	Father's/husband's Name	
3.	Department and Faculty/Campus	
4.	Present Designation & Academic Grade Pay (or level)	
5.	Date of last Promotion (attach proof)	
6.	Which Position and Grade Pay/Academic level are you an applicant under CAS?	
7.	Date of Eligibility for Promotion	
8.	Date of Birth	
9.	Gender	
10.	Marital Status	

11.	Nationality	
12.	Indicate whether belongs to SC/ST/OBC category	
13.	Permanent Address	
14.	Address for Correspondence	
	Telephone/Mobile No.	
	E-mail	

15. Academic Qualifications (From Matric onwards):-

Examinations	Name of the Board / University	Year of Passing	Percentage of marks	Division Class / Grade	Subject
High School / Matriculation/ Hr. Sec etc.					
Intermediate (10+2) etc.					
B.A./ B.Sc/ B.Tech./B.Pharm/ B.Com etc.					
M.A/ M.Sc./M.Tech./ M.Pharm./ M.Com. etc					
Others (NET/JRF/SLET/ examination) (if any)					

16. Research Degree(s):-

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

17. Appointments held prior to joining GKV:-

Designation	Name of Employer	Date of		Pay Band with AGP
		Joining	Leaving	

18. Posts held since joining GKV:-

Designation	Department	Date of actual Joining		Pay Band with AGP
		From	To	

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 Specialisation under the Subject/Discipline:-

(a) ..

(b) ..

22. Academic Staff College Orientation/Refresher Course attended:-

Name of the Course/ Summer School	Place	Duration	Sponsoring Agency

PART B: ACADEMIC PERFORMANCE INDICATORS

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

Assessment period: to (For CAS)

CATEGORY I: TEACHING, LEARNING AND EVALUATION RELATED ACTIVITIES

Please mention your contribution/activity to any of the following in the space provided below:-

Category	Nature of Activity	Max. Score per year		
		Assistant Professor	Associate Professor	Professor
I	a. Direct Teaching	70	60	60
	b. Examination duties (question paper setting, Invigilation, evaluation of answer scripts) as per allotment	20	20	10
	c. Innovative Teaching-learning methodologies, updating of subject contents/courses, mentoring etc.	10	15	20

Note:

- Direct Teaching 16/14/14 hours per week include the Lectures/Tutorials/Practical/Project Supervision/Field Work.
- A minimum cut-off of 75% is set below which no scores may be assigned in these sub-categories.

I. a Direct teaching (includes Lectures/Tutorials/Practicals/Project Supervision/Field Works) (evidence to be attached)*

S. No.	Academic year	Odd/ Even Sem.	Programme	Course	Hours Allotted	Hours Taught	Score = Hours handled / X (X=7.5 for AP X = 7.75 for Prof. and Asso. Prof.)	Document proof no.

* Below 75% of the classes no scores will be given

I b. Examination Duties

I. b(i) Question paper setting (including Ph.D. course work)

S. No.	Academic Year	Odd/ Even Sem.	Programme	Course	No. of Question Papers Set Including Internal Assessment Tests and Practicals	Actual hours spent per academic year (X)	Score = X/10	Document proof no.

I. b(ii) Invigilation / Supervision and related examination duties

S. No.	Academic year	Odd/ Even Sem.	Date of Examinations	No. of hours of examination duty including Internal Assessment Test = X	Score = X/10	Document proof no.

I. b(iii) Evaluation of Answer scripts/Assignment/Lab records/Observation work

S. No.	Academic year	Odd/ Even Sem.	Programme	Course	No. of answer scripts/ assignments valued	Total time in Hours (X) = (20* x no. of answer sheets/ assignments) / 60	Score = X/10	Document proof no.

* 20 minutes for correction of one answer sheet/assignment

Marks Scored				
I.b	I.b(i)	I.b(ii)	I.b(iii)	Total (I.b(i) + I.b(ii) + I.b(iii))

I.c Innovative Teaching

I. c(i) Teaching Innovative Courses: Preparation and the use of innovative teaching – learning methodologies

S. No.	Academic year	Odd/ Even Sem.	Programme	Course	Short description of activity	Score = Hours spent/10	Document proof no.

I. c(ii) Updation of subject content

S. No.	Academic year	Odd/ Even Sem.	Programme	Course	Description of activity	Score = Hours spent/10	Document proof no.

I. c(iii) Student Mentoring

S. No.	Academic year	Odd/ Even Sem.	Programme	Course	No. of student allotted	No. of hours (X)	Score = X/10	Document proof no.

