

### Index of Attached Documents

S. No.	Particulars	Page No(s). (e.g. 1 – 3 if more than one page, write NA otherwise) (All proofs / documents should be self-attested)
1.	Application Form	
2.	Research Degrees(s) (for point no.7 of the Application Form)	
3.	Academic Staff College Orientation/Refresher and other Courses attended (for point no.11 of the Application Form)	
4.	Proof of 03 (for Associate Prof.) / 05 (for Prof.) Publications (in chronological order) for expert assessment as per category III (A) (Page No. 25) of UGC regulations dated 11.07.2016.	
	Proof of Refereed Journals/other Reputed Journals as notified by the UGC	
5.	(a) Direct Teaching	
6.	(b) Examination duties (question paper setting, Invigilation, evaluation of answer scripts)* as per allotment	
7.	(c) Innovative Teaching – learning methodologies, updating of subject contents/ courses, mentoring etc. <i>The number of hours will be considered as stated by the faculty member</i>	
8.	(a) Student related co-curricular, extension and field based activities. (i) Discipline related co-curricular activities (e.g remedial classes, career counseling, 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.)	
9.	(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	

10.	(c) Professional Development activities (such as participation in seminars, conferences, short term training courses, industrial experience, talks, lectures in refresher/faculty development courses, dissemination and general articles and any other contribution)	
11.	A. Research Papers: (i) Proof of research papers published in journal as per Category III (A) (Page No. 25) of UGC regulations dated 11.07.2016. (ii) Proof of Impact factor (latest). (iii) Proof of First and Principal / Corresponding author / supervisor / Mentor / other author. (iv) Proof of Refereed Journal / Other Reputed Journal.	
12.	B. Articles/ Chapters published in Books	
13.	C. Research Projects <i>(please attach copy of sanction order indicating total amount for (i) &amp; (ii) below)</i> (i) Sponsored Projects	
	(ii) Consultancy Projects (Annual Cumulative amount will considered)	
	(iii) Project Outcome/Outputs	
14.	D. Research Guidance (Certificates to be attached)  (i) MTech/M. Phil or Equivalent	
	(ii) Ph. D. or Equivalent	
15.	E. Fellowship, Awards and Invited Lectures delivered in Conference/ Seminars:  (i) Fellowship/Awards etc.  (ii) Invited Lectures/Papers  Proof of communication relating to lectures delivered / sessions chaired etc.	
16.	F. Development of e-learning delivery process / Material	
17.	Other Relevant Information	

**PBAS Performa for Promotion under the CAS as per UGC 4<sup>th</sup> amendment  
11.07.2016**

(As per UGC norms)

Application for promotion from ..... to.....

{Assistant Professor (Stage 1 to Stage 2, Stage 2 to Stage 3), Assistant Professor (Stage 3) to Associate Professor (Stage 4), Associate Professor (Stage 4) to Professor (Stage 5)}.

(Please indicate whichever is applicable)

PART A : GENERAL INFORMATION AND ACADEMIC BACKGROUND

Date of joining PEC on regular basis\_\_\_\_\_ Post\_\_\_\_\_

Department\_\_\_\_\_

Post presently held:

Date of joining the present post on regular basis:

Post to which promotion is sought:

Date of eligibility for promotion:  
(on the basis of Service and Academic Performance Requirement)

Initial Assessment Period: From..... to.....

Subsequent Additional Assessment Period (If applicable):

(i) From..... to.....

(ii) From..... to.....

(iii) From..... to.....

1. Name in Full:  
(Underline Surname)

2. Address:  
For correspondence

Permanent

Affix passport size photograph
---

\_\_\_\_\_

\_\_\_\_\_

Phone \_\_\_\_\_

Email ID \_\_\_\_\_

3. Date of Birth: \_\_\_\_\_

4. Category: General /SC/ST/OBC: \_\_\_\_\_

5. Area of Specialization: \_\_\_\_\_

6. Current area of Research: \_\_\_\_\_

7. Research Degree(s):

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

*For the following items use separate sheets wherever required in the format indicated. All annexures should be consecutively arranged and must bear your name and authenticated with your signature.*

8. Post(s) held after appointment at the Punjab Engineering College (Deemed to be University) Chandigarh :

Designation	Essential qualifications for the post at the time of appointment	Nature of appointment (Regular/ Fixed term / Temporary/ Adhoc/Contractual)	Nature of Duties	Pay-Scale	Date		Total duration		
					From	to	Y	M	D

