

APPENDIX – X TABLE – I

PROPOSED SCORES FOR ACADEMIC PERFORMANCE INDICATORS (AOUs) UB RECRUITMENTS AND CAREER ADVANCEMENT SCHEME (CAS) PROMOTIONS OF UNIVERSITY/ COLLEGE TEACHING.

CATEGORY 1: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 the 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 percentages 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 table below gives groups of activities and API scores.

Sr. No.	Nature of Activity	Max Points to be Allocated	Maximum Score
1	Student related co-curricular, extension and field based activities		20
	<ul style="list-style-type: none"> • NSS/NCC officers 	10	
	<ul style="list-style-type: none"> • Cultural Activities (Institutional/ Departmental) 	5/2	
	<ul style="list-style-type: none"> • Departmental Society Installation 	2	
	<ul style="list-style-type: none"> • Cultural Event Incharge (Institutional/ Departmental) 	5/2	
	Organizing Subject related events like		
	<ul style="list-style-type: none"> • Lectures on special topics 	2	
	<ul style="list-style-type: none"> • Quiz / Debate / Elocution 	2	
	<ul style="list-style-type: none"> • Study tour / Industry Visit 	2	
	<ul style="list-style-type: none"> • Avishkar Co-ordinator 	2	
	<ul style="list-style-type: none"> • Essay competition 	2	
	<ul style="list-style-type: none"> • Exhibition 	2	
	<ul style="list-style-type: none"> • Competitive Exam Preparation 	2	
	<ul style="list-style-type: none"> • Subject Association/club 	2	
	<ul style="list-style-type: none"> • Orientation / induction programme 	2	
	<ul style="list-style-type: none"> • Counseling (Institutional/ Departmental) 	5/2	
	<ul style="list-style-type: none"> • Professional body Chapter Activities (Institutional/ Departmental) 	5/2	
	<ul style="list-style-type: none"> • Training program for students (Convener/ Member) 	3/2	
	<ul style="list-style-type: none"> • Student Society Activities (Convener / Member) 	3/2	
	<ul style="list-style-type: none"> • Technical Event (Convener / Member) 	3/2	
	<ul style="list-style-type: none"> • Pratishruti (Convener / Member) 	5/2	
<ul style="list-style-type: none"> • WAD (Convener / Member) 	5/2		
<ul style="list-style-type: none"> • Technovision (Convener / Member) 	5/2		
<ul style="list-style-type: none"> • ED Cell – (Centre/Dept) 	5/2		

	Contribution to Corporate life		15
	<ul style="list-style-type: none"> • University/ Institution / College-Industry Interaction 	2	
	<ul style="list-style-type: none"> • Testing/Analysis Support 	2	
	<ul style="list-style-type: none"> • Consultancy 	2	

2	<ul style="list-style-type: none"> Placement Coordinator/ In-plant Training Coordinator (Institutional/ Departmental) 	5/2	
	<ul style="list-style-type: none"> Training of Industry persons 	2	
Management of Departments / College / Institute through participation in Academic & Administrative committees / responsibilities			
Administration:			
	<ul style="list-style-type: none"> Head/Director/V.P./coordinator/ Rector/Dean/IQAC Coordinator 	10	
	<ul style="list-style-type: none"> Admission Committees 	5	
	<ul style="list-style-type: none"> Discipline committee 	5	
	<ul style="list-style-type: none"> Anti ragging committee 	5	
	<ul style="list-style-type: none"> Sexual Harassment committee 	5	
	<ul style="list-style-type: none"> Statutory committees of the University 	5	
	<ul style="list-style-type: none"> Alumni Incharges (Institutional/ Departmental) 	5/2	
	<ul style="list-style-type: none"> Any other committee appointed by Hon'ble V.C. /Principal 	5	
Academic:			
	<ul style="list-style-type: none"> Academic committee NACC / NBA / ISO committee (College / Departmental) 	10/5	
	<ul style="list-style-type: none"> IQAC Committee 	5	
	<ul style="list-style-type: none"> Any other academic committee appointed by Hon'ble V.C/ Principal 	5	
Professional Development activities			
3	<ul style="list-style-type: none"> Organization - Conference: 1)International 2) National 3) State Convener, Secretary/Jt. Secretary/Treasurer/Coordinator/Member 	5/2	15
	Participation in (Per Activity)		
	<ul style="list-style-type: none"> Seminar / Workshop / Symposia 	2	
	<ul style="list-style-type: none"> Conferences 	2	
	<ul style="list-style-type: none"> Faculty development course 	5	
	<ul style="list-style-type: none"> Short term training courses 	5	
	<ul style="list-style-type: none"> Talks delivered in program 	2	
	<ul style="list-style-type: none"> Lectures delivered in program 	2	
	Membership of Associations		
	<ul style="list-style-type: none"> National Level 	3	
	<ul style="list-style-type: none"> State Level 	2	
	<ul style="list-style-type: none"> General Articles Publications 	2	
	<ul style="list-style-type: none"> General Awareness Activity 	2	
	<ul style="list-style-type: none"> Community work such as values of National Integration, secularism, democracy, socialism, humanism, peace, scientific temper; flood or, drought relief, small family Norms blood donation, Tree plantation, Work for specially abled people, Old age people, etc 	1/ Activity (Max. 5)	
Minimum API Score Required			
Maximum API Scores Required			