Marks Scored				
I.c	I.c(i)	I.c(ii)	I.c(iii)	Total (I.c(i) + I.c(ii) + I.c(iii))

Total score in Category – I

I.a	I.b (I.b(i) + I.b(ii) + I.b(iii))	I.c (I.c(i) + I.c(ii) + I.c(iii))	Total

Maximum Score	I.a	I.b (I.b(i) + I.b(ii) + I.b(iii))	I.c (I.c(i) + I.c(ii) + I.c(iii))	Total
Max. score for Assistant Professor	70	20	10	100
Max. score for Associate Professor	60	20	15	95
Max. score for Professor	60	10	20	90

SUMMARY OF API SCORES CATEGORY-I

Category-I	Criteria	Year-I	Year-II	Year-III	Year-IV	Year-V	Total API Score during assessment period
a	Direct Teaching						
b	Examination duties (question paper setting, Invigilation, evaluation of answer scripts) as per allotment						
c	Innovative Teaching-learning methodologies, updating of subject contents/courses, mentoring etc.						

CATEGORY: II

PROFESSIONAL DEVELOPMENT, CO-CURRICULAR AND EXTENSION ACTIVITIES

Please mention your contribution/activity to any of the following in the space provided below:-

Category II	Nature of Activity	Maximum API Score per year	API Score
a.	Student related co-curricular, extension and field based activities. (i) Discipline related co-curricular activities (e.g. remedial classes, career counselling, study visit, student seminar and other events.) (ii) Other co-curricular activities (Cultural, Sports, NSS, NCC etc.) (iii) Extension and dissemination activities (public/popular lectures/talks/seminars etc.)	15	Actual hours spent per academic year ÷ 10
b.	Contribution to corporate life and management of the department and institution through participation in academic and administrative committees and responsibilities. (i) Administrative responsibility (including as Dean/ Principal/ Chairperson/ Convener/ Teacher-in-charge/similar other duties that require regular office hrs for its discharge) (ii) Participation in Board of Studies, Academic and Administrative Committees, department/centre activities.	15	Actual hours spent per academic year ÷ 10
c.	Professional Development activities (such as participation in seminars, conference, short term courses, industrial experience, talks, lectures in refresher/ faculty development courses, dissemination and general articles and any other contribution)	15	Actual hours spent per academic year ÷ 10

II. a(i) Student related Co-curricular and activities, Discipline-related co-curricular activity (eg. Remedial classes, Career counselling, Study visit, Industrial Visit, Education tour, Student Seminar, Organization of Conference / Workshop / Training).

S. No.	Name of the activity	Date and Time	Venue	Hours spent (X)	Actual score = (X)/10	Verified API Score	Document proof No.

II.a(ii) Co-curricular activities (eg. Cultural, Sports, NSS, NCC, Student clubs, Department Association, Placement activity, Magazine clubs, Science day, World literacy day, Nutrition week, World Habitat Day, Environment Day, Department Events, etc.)

S. No.	Name of the activity	Date and Time	Venue	Hours spent per academic year (X)	Actual score = (X)/10	Verified API Score	Document proof No.

II.a(iii) Extension and Dissemination activity (eg. Public lectures / Popular lectures / Talks / Seminars and other Extension activities, etc.)

S. No	Name of the activity	Date and Time	Venue	No. of hours spent (X)	Score = (X)/10	Verified API Score	Document proof No.

		Marks Scored			
II.a	II.a(i)	II.a(ii)	II.a(iii)	Total (II.a(i) + II.a(ii) + II.a(iii))	

II.b Contribution to Corporate Life and management of the department and institution through participation in academic and administration committees and responsibilities.

II.b(i) Administrative Responsibility (including Dean, HOD, Convener, Teacher-in-charge, Warden, Dy. Warden/Course Coordinator, Director that require regular office Hours for its discharge (evidence to be produced))

S. No	Calendar year	Name of the responsibility	Hours spent per week	Hours spent per academic year = X	Actual Score X / 10	Verified API Score	Document proof No.

Note: Additional responsibility like Dean/HoD involve 2 hours of office hours/week

II.b(ii) Participation in BoS, Administrative and Academic Committees (evidence to be produced)

S. No	Calendar year	Name of the responsibility	Hours spent per academic year = X	Actual Score X / 10	Verified API Score	Document proof No.

		Marks Scored		
II.b	II.b(i)	II.b(ii)	Total (II.b(i) + II.b(ii))	

II.c Professional Development Activities (Participation in Seminar, Conferences, Short term training courses, Industrial experience, Lecture in refresher course/Faculty Development Courses, Publication of articles in newspapers, Magazine, Radio talks, Television Programme etc.)

S. No	Calendar year	Name of the activity	Details of activity	Hours spent (X)	Actual Score X / 10	Verified API Score	Document proof No.