9. Period/Duration of teaching experience: From \_\_\_\_\_ to \_\_\_\_\_ Total duration \_\_\_\_\_  
 P.G. Classes (in years) \_\_\_\_\_ U.G. Classes (in years) \_\_\_\_\_

10. Research Experience excluding years spent in M.Tech./ M.Phil./ Ph.D (in years): \_\_\_\_\_

11. Academic Staff College Orientation/Refresher and other Courses\* attended: **(Attach certificates in chronological order)**

Name of the Course	Place	Period		Duration	Sponsoring Agency
		From	To	Total	

\* As per Appendix III Table III of UGC regulations 4<sup>th</sup> Amendment dated 11.07.2016. Please refer to Important Note in Annexure III for relaxation of date of completion.

12. List of **Publications (in chronological order)** to be sent for the **purpose of evaluation by Experts-**  
(Please attach full papers including cover page):

Sr. No.	Authors	Title	Journal	Publisher	Location	Whether Refereed Journal / Other Reputed Journal as notified by the UGC	Impact factor	Year of Publication
1								
2								
3								
4								
5								

## PART B : ACADEMIC PERFORMANCE INDICATORS

*(Use separate sheets wherever required in the format indicated below. All annexures should be consecutively arranged and must bear your name and authenticated with your signature.)*

### **CATEGORY : I. TEACHING, LEARNING AND EVALUATION RELATED ACTIVITIES (for calculation /eligibility see Annexure -I)**

Nature of Activity	20__ to 20__ (i)	20__ to 20__ (ii)	20__ to 20__ (iii)	20__ to 20__ (iv)	20__ to 20__ (v)	Total (i) to (v)
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.						
<b>Total</b>						

**CATEGORY: II. PROFESSIONAL DEVELOPMENT, CO-CURRICULAR AND EXTENSION ACTIVITIES (for calculation/eligibility see Annexure I)**

Please mention your contribution to any of the following:

S. No.	Type of Activity	API Score during Academic year					Total (i) to (v)
		20__ to 20__ (i)	20__ to 20__ (ii)	20__ to 20__ (iii)	20__ to 20__ (iv)	20__ to 20__ (v)	
a.	<p>Student related co-curricular, extension and field based activities.</p> <p>(i) Discipline related co-curricular activities (e.g remedial classes, career counseling, study visit, student seminar and other events.)</p> <p>(ii) Other co-curricular activities (Cultural, Sports, NSS, NCC etc.)</p> <p>(iii) Extension and (dissemination activities (public/popular lectures /talks/seminars etc.)</p>						
b.	<p>Contribution to corporate life and management of the department and institution through participation in academic and administrative committees and responsibilities.</p> <p>(i) Administrative responsibility (including as Dean/Principal/ Chairperson/Convener/ Teacher-in-charge/ similar other duties that require regular office hrs for its discharge)</p> <p>(ii) Participation in Board of Studies, Academic and Administrative Committees</p>						
c.	<p>Professional Development activities (such as participation in seminars, conferences, short term training courses, industrial experience, talks, lectures in refresher/faculty development courses, dissemination and general articles and any other contribution)</p>						
<b>Total</b>							

**CATEGORY: III. RESEARCH PUBLICATIONS AND ACADEMIC CONTRIBUTIONS (for calculation /eligibility see Annexure I)**

*Use separate sheets wherever required in the format indicated below. All annexures should be consecutively arranged in chronological order and must bear your name and authenticated with your signature.*

**A. Research papers:**

S. No.	Title with page Nos. and date of publication	Journal	Publisher	Location	Whether Refereed Journal / Other Reputed Journal as notified by the UGC	Whether peer reviewed. Impact Factor, if any (As per Journal Homepage)	Source of Impact factor	Whether you are the First and Principal / Corresponding author / supervisor / Mentor / other author.	API Score		
									Initial assessment period 20__ to 20__	Subsequent additional assessment period	
									(i)	(ii)	(iii)
Total Score											

**B. (i) Articles/Chapters published in Books:**

S. No.	Title with page Nos. and date of publication	Book Title, editor & publisher	ISSN/ ISBN No.	Whether peer reviewed	No. of Co-authors	Whether you are the First and Principal / Corresponding author / supervisor / Mentor / other author.	API Score		
							Initial assessment period 20__ to 20__	Subsequent additional assessment period	
							(i)	(ii)	(iii)
Total score									



