PERFORMANCE BASED APPRAISAL SYSTEM (PBAS) PROFORMA
FOR
CAREER ADVANCEMENT SCHEME(CAS)

Assistant Professor (Academic Level-10) to Assistant Professor (Academic Level-11)
&
Assistant Professor (Academic Level-11) to Assistant Professor (Academic Level-12)

Position and Grade Pay Applied for Promotion under CAS: ....

Date of Last Promotion :...

Date of Eligibility for Promotion: ....

PART-A: GENERAL INFORMATION

1. Name (in Block Letters)   :……………………............……..………….…....
2. Date and Place of Birth   :……………………….............……......………...……
3. Gender   :………………….............……..…………...............…..
4. Father's Name   :……………..…….…..……………...….......…......……..…
5. Mother's Name   :…………………………..............……….…….....................
6. Nationality   :……………........…………………………………….…...
7. (a) Present Position with Date : ……………………………………………………...
    (b) Pay Scale :……………………………….…..(c) Grade Pay:..
    (d) Whether Direct or Under CAS: …………………………………………………...
    (e) Name of Department/Subject:……….......………….…….........….………………
8. Marital Status:……………………Spouse Name(if married):....……………..…………
9. Aadhar Number:…………………………….........…………………………………….
10. Category (SC/ST/OBC/General):..…………   11. Physically Challenged: ………………
12. (a)Address for Correspondence (with PIN):………………………….……..................
       …………………………………………
       …………………………………………
    (b) Permanent Address (with PIN)   : ……………………………..................
       …………………………………………
       …………………………………………
13. Telephone/Mobile No.:.................................E-mail :………........……………….............

14. Academic Qualifications:

Examination	Name of Institute	Board/University	Year	Percentage / CGPA	Division / Grade	Distinction (if any)	Subjects
10th							
12th							
U.G.							
LL.B.							
P.G./LL.M.							
Others							

15. Research Degree(s):

Name of Degree	Specialization	Institution/University	Status	Whether Ph.D. degree awarded as per UGC Regulations 2009	Date of Award of Degree	Title of Thesis
M.Phil.						
Ph.D./ D.Phil.						
D.Sc./D.Litt./Any other						

16. Whether Qualified NET/SLET etc. conducted by UGC/CSIR/ICAR/State:

Test Qualified	Agency Name	Roll No./Reference No.	Qualifying Date
NET/SLET			

17. Appointments Held prior to Joining this Institution: (Please attach relevant Certificates)

Designation	Name of Employer	Status of Organization	Date of Joining	Date of Leaving	Salary with Grade Pay	Nature of Employment	Reason of leaving

18. Posts held after appointment at this Institution:

Designation	Department	Subject	Date of Joining		Salary with Grade Pay
			From	To	

19. Teaching Experience (Under Graduate and Post Graduate Levels):

Classes Taught	Period		Total Experience (in Years)
	From	To	
U.G.			
P.G.			

20. Research experience excluding time spent in M.Phil/Ph.D.(in years):....................................

21. Fields of Specialization under the Subject/Discipline:

22. Precis (IN 4 COPIES)

Name: Date of Birth: Department: Subject: Mobile: e-mail:	Academic Qualifications			
	Exam Passed	Year	Division	Percentage/CGPA
	10th			
	12th			
	U.G.			
	P.G.			
	Ph.D.		**Title:**	
	M.Phil.			
	Others			

S.No.	Academic Contribution during Assessment Period	Number	Remarks
1	Books Published		
2	Published Papers in Journal		
3	Articles/Chapters Published in Books		
4	Papers Presented in Conference/ Seminar/Workshop/Symposia, etc.		
5	Invited Lectures at National or International Conference/ Seminar		
6	Sponsored Projects		
7	Consultancy Projects		
8	Orientation Course/FIP		
9.	Refresher Course / FDP		
10.	Research Guidance	Thesis submitted: Degree Awarded:	

Name of the Course / Programme	Duration	Name of the Agency
Orientation Course /FIP		
Refresher Course / FDP		
Short-Term Courses (One week)		
Workshops		
MOOCs		

Mention only one research paper published in peer reviewed or UGC care Journal during the assessment period

Title of paper	Journal Name, Page., Vol. & Issue, Year	ISSN/ **ISBN**	Impact Factor (if any)	No. of Co-authors	Whether Principal Author /Corresponding/ Supervisor/ Co-Supervisor/Co-author