- Max. score in II.(a) = 15; II.(b) = 15; II.(c) = 15
- Total maximum score in Category – II = 45

Total score in Category – II

II.a (II.a(i) + II.a(ii) + II.a(iii))	II.b (II.b(i) + II.b(ii))	II.c	Total

SUMMARY OF API SCORES CATEGORY-II

Category-II	Criteria	Year-I	Year-II	Year-III	Year-IV	Year-V	Total API Score during assessment period
a	Student related co-curricular, extension and field based activities						
b	Contribution to corporate life and management of the department and institution through participation in academic and administrative committees and responsibilities.						
c	Professional Development activities						

CATEGORY – III: RESEARCH AND ACADEMIC CONTRIBUTION
(For CAS, Details for the Assessment period to be given)
(Attach document proof wherever necessary)

III (A) Research papers published

III.(A)(i) Research Publications in Refereed Journals as notified by UGC

S. No.	Title and author(s)	Name of Journal	Volume, Year and page nos.	ISSN/ ISBN No.	Whether peer reviewed?	Impact Factor	No. of co-authors	Are you the main author?	API score claim	Verified API Score	Document proof No.

III.(A)(ii) Research Publication in other reputed Journals as notified by UGC

S. No.	Title and author(s)	Name of Journal	Volume, Year and page nos.	No. of co-authors	Are you the main author?	ISSN/ ISBN No.	API score claim	Verified API Score	Document proof No.

**Wherever relevant to any specific discipline, the API score for paper in refereed journal would be augmented as follows: (i) paper with impact factor less than 1 - by 5 points; (ii) papers with impact factor between 1 and 2 by 10 points; (iii) papers with impact factor between 2 and 5 by 15 points; (iv) papers with impact factor between 5 and 10 by 20 points; (v) papers with impact factor above 10 by 25 points. The API for joint publications shall be calculated in the following manner: Of the total score for the relevant category of publication by the concerned teacher, the First and Principal / corresponding author /supervisor / mentor would share equally 70% of the total points and the remaining 30% would be shared equally by all other authors.*

III.(B) Publications other than journal articles

III.(B)(i) Text or Reference Books Published by International Publishers, with ISBN/ISSN number as approved by the University and posted on its website. The List will be intimated to UGC. (30Points per Book for Single Author)

S. No.	Title of the book	Name of the Publisher	Place of Publication	Year of Publication	No. of co-authors	Are you the main author?	ISBN No.	API score claim	Verified API Score	Document proof No.

III.(B)(ii) Subject Books, published by National level publishers, with ISBN/ISSN number or State/Central Govt. Publications as approved by the University and posted on its website. The List will be intimated to UGC. (20 Points per Book for Single Author)

S. No.	Title of the book	Name of the Publisher	Place of Publication	Year of Publication	No. of co-authors	Are you the main author?	ISBN No.	API score claim	Verified API Score	Document proof No.

III.(B)(iii) Subject Books, published by other local, Publishers, with ISBN/ISSN number as approved by the University and posted on its website. The List will be intimated to UGC. (15 Points per Book for Single Author)

S. No.	Title of the book	Name of the Publisher	Place of Publication	Year of Publication	No. of co-authors	Are you the main author?	ISBN No.	API score claim	Verified API Score	Document proof No.

III.(B)(iv) Chapters Published in Books Published by International Publishers

S. No.	Title of the Chapter with page nos.	Book Title editor & Publisher	ISBN	No. of co-authors	Are you the main author?	API score claim	Verified API Score	Document proof No.

III.(B)(v) Chapters Published in Books Published by Indian / National level Publishers

S. No.	Title of the Chapter with page nos.	Book Title editor & Publisher	ISBN	No. of co-authors	Are you the main author?	API score claim	Verified API Score	Document proof No.

III.(C) Research Projects**III.(C)(i) Ongoing Projects (Sponsored Projects)**

S. No.	Title	Agency	Period	Grant / Amount Mobilized (Rs. Lakh)	API score claim	Verified API Score	Document proof No.

III.(C)(ii) Consultancy Projects carried out / ongoing

S. No.	Title	Agency	Period	Amount Mobilized (Rs. Lakh)	Significant Contribution	API score claim	Verified API Score	Document proof No.

III.(C)(iii) Completed Projects

S. No.	Title	Agency	Period	Grant / Amount Mobilized (Rs. Lakh)	API score claim	Verified API Score	Document proof No.

III.(C)(iv) Projects Outcome / Output

S. No.	Title of policy document / patent / product	File No.	Policy document presented to State / Central Agency	API score claim	Verified API Score	Document proof No.