**C. Research Projects**

**(c) (i) Sponsored Projects**

S. No.	Title	Agency	Period	Grant/ Amount Mobilized (Rs. Lakh)	API Score		
					Initial assessment period 20__ to 20__	Subsequent additional assessment period	
						(i)	(ii)
Total Score							

**(c) (ii) Consultancy Projects**

S. No.	Title	Agency	Period	Grant/ Amount Mobilized (Rs. Lakh)	Whether policy document/ patent as outcome	API Score		
						Initial assessment period 20__ to 20__	Subsequent additional assessment period	
							(i)	(ii)
Total Score								

**(c) (iii) Project outcome /outputs**

S. No.	Title (As per III C of (iii) as per UGC 11.07.2016)	Major policy document prepared for international bodies like WHO/ UNO/UNESCO/ UNICEF etc. Central/ State Govt/ Local bodies	API Score			
			Initial assessment period 20__ to 20__	Subsequent additional assessment period		
				(i)	(ii)	(iii)
Total Score						

**D. Research Guidance**

S No	Research Level	Number Enrolled	Thesis Submitted	Degree Awarded	API Score			
					Initial assessment period 20__ to 20__	Subsequent additional assessment period		
						(i)	(ii)	(iii)
(i)	M.Tech. / M. Phil or Equivalent							
(ii)	Ph.D or Equivalent							
Total Score								

**E. Fellowship, Awards and Invited Lectures delivered in Conference/ Seminars:**

**E. (i) Fellowship / Awards etc:**

S. No.	Title of Fellowship/ Award	Conferred by	Type of Fellowship/ Award (Whether International/ National/ State/ University level)	Amount (in Rs. )	Period of Fellowship		API Score			
					From	To	Initial assessment period 20__ to 20__	Subsequent additional assessment period		
								(i)	(ii)	(iii)
Total Score										

**E. (ii) Invited Lectures/ Papers:**

S. No.	Title of Lecture/ Papers	Title of Conference/ Seminar etc. along with date of the event	Organized by	Whether International/ National/ State/ level	University	API Score		
						Initial assessment period 20__ to 20__	Subsequent additional assessment period	
							(i)	(ii)
Total Score								

**F. Development of e-learning delivery process/ Material**

S. No.	e-learning delivery process delivered	e-learning material developed	API Score		
			Initial assessment period 20__ to 20__	Subsequent additional assessment period	
				(i)	(ii)
Total Score					

**Total API Scores for Category III**

Initial assessment period 20__ to 20__	Subsequent additional assessment period		
	(i)	(ii)	(iii)

**IV. SUMMARY OF API SCORES (for calculation /eligibility see Annexure I)**

Criteria	Category	Total API Score	
		Initial assessment Period (20__ to 20__)	Subsequent additional assessment period (if applicable) (20__ to 20__)
Teaching, Learning and Evaluation Related Activities	Category I		
Professional Development, Co-Curricular and Extension Activities	Category II		
Research Publications and Academic Contributions	Category III		
<b>Total (II + III)</b>	Category II + III		

**PART C : OTHER RELEVANT INFORMATION**

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

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

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

Signature of the faculty with  
Designation, Place & Date

Verification by Head of the Department:

The information provided under Category I and Category II above have been examined and are correct except for.....

**Signature of the Head of the Department:**

## Annexure- I

[ भाग III-खण्ड 4 ]

