



दीनदयाल उपाध्याय गोरखपुर विश्वविद्यालय, गोरखपुर

Deen Dayal Upadhyaya Gorakhpur University, Gorakhpur

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

Professor (Academic Level-14) to Senior Professor (Academic Level-15)

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 :.....



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14. Academic Qualifications:

Examination	Name of Institute	Board/University	Year	Percentage / CGPA	Division / Grade	Distinction (if any)	Subjects
10 th							
12 th							
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	Date of	Salary with Grade Pay	Nature of Employment	Reason of leaving
			Joining	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. Mention 10 best research papers published in peer reviewed or UGC care Journal during the assessment period*

Sr. No.	Title of paper	Journal Name, , Vol. & Issue, Page, Year	ISSN/ ISBN	Journal Indexing, Impact Factor (if any)	Whether Principal Author /Corresponding author/ Supervisor/Co-author	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Document	Remark

**Attach the full length paper*

23. Research Guidance during the assessment period* (Ph.D. awarded / thesis submitted)

Sr. No.	Name of the Scholar	Title of the Thesis	Awarded / Thesis submitted	University	Month and Year	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Document	Remark

**Attach the Ph.D. Notification/Certificate of Submissio.*



CATEGORY-III: RESEARCH AND ACADEMIC CONTRIBUTIONS
(assessment period wise)

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 Professor to Senior Professor Grades.

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

Sr. No.	Title of paper	Journal Name, Page, Vol. & Issue, Year	ISSN / ISBN	Journal Indexing, Impact Factor (if any)	Whether Principal Author /Corresponding author/ Supervisor/Co-author	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Document	Remark
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

Sr. 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	Remark
1									
2									
Sub Total: (2)(a)(i):									

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

Sr. 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	Remark
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

Sr. 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	Remark
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)**

Sr. 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	Remark
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)

Sr. 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	Remark
1										
2										
Subtotal (3)(a)										



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

Sr. No.	Name of Programme where curricula introduced	Title of New Curricula and Courses	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	Remark
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)

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

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

Sr. 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/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	Remark
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)

Sr. 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/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	Remark
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)

Sr. No.	Name of Programme & Course	Course Credits	Title of MOOC curricula	Specify ICTs resources: web link / You tube link: Audio/Video/T elecast /Picture /Models/Charts(if any)	Date of approval from authority	Date of Implementation	Self-Appraisal Score	API Score Verified	Annexure No. of Relevant Documents	Remark
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)

Sr. 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	Remark
1										
2										
Sub Total: (3)(d)(i)										

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

Sr. 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	Remark
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)

Sr. 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	Remark
1										
2										
Sub Total: (3)(d)(iii)										



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

Sr. 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	Remark
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)

Sr. 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	Remark
	M. Phil. / P.G. Dissertation							
	Ph.D.							
Sub Total: (4)(a)								

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

Sr. 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	Remark
1										
2										
Sub Total: (4)(b)										

(c) Research Projects Ongoing: A: \geq 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	Remark
1											
2											
Sub Total: (4)(c)											



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

Sr. 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	Remark
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)

Sr. 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	Remark
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)

Sr. 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	Remark
1									
2									
Sub Total: (5)(b)									

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

Sr. 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	Remark
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)

Sr. 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	Remark
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

(v) 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 Category III

Academic/Research Score

Details of Academic & Research Activities	Self-Appraisal Score	API Score Verified by Committee	Remark
(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			

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



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Deen Dayal Upadhyaya Gorakhpur University, Gorakhpur

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.