Note:

Category	Activity	Faculty of Sciences/ Engineering / Agriculture / Medical / Veterinary Science	Faculties of Languages / Humanities / Arts / Social Sciences / Library / Physical education / Management	Maximum score for University / college teacher *
III (C)	Research Projects			
III (C)(i)	Sponsored Projects	(a) Major Projects with grants above Rs.30 lakhs	Major Projects with grants above Rs. 5 lakhs	20 per Project
		(b)Major Projects with grants above Rs.5 lakhs up to Rs.30 lakhs	Major Projects with grants above Rs. 3 lakhs up to Rs.5 lakhs	15 per Project
		(c)Minor Projects with grants above Rs. 1 lakh up to Rs.5 lakhs)	Minor Projects with grants above Rs. 1 lakh up to Rs.3 lakhs)	10 per Project
III (C)(ii)	Consultancy Projects	Amount mobilized with a minimum of Rs.10 lakh	Amount mobilized with a minimum of Rs.2 lakh	10 for every Rs.10 lakhs and Rs.2 lakhs, Respectively
III (C) (iii)	Projects Outcome / Outputs	Patent/Technology transfer / Product / Process	Major Policy document prepared for international Bodies the WHO / UNO / UNESCO / UNICEF etc. Central / State Govt. / Local Bodies	30 for each International / 20 for each National level output or patent Major policy document of International bodies – 30 Central Government – 20 State Government – 10 Local bodies – 5

III.(D) Research Guidance (*Attach proof*)

S. No.	Number Enrolled	Thesis Submitted	Degree awarded	API score claim	Verified API Score	Document proof No.
M.Phil. or equivalent						
Ph.D. or equivalent						

III.(E) *Fellowships, awards and invited lectures delivered in conferences/seminars*

III.(E)(i) International Award /National Award/State Award / Fellowship from Academic bodies

S. No.	Name of the award	Awarding agency	Date of award	Nature of the award International/National/State	API score claim	Verified API Score	Document proof No.

Note:

Category	Activity	Faculty of Sciences/ Engineering / Agriculture / Medical / Veterinary Science	Faculties of Languages / Humanities / Arts / Social Sciences / Library / Physical education / Management	Maximum score for University / college teacher *
III (E)	Fellowships, Awards and Invited lectures delivered in conferences / seminars			
III (E)(i)	Fellowships / Awards	International Award / Fellowship from academic bodies/associations		15 per Award / 15 per Fellowship
		National Award/Fellowship from academic bodies/associations		10 per Award / 10 per Fellowship
		State/University level Award from academic bodies/associations/University level		5 Per Award

III.(E)(ii) Invited Lectures

S. No.	Title of the Lecture	Title of Conference / Seminar/ Workshop	Organised by	International/National /State/Regional/	API score claim	Verified API Score	Document proof No.

III.(E)(iii) Invited Papers

S. No.	Title of the Lecture	Title of Conference / Seminar/ Workshop	Organised by	International/National /State/Regional/	API score claim	Verified API Score	Document proof No.

Note:

Category	Activity	Faculty of Sciences/ Engineering / Agriculture / Medical / Veterinary Science	Faculties of Languages / Humanities / Arts / Social Sciences / Library / Physical education / Management	Maximum score for University / college teacher *
III(E)(ii)	Invited lectures / papers	International		7 per lecture/5 per paper presented
		National level		5 per lecture /3 per paper presented
		State/University level		3 per lecture /2 per paper presented

E(ii) and E(iii) shall be restricted to 20% of the minimum fixed for Category-III

- | |
|---|
| <ul style="list-style-type: none"> Max. score in Category- III.E(ii) and III.E(iii)
 Stage-I to Stage-II = 4
 Stage-II to Stage-III = 10
 Stage-III to Stage-IV = 15
 Stage-IV to Stage-V = 20
 Stage-V to Stage-VI = 80 |
|---|

III (F) e-learning delivery process

S. No.	Name of the material /delivery process	Courses/Programmes	Whether uploaded as blog or internet	No. of modules	API score claim	Verified API Score	Score (10 per module)

Total score in Category – III

Marks Scored						Total (III(A) + III(B) + III(C) + III(D) + III(E) + III(F))
III(A)	III(B)	III(C)	III(D)	III(E)	III(F)	

SUMMARY OF API SCORES CATEGORY-III

Category -III	Criteria	Year-I	Year-II	Year-III	Year-IV	Year-V	Total API Score during assessment period
A	Research Papers Published						
B	Publications other than journal, Articles (books, chapters in books)						
C	Research Projects						
D	Research Guidance						
E	Fellowships, Awards and Invited lectures delivered in conferences / seminars						
F	Development of e-learning delivery process/material						
	Total						

IV OVERALL SUMMARY OF API SCORES (CATEGORY I, II AND III)

Category	Criteria	Last Academic Year	Total API Score during assessment period	Annual Av. API for assessment period
I	Teaching, Learning and Evaluation related activities			
II	Professional development, Co-curricular and Extension Activities			
III	Research and Academic Contribution			
II + III	Minimum total API score under Categories II and III* (*Teachers may score the balance of points from either Category II or Category III to achieve the minimum score required under Category II+III).			