भारत का राजपत्र : असाधारण

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	महाविद्यालय पुस्तकालयाध्यक्ष (चयन ग्रेड) (चरण 3 से चरण 4) तक		विश्वविद्यालय द्वारा विकसित पीबीएस गणना प्रारूप। 12 वर्षों की अवधि में 3 प्रकाशन होने चाहिए, और महाविद्यालयों में 1 प्रकाशन की छूट एम.फिल. धारकों को दी जाएगी तथा 2 प्रकाशनों की छूट पीएच.डी. धारकों को दी जाएगी। (ii) साथ ही, पुस्तकालय ऑटोमेशन/अकादमिक प्रलेखीकरण हेतु विश्लेषणात्मक साधन विकास की श्रेणियों में एक पाठ्यक्रम/प्रशिक्षण (iii) विनियम और तालिका VIII(क) में यथा विनिर्दिष्ट एक चयन समिति प्रक्रिया
4	विश्वविद्यालय पुस्तकालयाध्यक्ष (चरण 5) (केवल विश्वविद्यालयों हेतु)	विश्वविद्यालयों में चरण 4 में 3 वर्ष की पूरी सेवा वाले उप-पुस्तकालयाध्यक्ष	(i) तालिका VIII(क) में दिए गए मानदण्डों के अनुसार वि.अ.आ. द्वारा विकसित पीबीएस गणना प्रारूप का उपयोग कर न्यूनतम सकल एपीआई प्राप्तांक। न्यूनतम एपीआई प्राप्तांक प्राप्त करने के लिए पुस्तकालयाध्यक्ष दो आकलन अवधियों (चरण 3 और 4 में) को जोड़ सकते हैं, यदि आवश्यक हो। (ii) कार्मिक के चरण 3 में आने के बाद से कम से कम 5 प्रकाशन। (iii) नवोन्मेषी पुस्तकालय सेवाओं और प्रकाशित कार्य की आयोजना का प्रमाण। (iv) विनियम और तालिका VIII (क) में यथा विनिर्दिष्ट एक चयन समिति प्रक्रिया

नोट: शिक्षकों हेतु सीएस के लिए तालिका II (क) हेतु उपलब्ध विवरणात्मक नोट इस संवर्ग हेतु विनिर्दिष्ट एपीआई प्राप्तांकों के अनुसार पुस्तकालयाध्यक्ष संवर्ग पर भी लागू हैं।

### UNIVERSITY GRANTS COMMISSION

#### NOTIFICATION

New Delhi, the 11th July, 2016

**No.F.1-2/2016(PS/Amendment)** -In exercise of the powers conferred under clauses (e) and (g) of sub-section (1) of Section 26 of University Grants Commission Act, 1956 (3 of 1956), the University Grants Commission hereby frames the following amendment Regulations, namely :-

**1. Short title, application and commencement:**

- 1.1 These Regulations may be called the University Grants Commission (Minimum Qualifications for Appointment of Teachers and other Academic Staff in Universities and Colleges and Measures for the Maintenance of Standards in Higher Education) (**4<sup>th</sup> Amendment**), Regulations, 2016.
- 1.2 They shall apply to every University established or incorporated by or under a Central Act, Provincial Act or a State Act, every institution including a constituent or an affiliated College recognized by the Commission, in consultation with the University concerned under clause (f) of Section 2 of the University Grants Commission Act, 1956 (3 of 1956) and every Institution Deemed to be a University under Section 3 of the said Act.
- 1.3 They shall come into force with immediate effect from the date of their publication in the Official Gazette.
2. The following regulations in the University Grants Commission (Minimum qualifications for appointment of teachers and other academic staff in Universities and Colleges and other measures for the maintenance of standards in higher education) Regulations, 2010 shall stand amended and be read as under:-