PART B: ACADEMIC PERFORMANCE INDICATORS (API):

Based on the teacher's self-assessment, API scores are proposed for (1) teaching related activities; domain knowledge; (2) Involvement in University / College student's related activities / research activities. The minimum API score required by teachers from this category is different for different levels of promotion. The self- assessment score should be based on objectively verifiable records. It shall be finalized by the Screening Cum Evaluation / Selection Committee. University may detail the activities, in case institutional specificities require, and adjust the weightages without changing the minimum total API scores required under this category

Table 1
Assessment Criteria and Methodology for University Teachers
(For each academic session) _____

I. Teaching					
Category	Name of Activity	Unit of Calculation		Self-Appraisal Grading	Verified Grading by Committee
		Actual Class per year	% of Teaching	For Assistant Professor/ Associate Professor/ Professor	
	(1)	(2)	(3)	(4)	
	Teaching: (Number of classes taught/total classes assigned) x100% (Classes taught includes sessions on tutorials, lab and other teaching related activities)			i) **Good:** 80 % & above ii) **Satisfactory**: Below 80% but 70% &above iii) **Not satisfactory:** Less than 70%	
I	Teaching: Black board				
	Teaching: ICT based				
	Practical / Laboratory				
	Tutorials / Assignments / Project				
	Field Work				
	Group Discussion				
	Seminars				
	Remedial Teaching				
	Clarifying doubts within and outside the class hours				
	Additional teaching to support counseling and mentoring				
	Total Actual hours spent				

II. Involvement in University/College students related Activities/Research Activities:

II	Activities	Specify Actual participation in year	Total days Spent per year	Self-Appraisal Grading For Assistant Professor / Associate Professor / Professor	Verified Grading by Committee
	(1)	(2)	(3)	(4)	
	Involvement in the University/College students related activities/research activities			i) **Good:** Involved in at least 3 activities ii) **Satisfactory :**1-2 activities iii) **Not-satisfactory:** Not involved/ undertaken any of the activities **Note**: Number of activities can be within or across the broad categories of activities.	
	(a) Administrative responsibilities such as Head,				

Chairperson/ Dean / Director / Coordinator, Warden, etc.			
(b) Examination and evaluation duties assigned by the college / university or attending the examination paper evaluation.			
i) Question Paper Setting			
ii) Invigilation/ Supervision			
iii) Flying Squad			
iv) CS/ ACS			
v) Unfair Means Committee			
vi) Grievance Committee			
vii) Internal Assessment			
viii) External Assessment			
ix) Result Preparation			
x) M. Phil., Ph. D. Thesis evaluation / Any other			
(c) Student related co-curricular, extension and field based activities such as student clubs, career counselling, study visits, student seminars and other events, cultural, sports, NCC, NSS and community services.			
(d) Organizing seminars/ conferences/ workshops, etc and other college/university activities.			
(e) Evidence of actively involved in guiding Ph.D. students *(i) No. of Registered Candidates:* *(ii) No. of Awarded Candidates:*			
(f) Conducting Major/Minor Research Project sponsored by national/international agencies. *(i) ≥ 10 Lacs(Major):* *(ii) < 10 Lacs(Minor):*			
(g) At least one single/joint publication in peer- reviewed or UGC list of Journals. *(i) Papers Published (as Single author):* *(ii) Papers Published (as Joint author):*			

Overall Grading:

Good: *Good in teaching and/or activity at S. No.II.*
Satisfactory: *Satisfactory in teaching and/or activity at S. No.II*
Not Satisfactory: *Neither good nor satisfactory in overall grading.*

Note: For the purpose of assessing the grading of Activity at Serial No. I and Serial No. II, all such periods of duration which have been spent by the teacher on different kinds of paid leaves such as Maternity Leave, Child Care Leave, Study Leave, Extraordinary Leave and Deputation shall be excluded from the grading assessment. The teacher shall be assessed for the remaining period of duration and the same shall be extrapolated for the entire period of assessment to arrive at the grading of the teacher. The teacher on such leaves or deputation as mentioned above shall not be put to any disadvantage for promotion under CAS due to his/her absence from his/her teaching responsibilities subject to the condition that such leave/deputation was undertaken with the prior approval of the competent authority following all procedures laid down in these regulations and as per the acts, statutes and ordinances of the parent institution.