I hereby solemnly certify that

1. All my publications/Books submitted for promotion are original. Due permission is taken from all my co-authors before submitting any of the co-authored publication/Book over here.
2. My publications/Books are in the related field and subject/discipline in which I am applying for the promotion under CAS.
3. All my publications are published through standard peer reviewed process.
4. The decision of the scrutiny committee / experts with regard to the quality of my publications shall be final and it shall have binding to me. I understand that scrutiny committee / expert's decision with regard to consider or reject any of my publication in context of its quality shall be final.
5. I also certify that the publications/Books submitted by me do not fall under the category of plagiarism.

Place :
Date :

(Signature of Candidate)

EVALUATION SHEET

(S.No. 1 to 10 to be filled by the candidate)

1.	Name (in Block Letters)	
2.	Department/ Campus	
3.	Present Designation & Academic Grade Pay / Academic Level	
4.	Date of last Promotion (attach Proof):	
5.	Which Position and Grade pay/Academic Level are you an applicant under CAS?	
6.	Date of Eligibility for Promotion	
7.	Date of Appointment as Asstt. Professor (stage-1)	
8.	Date of Promotion at stage-2	
9.	Date of Promotion at stage-3	
10	Date of Promotion at stage-4 (Associate Professor)	

**PROFESSIONAL DEVELOPMENT, CO-CURRICULAR AND EXTENSION ACTIVITIES, AND
RESEARCH, PUBLICATIONS AND ACADEMIC CONTRIBUTIONS**

(To be filled by the applicant)

S. No.	Descriptions	API MARKS
1.	Category II- Professional Development, Co-Curricular & Extension Activities	
Category-III- Research & Academic Contributions		
2.	Published Papers in Journals	
3.	Articles/Chapters published in Books/Edited Books	
4.	Books Published as author or as editor	
5.	Ongoing and completed Research Projects and Consultancies and Patent etc.	
6.	Research Guidance	
7.	Fellowships/Awards	
8.	Invited Lectures/Papers presented in Conferences, Seminars, Workshops, Symposia etc.	
9.	Development of e-learning delivery process/material	
Total		

Consolidated Score Sheet
(For Office Use only)

Item	Total
Total score in Category – I	
Total score in Category – II	
Total score in Category – III	
Total score (Category – II and III)	

Part C: Other Relevant Information

Please give details of any other credential, significant contributions, assignments (including Post-Doctoral tenure) awards received, etc. not mentioned earlier

Sl. No.	Details (Mention Year, Value, etc. wherever relevant)

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

1	6
2	7
3	8
4	9
5	10

Declaration

I, _____ hereby solemnly certify that the information provided in this application form is true and correct to the best of my knowledge and belief. I also confirm that I have never been convicted by any court of law. I understand that if any of the information given by me in this application form is found to be incorrect, my candidature is liable to be cancelled at any stage without assigning any reason thereof. I confirm that I shall abide by the decision(s) of the Vishwavidyalaya with regard to my application / promotion.

Place : _____ Signature of the applicant _____

Date : _____ Designation _____

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

FORWARDED BY HEAD OF THE DEPARTMENT

(For Male & Female Candidates both)

The application of Subject/Department
..... for the promotion to the post of..... (from
stageto stage) in the Pay Band/ Level is forwarded
for further action.

Date :

Head of the Department

Signature with seal

FORWARDED BY DEAN OF THE FACULTY

(For Male & Female Candidates both)

The application of Subject/Department
..... for the promotion to the post of (from
stageto stage) in the Pay Band/ Level is forwarded
for further action.

Date :

Dean

Signature with seal

FORWARDED BY CO-ORDINATOR OF THE GIRLS CAMPUS

(Only for Female Candidates)

The application of Subject/Department
..... for the promotion to the post of..... (from
stageto stage) in the Pay Band/ Level is forwarded
for further action.

Date :

Co-ordinator, KGC

Signature with seal

Verification by the Vishwavidyalaya

Certified that all the information/documents submitted by Dr./Mr./Smt./Ms
..... in the Subject/Department for promotion as
..... (from stage to stage) in the Pay Band/Level
..... have been verified as per records.