Regulation	Existing provisions in Principal Regulations on Minimum Qualifications for	Amended provisions in principal Regulations on Minimum Qualifications for
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	<b>Appointment of Teachers and other Academic Staff in Universities and Colleges and Measures for the Maintenance of Standards in Higher Education, 2010</b>	<b>Appointment of Teachers and other Academic Staff in Universities and Colleges and Measures for the Maintenance of Standards in Higher Education, 2010</b>
3.4.1	A relaxation of 5% may be provided at the graduate and Master's level for the Scheduled Castes/Scheduled Tribes/Differently-abled (physically and visually differently-abled) categories for the purpose of eligibility and for assessing good academic records during direct recruitment to teaching positions. The eligibility marks of 55% marks (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible, based on only the qualifying marks without including any grace mark procedures.	A relaxation of 5% may be provided at the graduate and Masters level for the Scheduled Castes/Scheduled Tribes/Differently-abled (physically and visually differently-abled) /Other Backward Classes (OBC) (Non-creamy layer) categories for the purpose of eligibility and for assessing good academic records during direct recruitment to teaching positions. The eligibility marks of 55% marks (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible, based on only the qualifying marks without including any grace mark procedures.
8.2.1 of Schedule for clause 6.8.0	The posts of Vice-Chancellor shall carry a fixed pay of Rs.75,000/- alongwith a special pay of Rs.5,000/- per month. All other eligibility and facilities for the Vice-Chancellor as provided in the Act/Statutes of the University concerned shall be applicable besides the pay.	The post of Vice-Chancellor shall carry a fixed pay of Rs.75,000/- alongwith a <b>special allowance</b> of Rs.5,000/- per month. All other eligibility and facilities for the Vice-Chancellor as provided in the Act/Statutes of the University concerned shall be applicable besides the pay.
5.1.6 (d)	The term of appointment of the College Principal shall be FIVE years with eligibility for reappointment for one more term only after a similar Selection Committee process.	The term of appointment of the College Principal shall be five years with eligibility for reappointment for one more term only after a similar Selection Committee process which shall take into account an external peer review, its recommendations and its outcomes. The framework of the external peer review shall be specified by the UGC.
6.0.5(i)	Besides the indexed publications documented by various discipline-specific databases, the University concerned shall draw through committee(s) of subject experts and ISBN/ISSN experts : (a) a comprehensive list of National/Regional level journals of quality in the concerned subject(s); and (b) a comprehensive list of Indian language journals/periodicals/official publication volumes of language bodies and upload them on the University website which are to be updated periodically.	The University shall identify the journals subject-wise through subject expert committees and forward the recommendations to UGC in the format prescribed by UGC for approval of the UGC Standing Committee. The journals approved from this list, by the UGC Standing Committee, shall be included in the "List of Journals" notified by the UGC. The UGC Standing Committee shall give its recommendations within 60 working days of the receipt of the list from the University. The UGC Standing Committee may also, suomotu, recommend journals for inclusion in the "List of Journals".

3. The proviso prescribed under Regulation 3.3.1, 4.4.1, 4.4.2, 4.4.2.2, 4.4.2.3, 4.5.3 and 4.6.3 in the University Grants Commission (Minimum qualifications for appointment of teachers and other academic staff in Universities and Colleges and other measures for the maintenance of standards in higher education) (**3th Amendment**) Regulations, 2016 regarding exemption to the candidates registered for Ph.D. programme prior to July 11, 2009 shall stand amended and be read as under:-

"Provided further, the award of degree to candidates registered for the M.Phil/Ph.D programme prior to July 11, 2009, shall be governed by the provisions of the then existing Ordinances/Bylaws/Regulations of the Institutions awarding the degree and the Ph.D candidates shall be exempted from the requirement of NET/SLET/SET for recruitment and appointment of Assistant Professor or equivalent positions in Universities/Colleges/Institutions subject to the fulfillment of the following conditions:-

- a) Ph.D. degree of the candidate awarded in regular mode only;

- b) Evaluation of the Ph.D. thesis by at least two external examiners;
- c) Open Ph.D. viva voce of the candidate had been conducted;
- d) Candidate **has** published two research papers from his/her Ph.D. work out of which at least one must be in a refereed journal;
- e) Candidate **has** made at least two presentations in conferences/seminars, based on his/her Ph.D work.
- (a) to (e) as above are to be certified by the Vice-Chancellor/Pro-Vice-Chancellor/Dean(Academic Affairs)/Dean(University instructions)."

4. The second proviso prescribed under Regulation 6.0.1 in the University Grants Commission (Minimum qualifications for appointment of teachers and other academic staff in Universities and Colleges and other measures for the maintenance of the standards in higher education) (2<sup>nd</sup> Amendment) Regulations, 2013 shall be substituted with the following: -

**“Provided also that the API score claim of each of the sub-categories in the Category III (Research and Academic Contributions) shall not have a cap except for the sub-category of invited lectures/papers.”**

As a consequence, the table at Regulation 6.0.1 of the University Grants Commission (Minimum qualifications for appointment of teachers and other academic staff in Universities and Colleges and other measures for the maintenance of the standards in higher education) (2<sup>nd</sup> Amendment) Regulations, 2013 stands deleted.

5. Student Feedback is an integral part of the institutional and academic development of higher educational institutions and in fostering quality. Student feedback and teacher response plays a catalytic role towards improvement in teaching-learning and institutional development. Feedback from students on teaching, delivery, methodology and pedagogy is pivotal with a view to enhancing clarity of concepts, subject understanding and developing and deepening an interest in the academic discipline. Universities and Colleges should encourage teachers to assist students in providing constructive feedback on teaching-learning in order to enhance quality education and in responding to the feedback.