Table 2
Methodology for University and College Teachers for calculating
Academic/Research Score

(Assessment must be based on evidence produced by the teacher such as: copy of publications, project sanction letter, utilization and completion certificates issued by the University and acknowledgements for patent filing and approval letters, students' Ph.D. award letter, etc.)

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 records 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.

(1) Research Papers in Peer-Reviewed or UGC listed Journals: (Please refer points as per UGC notification)

S. No.	Title of paper	Journal Name, Page,Vol. & Issue, Year	ISSN / ISBN	Impact Factor (if any)	No. of Co-Authors	Whether Principal Author / Supervisor/ Co-Supervisor/Co-author	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Document
1									
2									
3									
						Total (1)			

(2) (a) Publications (other than Research papers) (Books, Chapters in Books)
   (i) Books Published with ISSN / ISBN
      International Publisher: 12 points per Book
      National Publisher: 10 points per Book

S. No.	Title of Book with no. of pages	Publisher's name With ISSN / ISBN	International / National Publisher	No. of Co-Authors	Whether Principal Author / Co-Author	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1								
2								
					Sub Total: (2)(a)(i):			

(ii) Chapter in Edited Book with ISSN / ISBN (5 points per Chapter)

S. No.	Title of Chapter with Page Nos	Name of Book	Publisher's Name & ISSN / ISBN	No. of Co-Authors	Whether Principal Author / Co-Author	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1								
2								
					Sub Total: (2)(a)(ii)			

(iii) Editor of Book with ISSN / ISBN
   Editor of Book by International Publisher: 10 points per Book
   Editor of Book by National Publisher: 8 points per Book

S. No.	Title of Book with Page Nos	Publisher's Name &ISSN / ISBN	International / National Publisher	No. of Co-Authors	Whether Principal Author / Co-Author	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1								
2								
	Sub Total (2)(a)(iii)							

(b) Translation Works in Indian or Foreign Languages by Qualified Faculty Members
   (3 points per Chapter or Research paper and 8 points per Book)

S. No.	Original Title of Chapter or Research paper / Book with Page Nos. Nos. ISSN / ISBN	Name of Original Author	Translated Title of Chapter or Research paper / Book with Page Nos. ISSN / ISBN	No. of Translated Co-Authors	Whether Principal Author / Co-Author	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1								
2								
	Sub Total (2)(b)							
	Total (2) : (2)(a)(i) + (2)(a)(ii) + (2)(a)(iii) + (2)(b)							

(3) Creation of ICT mediated Teaching Learning Pedagogy & Content and Development of New & Innovative Courses and Curricula

(a) Development of Innovative Pedagogy: (5 points per Innovative Pedagogy)

S. No.	Title of Innovative Pedagogy	Sponsored Agency(if any)	Types of Teaching-Learning Environments: Face-to-face/ Networked/ Open and distance/ Virtual	Specify ICTs resources: web link : YouTube Videos-Audios/Smart Classroom /Simulation Games/Blogging/Online Discussion Forums / Virtual Laboratories / Telecast /Picture /Models /Charts(if any)	Date of approval from Authority	Date of Implementation	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1									
2									
	Subtotal (3)(a)								

(b) Design of New Curricula and Courses: (02 points per Curricula/ Course)

S. No.	Name of Programme where curricula introduced	Title of New Curricula and Courses	Specify ICTs resources: web link / You tube link: Audio/Video/Tele cast /Picture /Models/Charts (if any)	Date of approval from Authority	Date of Implementation	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1								
2								
	Subtotal (3)(b)							

(c) MOOCs:

(i) Development of Complete MOOCs in 4 Quadrants (4 credit course) (20 per curricula/ Course)
(In case of MOOCs of lesser credits 05 marks/credit)

S. No.	Name of Programme where curricula introduced	Course Credits	Title of new MOOC curricula	Specify ICTs resources: web link / You tube link: Audio/Video/T elecast /Picture /Models/Chart s(if any)	Date of approval from authority (if any)	Date of Implementation	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1									
2									
	Subtotal (3)(c)(i)								

(ii) MOOCs (Developed in 4 Quadrants) per Module/Lecture (5 points per Module / Lecture)

S. No.	Name of Programme & Course where curricula introduced	Course Credits	Title of new MOOC curricula	Specify ICTs resources: web link / You tube link: Audio/Video/T elecast /Picture /Models/Chart s, if any	Date of approval from authority	Date of Implementation	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1									
2									
	Subtotal (3)(c)(ii)								

(iii) Content Writer/Subject Matter Expert for each module of MOOCs (at least one Quadrant)
(2 points per Curricula/ Course)