(Convener)

Chairman

Recruitment and
Assessment Committee

Supporting documents for the promotion under CAS required for API Score

1. Philosophy of the first page of the research paper with proof of Impact factor of Journal in which research paper is published.
2. Proof of ISBN/ISSN number of Book / Journal in which research paper is published.
3. Copies of Certificates of Refresher course, Orientation Programme attended.
4. Copies of Certificates of Workshops/Summer School/Winter School of at least one (1) week duration.
5. Copies of certificates related to National/International Conference / Seminar / Workshops etc. attended.
6. Copies of evidences of session chair/ Invited Lectures/talk given in National / International Conferences, Workshops, Schools, and Seminars etc.
7. Copies of evidence of Text/Subject book or reference book or chapter(s) in a edited book written.
8. Proof of Major/Minor Research project sanction letter (ongoing/completed).
9. Patent if any.
10. Number of M. Phil. /M.Tech./M.Sc./Ph. D. students (submitted/awarded).
11. Notification of M. Phil. /M.Tech./M.Sc./Ph. D. students
12. Reprints of 07/10 major publication (in case of Associate Professor / Professor)

UGC Regulation 2016 (At a Glance)

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 cumulative API scores using PBAS scoring proforma developed by the UGC as per the norms provided in Table II (A). (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 cumulative API scores using the PBAS scoring proforma developed by the UGC as per the norms provided in Table II(A) (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.	(i) Minimum cumulative API scores using the PBAS scoring proforma developed by the UGC as per the norms provided in Table II (A). (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 may be given to M. Phil. holders and an exemption of two publications may be given to Ph. D. holders. (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 the regulation and in Tables II(A).
4.	Associate Professor (Stage 4) to Professor (Stage 5)	Associate Professor with three years of completed service in Stage 4.	(i) Minimum cumulative API scores using the PBAS scoring proforma developed by the UGC as per the norms provided in Table II (A). Teachers may combine two assessment periods (in Stages 2 and 3) to achieve minimum API scores, if required. (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 the regulation and in Tables II (A).

5.	Professor (Stage 5) to Professor (Stage 6).	Professor with ten years of completed service (universities only)	(i) Minimum cumulative API scores for the assessment period as per the norms provided in Table II (A). (ii) Additional credentials are to be evidenced by: (a) post- doctoral 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.D., etc., (iii) A review process by an Expert Committee as
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APPENDIX - III TABLE - II(B)

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

	Assistant Professor (Stage 1)	Associate Professor (Stage 4)	Professor (Stage 5)
Minimum API Scores	Minimum Qualification as stipulated in these regulations	Consolidated API score requirement of 300 points from categories II & III of APIs (cumulative)	Consolidated API score requirement of 400 points from categories II & III of APIs (cumulative)
Selection Committee criteria / weightages (Total Weightages = 100)	(a) Academic Record and Research Performance (50%) (b) Assessment of Domain Knowledge & 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%)	(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%)

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 COLLEGES, AND WEIGHTAGES FOR EXPERT ASSESSMENT

Category	Activity	Assistant Professor / equivalent cadres: (Stage 1 to Stage 2)	Assistant Professor / equivalent cadres: (Stage 2 to Stage 3)	Assistant Professor (Stage 3) to Assoc. 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	80/Year	80/year	75/year	70/year	70/year
II	Professional Development and Extension activities - Minimum score required to be assessed	50 / Assessment period	50 / Assessment period	50 / Assessment period	50 / Assessment period	100 / Assessment period

	cumulatively					
III	Research and Academic Contributions- Minimum Score required - to be assessed cumulatively	20 / Assessment period	50 / Assessment period)	75 / Assessment period	100 / Assessment period	400 / Assessment period
II + III	Minimum total API score under Categories II and III*	90 / Assessment period	120 / Assessment period)	150 / Assessment period	180 / Assessment period	600 / Assessment period
IV	Expert Assessment System	Screening cum evaluation committee	Screening cum evaluation 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% - Research Contribution 50% - Assessment of domain knowledge & teaching practices. 20% - Interview performance	50% - Research Contribution. 30% - Assessment of domain knowledge & teaching practices. 20% - Interview performance	50% - Research Contribution. 50%- Performance evaluation and other credential by referral procedure

* Teachers may score the balance of points from either Category II or Category III to achieve the minimum score required under Category II + III.