6. Tables-I,II(A),II(B),III,IV,V(A),V(B),VI,VII,VIII(A), VIII(B) and IX of Appendix-III of the University Grants Commission (Minimum qualifications for appointment of teachers and other academic staff in Universities and Colleges and other measures for the maintenance of standards in higher education) (3<sup>rd</sup> Amendment) Regulations, 2016 shall be substituted with Appendix-III : Tables-I,II(A),II(B),III,IV,V(A),V(B),VI,VII,VIII(A), VIII(B) and IX appended to these 4<sup>th</sup> Amendment Regulations.

Prof. (Dr.) JASPAL SINGH SANDHU, Secy.  
[ADVT III/4/Exty./113(165)]

#### APPENDIX – III: TABLE I

##### ACADEMIC PERFORMANCE INDICATORS (API) FOR CAREER ADVANCEMENT SCHEME (CAS) PROMOTIONS FOR ASSISTANT PROFESSOR, ASSOCIATE PROFESSOR AND PROFESSOR AND FOR DIRECT RECRUITMENT OF ASSOCIATE PROFESSOR AND PROFESSOR IN UNIVERSITIES AND COLLEGES.

	Direct Teaching Hours per week
Assistant Professor	16
Associate Professor	14
Professor	14

Based on the teacher's self-assessment, API scores are proposed for (a) teaching related activities; domain knowledge; (b) participation in examination and evaluation; and (c) contribution to innovative teaching, new courses etc. 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. Universities may detail the activities, in case institutional specificities require, adjust the weightages without changing the minimum total API scores required under this category.

#### 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. Direct Teaching	70	Actual hours spent per	60	Actual hours spent per	60	Actual hours spent per



			academic year ÷7.5		academic year ÷7.75		academic year ÷7.75
	b. Examination duties (question paper setting, Invigilation, evaluation of answer scripts) as per allotment	20	Actual hours spent per academic year ÷10	20	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, mentoring etc.	10	Actual hours spent per academic year ÷10	15	Actual hours spent per academic year ÷10	20	Actual hours spent per academic year ÷10

**Note:**

1. Direct Teaching 16/14/14 hours per week include the Lectures/Tutorials/Practicals /Project Supervision/Field Work. .
2. University may prescribe minimum cut-off, say 75%, below which no scores may be assigned in these sub-categories.
3. In consonance with established academic and teaching traditions, and with a view to reinforcing a student-centric and caring approach the teachers are encouraged to work with students, beyond the structure of classroom teaching. Indicatively, this could entail mentoring, guiding and counseling students. In particular teachers would be the best placed to identify and address the needs of students who may be differently abled, or require assistance to improve their academic performance, or to overcome a disadvantage. There are no prescribed hours for such efforts, measured either in weeks or months, or in the context and calculation of the API scores, these are nevertheless important and significant activities that could be carried out by teachers.

**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 in Table II (A). A list of items and scores is given below. The self-assessment score should be based on objectively 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.

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.

Category 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. 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	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	15	Actual hours spent per

	in refresher / faculty development courses, dissemination and general articles and any other contribution)		academic year ÷ 10
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**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.

Category	Activity	Faculty of 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#	25 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 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.	Text/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.	30 per Book for Single Author
		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.	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 per Book for Single Author
		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.	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 per Book for Single Author
		Chapters in Books, published by National and International level publishers, with ISBN/ISSN number as approved by the University and posted on its website. The List will be intimated to UGC.	Chapters in Books, published by National and International level publishers, with ISBN/ISSN number as approved by the University and posted on its website. The List will be intimated to UGC.	International – 10 per Chapter National – 5 per Chapter
III (C)	<b>RESEARCH PROJECTS</b>			
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 lakhs	Amount mobilized with a minimum of Rs. 2 lakhs	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 like 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 Govt.-10 Local bodies – 5
III (D)	RESEARCH GUIDANCE			
III(D)(i)	M.Phil.	Degree awarded	Degree awarded	5 per candidate
III(D) (ii)	Ph.D.	Degree awarded / Thesis submitted	Degree awarded / Thesis submitted	15/10 per candidate
III E	Fellowships, Awards and Invited lectures delivered in conferences / seminars			
III(E) (i)	Fellowships/ Awards	International Award/Fellowship from academic bodies	International Award / Fellowship from academic bodies/associations	15 per Award / 15 per Fellowship
		National Award/Fellowship from academic bodies	National Award/Fellowship from academic bodies/associations	10 per Award / 10 per Fellowship
		State/University level Award from academic bodies	State/University level Award from academic bodies/associations	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.