S. No.	Name of Programme & Course where Content is introduced	Course Credits	Title of new MOOC Content curricula	Specify ICTs resources: web link / You tube link: Audio/Video/T elecast /Picture /Models/Chart s (if any)	Date of approval from Authority	Date of Implementation	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1									
2									
	Subtotal (3)(c)(iii)								

(iv) Course Coordinator for MOOCs (4 credit course) (8 points per Curricula/ Course)
(In case of MOOCs of lesser credits 02 marks/credit)

S. No.	Name of Programme & Course	Course Credits	Title of MOOC curricula	Specify ICTs resources: web link / You tube link: Audio/Video/Telecast /Picture /Models/Charts(if any)	Date of approval from authority	Date of Implementation	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1									
2									
	Subtotal (3)(c)(iv)								
	Total (3)(c) : (3)(c)(i) + (3)(c)(ii) + (3)(c)(iii) + (3)(c)(iv)								

(d) E-Content

(i) Development of e-Content in 4 Quadrants for a complete course/e-book
(12 points per Curricula/ Course)

S. No.	Title of e-Content course/ e-book with no. of pages, ISSN / ISBN (if any)	Name of Programme & Course to which introduced	Specify ICTs resources: web link	Whether Peer reviewed	No. of Co-Authors	Whether Principal Author / Co-Author	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1									
2									
	Sub Total: (3)(d)(i)								

(ii) e-Content (developed in 4 Quadrants) per module (5 points per module / Course)

S. No.	Title of e-Content module with no. of pages, ISSN / ISBN (if any)	Name of Programme & Course to which introduced	Specify ICTs resources: web link	Whether Peer reviewed	No. of Co-Authors	Whether Principal Author / Co-Author	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1									
2									
	Sub Total: (3)(d)(ii)								

(iii) Contribution to development of e-content module in complete course/paper/e-book
(at least one Quadrant) (2 points per module / Course)

S. No.	Title of e-Content module with no. of pages, ISSN / ISBN(if any)	Name of Programme & Course to which introduced	Specify ICTs resources: web link	Whether Peer reviewed	No. of Co-Authors	Whether Principal Author / Co-Author	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1									
2									
	Sub Total: (3)(d)(iii)								

(iv)Editor of e-content for complete course/ paper /e-book (10 points per Course / paper)

S. No.	Title of e-Content Course with no. of pages, ISSN / ISBN (if any)	Name of Programme & Course to which introduced	Specify ICTs resources: web link	Whether Peer reviewed	No. of Co-Editors	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1								
2								
	Sub Total: (3)(d)(iv)							
	Total (3) (d): (3)(d)(i) + (3)(d)(ii) + (3)(d)(iii) + (3)(d)(iv)							
	Total (3): (3)(a) + (3)(b) + (3)(c) + (3) (d)							

(4) Research Score:

(a) Research Guidance: (Ph. D. :10 points per degree awarded & 05 per thesis submitted)
(M. Phil. /P. G. dissertation: 2points per degree awarded)

S. No.	Name of Degree	No. of Candidate Enrolled	No. of Thesis Submitted with dates	No. of Candidate Degree Awarded with dates	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
	M. Phil. / P.G. Dissertation						
	Ph.D.						
	Sub Total: (4)(a)						

(b) Research Projects Completed: A: ≥ Rs.10 lakhs (10 points per Project)
B: < Rs. 10 lakhs (5 points per Project)

S. No.	Type of Project : A / B	Title of Project	Sponsored Agency	Date of Completion	Whether Co-PI	Grant Received (Rs.)	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1									
2									
	Sub Total: (4)(b)								

(c) Research Projects Ongoing: A: ≥Rs.10 lakhs (5 points per Project)
B: <Rs. 10 lakhs (2 points per Project)

S. No.	Type of Project : A / B	Title of Project	Sponsored Agency	Duration of Project	Date of Starting	Whether Co-PI	Grant Received (Rs.)	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1										
2										
	Sub Total: (4)(c)									

(d) Consultancy: (3 points per Consultancy Project)

S. No.	Title of Consultancy Project	Sponsored Agency	Date of Starting	Amount Mobilized (Rs. In Lakh)	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1							
2							
	Sub Total: (4)(d)						
	Total (4) : (4)(a) + (4)(b) + (4)(c) + (4)(d)						

(5) (a) Patents : (10 points per International Patent and 7 points per National Patent)