CATEGORY I: TEACHING, LEARNING AND EVALUATION RELATED ACTIVITIES

Category	Nature of Activity	Assistant Professor		Associate Professor		Professor	
		Max. Score	Actual Score	Max. Score	Actual Score	Max. Score	Actual Score
I	a. Lectures - Classroom Teaching (including Lectures in excess of UGC norms)	60	Actual hours spent per academic year ÷10	50	Actual hours spent per academic year ÷10	45	Actual hours spent per academic year ÷10
	b. Examinations duties (question paper setting, Invigilation, evaluation of answer scripts) as per allotment	20	Actual hours spent per academic year ÷10	15	Actual hours spent per academic year ÷10	10	Actual hours spent per academic year ÷10
	c. Innovative Teaching - learning methodologies, updating of subject contents / courses etc.	10	Actual hours spent per academic year ÷10	15	Actual hours spent per academic year ÷10	15	Actual hours spent per academic year ÷10
	d. Students Feedback (Students who have put in at least 75% attendance per course are eligible to give feed back)	10	Outstanding 10 Very Good 8 Good 6 Average 4 Below Average 0	10	Outstanding 10 Very Good 8 Good 6 Average 4 Below Average 0	10	Outstanding 10 Very Good 8 Good 6 Average 4 Below Average 0

***Note: 1.** 18/16/14 hours per week include the Lectures / Practicals / Project Supervision. Two hours of Practicals / project supervision be treated as equivalent to one hour of lecture. Those teachers who supervise the research of five or more Ph.D. students at a time may be allowed a reduction of Two hours per week in direct teaching hours.

2. 6 hours per week include the hours spent on tutorials, remedial classes, seminars, administrative responsibilities, innovation and updating of course contents.

3. Hours spent on examination duties such as invigilation, question paper setting, valuation of answer scripts and tabulation of results are over and above the prescribed direct teaching hours and are an integral part of overall teaching work load of 40 hours per week.

4. Lectures allocation to add up to the UGC norm for particular category of teacher. University may prescribe minimum cut-off, say 75%, below which no scores may be assigned in these sub-categories

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

Based on the teacher's self-assessment, Category II API scores are proposed for Professional development, co-curricular and extension activities; and related contributions. The minimum API required by teachers for eligibility for promotion is fixed Table II A. A list of items and scores is given below. The self-assessment score should be based on objectively verifiable criteria and shall be finalized by the screening cum evaluation committee for the promotion of Assistant Professor to higher grades and selection committee for the promotion of Assistant Professor to Associate Professor and Associate Professor to Professor and for direct recruitment of Associate Professor and Professor.

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 score required under this category.

Cate- gory II	Nature of Activity	Maximum API Score	Actual score
a.	Student related co-curricular, extension and field based activities. (i) Discipline related co-curricular activities (e.g. field work, study visit, student seminar and other events, career counseling etc.) (ii) Other co-curricular activities (Cultural, Sports, NSS, NCC etc.) (iii) Extension and dissemination activities (public /popular lectures/talks/seminars etc.)	15	Actual hours spent per academic year ÷ 10
b.	Contribution to Corporate life and management of the department and institution through participation in academic and administrative committees and responsibilities. (i). Administrative responsibility (including as Dean / Principal/Chairperson/ Convener / Teacher-in-charge/similar other duties that require regular office hrs for its discharge) (ii). Participation in Board of Studies, Academic and Administrative Committees.	15	Actual hours spent per academic year ÷ 10
c.	Professional Development activities (such as participation in seminars, conferences, short term training courses, industrial experience, talks, lectures in refresher / faculty development courses, membership of associations, dissemination and general articles and any other contribution)	15	Actual hours spent per academic year ÷ 10

CATEGORY-III: RESEARCH AND ACADEMIC CONTRIBUTIONS

Based on the teacher's self-assessment, API scores are proposed for research and academic contributions. The minimum API scores required for teachers from this category are different for different levels of promotion in universities and colleges. The self-assessment score shall be based on verifiable criteria and shall be finalized by the screening cum evaluation committee for the promotion of Assistant Professor to higher grades and Selection Committee for the promotion of Assistant Professor to Associate Professor and Associate Professor to Professor and for direct recruitment of Associate Professor and Professor.