# The University shall identify the journals subject-wise through subject expert committees and forward the recommendations to UGC in the format prescribed by UGC for approval of the UGC Standing Committee. The journals approved from this list, by the UGC Standing Committee, shall be included in the "List of Journals" notified by the UGC. The UGC Standing Committee shall give its recommendations within 60 working days of the receipt of the list from the University. The UGC Standing Committee may also, suo-moto, recommend journals for inclusion in the "List of Journals". The clause 6.0.5 (i) will be strictly followed by the University.

#### 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	Assistant Professor / equivalent	Assistant Professor (Stage 3) to Assoc. Professor/equivalent	Associate Professor (Stage 4) to	Professor (Stage 5) to
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		cadres: (Stage 1 to Stage 2)	cadres: (Stage 2 to Stage 3)	cadres (Stage 4)	Professor /equivalent cadres (Stage 5)	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 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 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.

## 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 (Stage 1)	Professor	Associate Professor (Stage 4)	Professor (Stage 5)
Minimum API	Minimum		Consolidated API score requirement	Consolidated API score

Scores	Qualification as stipulated in these regulations	of 300 points from categories II & III of APIs (cumulative)	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: III

## MINIMUM ACADEMIC PERFORMANCE AND SERVICE REQUIREMENTS FOR PROMOTION OF TEACHERS IN UNIVERSITIES AND COLLEGES

S.No.	Promotion of Teachers through CAS	Service requirement	Minimum Academic Performance Requirements and Screening/Selection Criteria
1	Assistant Professor/ equivalent cadres from Stage 1 to Stage 2	Assistant Professor in Stage 1 and completed four years of service with Ph.D. or five years of service who are with M.Phil / PG Degree in Professional Courses such as LLM, M.Tech, M.V.Sc., M.D., or six years of service who are without Ph.D/ M.Phil / PG Degree in Professional courses	(i) Minimum 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	Associate Professor with three years of completed	(i) Minimum cumulative API scores using the PBAS scoring proforma developed by the UGC as per the norms provided

	4) to Professor (Stage 5)	service in Stage 4.	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 stipulated in this regulation and in Tables II (A)..

## APPENDIX – III: TABLE IV

**ACADEMIC PERFORMANCE INDICATORS (API) FOR CAREER ADVANCEMENT SCHEME (CAS) PROMOTIONS OF ASSISTANT DIRECTOR OF PHYSICAL EDUCATION & SPORTS AND FOR COLLEGE DIRECTOR OF PHYSICAL EDUCATION & SPORTS AND FOR DIRECT RECRUITMENT OF DEPUTY DIRECTOR AND DIRECTOR OF PHYSICAL EDUCATION & SPORTS IN UNIVERSITIES.**

Direct Workload and weightage to be given to different levels of Physical Education Personnel

	Direct working hours per week	Weightage
Assistant Director of Physical Education	40	100
Deputy Director of Physical Education	36+4*	90
Director of Physical Education	32+8*	80

Based on the Physical Education Personnel's self-assessment, API scores are proposed for (a) Lecture cum practice based athlete / sports classes coaching and training related activities; (b) Organizing and conducting sports and games competitions and management related activities; and (c) upgradation of sports infrastructure and extension services etc. The minimum API score required by Physical Education Personnel 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. Universities may detail the activities, in case institutional specificities require, adjust the weightages without changing the minimum total API scores required under this category.