CATEGORY III RESEARCH AND ACADEMIC CONTRIBUTIONS

Brief Explanation: Based on the teachers 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 veriable criteria and will be finalized by the screening/selection committee.

S.No.	APIs	Engineering/Agricultural 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	Related 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 books
		Subjects Books by National level publishers/State and Central Govt. Publications with ISBN/ISSN numbers	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	Subject Books by Other local publishers with ISBN /ISSN numbers	15/sole author and 3/chapter in edited books
		Chapters contributed in edited knowledge based volumes published by international Publishers	Chapters contributed to edited knowledge based volumes published by Internaitonal Publishers	10/Chapter

		Chapters in knowledge based volumes by Indian/ National level publishers with ISBN/ISSN numbers and with numbers of national and intrernational directories	Chapters in knowledge based volumes by Indian/ National level publishers with ISBN/ISSN numbers and with numbers of national and intrernational 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 carried out/ ongoing	Amount mobilized with minimum of Rs. 10.00 lakh.	Amount mobilized with minimum of Rs. 2.0 lakh.	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)	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 only	Degree awarded only	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 workshops. Training Teaching-Learning	(a) Not less than two weeks duration	(a) Not less than two weeks duration	20/each

	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)(iii)	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 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 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).

Notes.

1. If 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 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 equality by all other authors.

APPENDIX – X 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 2to Stage 3	Assistant Professor (Stage 3) to Associate Profess/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
II I	Minimum total average annual Score under Categories I and II*	100/Year	100/Year	100/Year	100/Year
I V	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	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	30% - Contribution to Research 50% - Assessment of

the Expert Assessment (Total weightage = 100 Minimum required for promotion is 50)			domain knowledge and teaching practices 20% - Interview Performance	domain knowledge and teaching practices 20% - Interview Performance
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***Teachers may score 10 points from either Category 1 or Category II to achieve the minimum score required under Category 1 + 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/ colleges 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 trhe 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 score for these categories will be required for assessment and so on leading progressively fcomplete 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 weighatage to teachers who contribute additionally through any of the corrpoments given in Categories I and II also for the differing nature of contributors 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, as aggregatge minimum score is required for promotion over each stage. Alternatively, a teacher should acquire the required minimum aggregate score over two previous states, taken together in the case of promotion to Professor, the publication requirement shall be met over the two prevuous stages.
6. Candidate 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 proforms. They can do so three months before the due date if they consider themselves eligible Candidates who do not consider themselves elible Can also apply of a later date.
7. If however, on final assessment, candidates do not either fulfill the minimum criteria under Rows III and IV of Tables III(A) and II(B) or obtain less than 50% in the expert assessment, they will be resessed 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 - X - TABLE - III**MINIMUM ACADEMIC PERFORMANCE AND SERVICE REQUIREMENTS FOR PROMOTION OF TEACHERS IN UNIKVERSITIES AND COLLEGES**

S.N .	Promotion of Teachers through CAS	Service requirement	Minimum Academic Performance Requirments 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 usisng PBAS scoring proforma developed by the concerned university as per the norms provided in Table II (A)/II(B) of Appendix X. (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 usisng the PBAS scoring proforma developed by the concerned university as per the norms provided in Table II (A)/II(B) of Appendix X. (ii) One course/ programme from among the catgegories 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 Professor 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 II (A)/II(B) of Appendix X.</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) ii) 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 X.</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. 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.</p> <p>iii) A selection committee process as stipulated in this regulation and in Tables II(A) and II(B) of Appendix X.</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 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 X.</p>

* For teachers seeking promotion under CAS Associate Professor, for those who on the date of this notification are Assistant Professors in Stage2, the requirement of publications may be adjusted pro rate. 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.

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