S. No.	Title of Patent Project	Patent Number	Sponsored Agency (if any)	Date of Award	International / National	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1								
2								
	Sub Total: (5)(a)							

(b) *Policy Document (Submitted to an International Body/Organization like UNO/UNESCO/WorldBank/International Monetary Fund etc. or Central Government or State Government)
A: International (10 points per Policy Document)
B: National (7 points per Policy Document)
C: State (5 points per Policy Document)

S. No.	Title of Policy Document	Name of Submitted Agency	International / National / State	Policy Document Number	Date of Acceptance	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1								
2								
	Sub Total: (5)(b)							

(c) Awards/Fellowship: A: International (7 points per Awards/Fellowship)
B: National (5 points per Awards/Fellowship)

S. No.	Name of Award / Fellowship	Date of Received	International / National	Name of Awardees Academic Body / Association	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1							
2							
	Sub Total: (5)(c)						
	Total (5) : (5)(a) + (5)(b) + (5)(c)						

(6) *Invited lectures / Resource Person/ Paper Presentation in Seminar/ Conference/Full Paper in Conference Proceedings (Paper presented in Seminar/Conference and also published as full paper in Conference Proceedings will be counted only once)

International (Abroad): (7 points per Seminar/ Conference)
International (within Country): (5 points per Seminar/ Conference)
National: (3 points per Seminar/ Conference)
State / University Level :(2 points per Seminar/ Conference)

S. No.	Title of Presentation in Academic Session	Title of Conference / Seminar	Mode of Presentation: Invited lectures / Resource Person / Paper presentation	Name of Organizer	Whether International (Abroad) / International (within Country) / National / State / University Level	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents
1								
2								
	Total (6) :							

Note: The Research score for research papers would be augmented as follows: Peer-Reviewed or UGC-listed Journals (Impact factor (IF) to be determined as per Thomson Reuters list):

(i) Paper in refereed journals without IF = 5 Points
(ii) Paper with $0 < IF < 1.0$ = 10 Points
(iii) Paper with $1.0 \leq IF < 2.0$ = 15 Points
(iv) Paper with $2.0 \leq IF < 5.0$ = 20 Points
(iv) Paper with $5.0 \leq IF < 10.0$ = 25 Points
(vi) Paper with $IF \geq 10$ = 30 Points

(a) In case of two authors: 70% of total points of publication for each author.
(b) More than two authors: 70% of total points of publication for the First/Principal/Corresponding author and 30% for each of the joint authors.
(c) Joint Projects: Principal Investigator and Co-investigator would get 50% each.

Note:
- If paper presented is part of edited book or proceeding, then it can be claimed only once.
- For joint supervision of research students, the formula shall be 70% of the total score for Supervisor and Co-Supervisor.
- ***FOR the purpose of calculating research score of the teacher, the combined research score of sub-categories 5(b)- Policy Document and sub-categories 6- Invited lectures/Resource Person/Paper presentation shall have an upper capping of thirty percent of the total research score of the teacher concerned.**
- **The research score shall be from the minimum of three sub-categories out of six sub-categories.**

Summary of Table 2 (Category III)
Academic/Research Score

Details of Academic & Research Activities	Self-Appraisal Score	API Score Verified by Committee	Remarks
(1) Research Papers in Peer-Reviewed or UGC listed Journals			
(2) Publications (other than research papers)			
(3) Creation of ICT mediated Teaching Learning Pedagogy and Content and Development of New and Innovative Courses and Curricula			
(4) Research Guidance/Projects Completed / Projects Ongoing/Consultancy			
(5) Patents /Policy Document / Awards/Fellowship			
(6) Invited lectures / Resource Person/ Paper Presentation in Seminars / Conferences/Full Paper in Conference Proceedings			
Grand Total of Table 2			

IV   SUMMARY OF API SCORES:

Category	Criteria	Annual API Score
Table 1	Activities: **Overall Grading** 1. Teaching 2. Involvement in the University/College Students related Activities / Research Activities	
Table 2 (Category III)	Academic/Research Score	

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

UNDERTAKING

I, **Dr/Mr. / Mrs./Ms. ……………………………………….**undertake that the information provided is correct as per records submitted by me to College / Institute / University and documents enclosed along with the duly filled in PBAS Proforma.

Date :………………
Place : ……………..

Signature of the Faculty
with Designation
……………………..

Date :………………

Place : ……………..

Signature
Head of Department

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