Category	Activity	Sciences / Engineering / Agriculture / Medical / Veterinary Sciences	Faculties of Languages / Humanities / Arts / Social Sciences / Library / Physical education / Management	Maximum score for University / College teacher*
III (A)	Research Papers published in:	Refereed Journals as notified by the UGC	Refereed Journals as notified by the UGC	15 per Publication
		Other Reputed Journals as notified by the UGC	Other Reputed Journals as notified by the UGC	10 per Publication
III (B)	Publications other than journal articles (books, chapters in books)	Text/Reference Books by International Publishers as notified by the UGC	Text/Reference Books by International Publishers as notified by the UGC	30 per Book for Single Author
		Subject Books by National level publishers as identified by the UGC or State / Central Govt. Publications	Subject Books by National level publishers as identified by the UGC or State / Central Govt. Publications	20 per Book for Single Author
		Subject Books by Other local publishers as identified by the UGC	Subject Books by Other local publishers as identified by the UGC	15 per Book for Single Author
		Chapters in Books published by National and International level publishers as identified by the UGC	Chapters in Books published by National and International level publishers identified by the UGC	International –10 per Chapter National – 5 per Ch
III (C)	RESEARCH PROJECTS			
III (C) (i)	Sponsored Projects	(a) Major Projects with grants above Rs. 30.0 lakhs	Major Projects with grants above Rs. 5.0 lakhs	20 per Project
		(b) Major Projects with grants above Rs. 5.0 lakhs up to Rs. 30.0 lakhs	Major Projects with grants above Rs. 3.0 lakhs up to Rs. 5.0 lakhs	15 per Project
		(c) Minor Projects with grants above Rs. 1.00 lakh up to Rs. 5 lakhs	Minor Projects with grants above Rs. 1.0 lakh up to Rs. 3 lakhs	10 per Project

III (C) (ii)	Consultancy Projects	Amount mobilized with a minimum of Rs.10.00 lakhs	Amount mobilized with a minimum of Rs. 2.0 lakhs	10 for every Rs.10.0 lakhs and Rs.2.0 lakhs, respectively
III (C) (iii)	Projects Outcome / Outputs	Patent / Technology transfer / Product / Process	Major Policy document of Central / State Govt. Bodies prepared	30 for each International / 20 for each for national level output or patent or major policy document

III (D)	RESEARCH GUIDANCE			
III(D)(i)	M.Phil.	Degree awarded	Degree awarded	5 per candidate
III(D) (ii)	Ph.D.	Degree awarded	Degree awarded	15 per candidate
		Thesis submitted	Thesis submitted	10 per candidate
III E	Fellowships, Awards and Invited lectures delivered in conferences / seminars			
III(E) (i)	International Award/Fellowship		International Award / Fellowship	15 per Award / 15 per Fellowship
	National Award/Fellowship		National Award/Fellowship	10 per Award / 10 per Fellowship
	State/University level Award		State/University level Award	5 Per Award
III(E) (ii)	Invited lectures / papers	International	International	7 per lecture / 5 per paper presented
		National level	National level	5 per lecture / 3 per paper presented
		State/University level	State/University level	3 per lecture / 2 per paper presented
The score under this sub-category shall be restricted to 20% of the minimum fixed for Category III for any assessment period				
III(F)	Development of e-learning delivery process/material			10 per module

* Wherever relevant to any specific discipline, the API score for paper in refereed journal would be augmented as follows: (i) paper with impact factor less than 1 - by 5 points; (ii) papers with impact factor between 1 and 2 by 10 points; (iii) papers with impact factor between 2 and 5 by 15 points; (iv) papers with impact factor between 5 and 10 by 20 points; (v) papers with impact factor above 10 by 25 points. The API for joint publications shall be calculated in the following manner: Of the total score for the relevant category of publication by the concerned teacher, the First and Principal / corresponding author /supervisor / mentor would share equally 70% of the total points and the remaining 30% would be shared equally by all other authors.

Table-II(A) : MINIMUM PBAS SCORES REQUIRED FOR PROMOTION UNDER CAS

Category	Activity	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 (State-4) to Professor/ equivalent cadres (Stage-5)	Professor (stage 5) to Professor (stage6)
I	Teaching-learning, Evaluation Related Activities	80/year	80/year	75/year	70/year	70/year
II	Professional Development and Extension activities - Minimum score required to be assessed Cumulatively	50/ Assessment period	50/ Assessment period	50/ Assessment period	50/ Assessment period	100/ Assessment period
III	Research and Academic Contributions-Minimum Score required - to be assessed cumulatively	20/ Assessment period	50/ Assessment period	75/ Assessment period	100/ Assessment period	400/ Assessment period
II + III	Minimum total API scores under Categories II and III*	90/ Assessment period	120/ Assessment period	150/ Assessment period	180/ Assessment period	600/ Assessment period
IV	Expert Assessment System	Screening cum evaluation committee	Screening cum evaluation 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% - Research Contribution 50%-Assessment of domain knowledge & teaching practices. 20%-Interview performance	50% - Research Contribution 30%-Assessment of domain knowledge & teaching practices. 20%-Interview performance	50% - Research Contribution 50%-Performance evaluation and other credential by referral procedure

*** Teachers may score the balance of points from either Category II or Category III to achieve the minimum score required under Category II and III**