**\*Hours spent on administrative responsibilities, innovation, upgradation of services, extension services etc.**

**CATEGORY I: TEACHING, TRAINING, COACHING, SPORTS PERSON DEVELOPMENT AND SPORTS MANAGEMENT ACTIVITIES**

Nature of Activity	Assistant Director / College Director		Deputy Director		Director	
	Max. Score	Actual Score	Max. Score	Actual Score	Max. Score	Actual Score
a) Lecture cum practice based athlete / sports classes, seminars undertaken as per allotted hours /organizing and conducting coaching camps / sports person development / training programmes (50 Points) Identifying sports talents and Mentoring sports excellence among students (20 Points) Development and maintenance of play fields, purchase and maintenance of other sports facilities (10 Points)	80	Actual hours spent per academic year ÷ 17.5	70	Actual hours spent per academic year ÷ 17.25	60	Actual hours spent per academic year ÷ 16.75

## Annexure II

### API calculations as per UGC Guidelines in Annexure I with following Clarifications

<b>S. No.</b>	<b>Activity</b>	<b>Clarification</b>
1.	<p>Category III (Page No.25 &amp; 26) of UGC regulations 4<sup>th</sup> Amendment notified vide No.F.1-2/2016(PA/Amendment) dated 11.07.2016)</p> <p>The API for joint publications shall be calculated in the following manner:</p> <p>Of the total score for the relevant category of publications 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</p>	<p>This clause will be applicable only for the Publications as mentioned in the Category III (A) and III (B) of UGC regulations 4<sup>th</sup> Amendment notified vide No.F.1-2/2016 (PA/Amendment) dated 11.07.2016 (Page No.25).</p> <p>For other Categories i.e. from III (C) to III (F), full API scores will be given as per criteria mentioned in the UGC regulations notified vide No.F.1-2/2016 (PA/Amendment) dated 11.07.2016 (Page No.25 &amp; 26).</p>

### Annexure III

#### Important Note

Sr. No.	Note
1.	Wherever the requirement of the Orientation Course, Refresher Course etc. as mentioned in the Appendix III Table III of UGC regulations 4 <sup>th</sup> Amendment notified vide No.F.1-2/2016 (PA/Amendment) dated 11.07.2016 has remained incomplete, the promotions will not be held up, but these requirements should be fulfilled by 31 <sup>st</sup> December 2023.
2.	<p>The API for joint publications shall be calculated in the following manner:</p> <p>“Of the total score for the relevant category of publications 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”</p> <p>As per Category III of UGC regulations dated 11.07.2016 (Page No.25):</p> <p>For Research Publications in Refereed Journals as notified by UGC 25 points per publication will be given + Augmented marks *</p> <p>For other Reputed Journal as notified by UGC 10 points per publication will be given + Augmented marks *</p> <p><i>* 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.</i></p>
3.	Points of M.Tech. dissertation will be considered on successful completion of thesis guidance in the academic session which falls during the assessment period only.
4.	The requirement of publications as per Appendix III Table III of UGC regulations dated 11.07.2016, will be considered for Expert Assessment and API Score Calculation from the date /month on which the paper is published in the Journal i.e. the date / month may not be beyond the date of eligibility in the initial assessment period or subsequent additional assessment period.
5.	For Faculty whose CAS applications have already been assessed till 31.03.2019, they may fill the information for subsequent additional assessment period <b>ONLY</b> with regard to the API score and publications.



## Annexure IV

### FAQs

Sr. No.	Query	Resolution
1.	Which guidelines will be applicable for CAS promotions as per notice No.PEC/DFA/24/1295 dated 15.03.2024	UGC regulations 4 <sup>th</sup> Amendment notified vide No.F.1-2/2016 (PA/Amendment) dated 11.07.2016 will be applicable.
2.	Will the papers published in journals other than Refereed Journals / Other reputed Journals of UGC will be considered for calculating API scores?	No
3.	Will the papers published as part of conference proceedings/ Book Series be considered equivalent to journal publication / Book Chapter?	No
4.	What is the percentage score for joint paper publication?	As per UGC regulations 4 <sup>th</sup> Amendment notified vide No.F.1-2/2016 (PA/Amendment) dated 11.07.2016  The API for joint publications shall be calculated in the following manner:  “Of the total score for the relevant category of publications 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”
5.	What is the percentage score for joint projects?	Full API scores will be given as per criteria mentioned under Category III (C) of UGC regulations 4 <sup>th</sup> Amendment notified vide No.F.1-2/2016 (PA/Amendment) dated 11.07.2016 (Page No. 25 & 26).
6.	What is the percentage score for joint M.Tech./Ph.D.?	Full API scores will be given as per criteria mentioned under Category III (D) of UGC regulations 4 <sup>th</sup> Amendment notified vide No.F.1-2/2016 (PA/Amendment) dated 11.07.2016 (Page No. 26).