Performance Based Appraisal System (PBAS) proforma-1

Performance Based Appraisal System (PBAS) proforma based on Academic Performance Indicators (APIs) in recruitments and Career Advancement Scheme (CAS) promotions of **University / College Teachers.**

Category I: Teaching, Learning and Evaluation Related Activities

The teacher is required to give scores based on one's self-assessment 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 this 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.

S. No.	Nature of Activity	Maximum Score	Self-assessment
1	Lectures, seminars, tutorials, practicals, contact hours undertaken taken as percentage 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.

Category II: Co-Curricular, Extension and Professional Development related activities.

Brief Explanation: The teacher is required to give scores based on one's self-assessment 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 be 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.

S. No.	Nature of Activity	Maximum Score	Self Assessment
1	Student related co-curricular, extension and field based activities (such as extension work through NSS/NCC and other channels, cultural activities, subject related events, advisement and counseling)	20	
2	Contribution to Corporate life and management of the department and institution through participation in academic and administrative committees and responsibilities.	15	
	Professional Development activities (such as participation in seminars, conferences, short term, training courses, talks, lectures, membership of associations, dissemination and general articles, not covered in Category III below)	15	
	Minimum API Score Required	15	

Category-III: Research and Academic contributions

Brief Explanation: The teacher is required to give scores based on one's self-assessment 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 verifiable criteria and will be finalized by the screening/selection committee.

S No.	APIs	Engineering/Agriculture/ Veterinary Science/Sciences/Medical Sciences	Faculties of Languages Arts/Humanities/Social Sciences/Library/ Physical education/Mngmnt	Max. points for University & college teacher position	Self Assessment
III A	Research Papers published in:	Refereed 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 article.)	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 book	
		Subjects Books by National level publishers/State and Central Govt. Publications with ISBN/ISSN numbers.	Subject 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 to edited knowledge based volumes published by International Publishers	Chapters contributed to edited knowledge based volumes published by International Publishers	10 /Chapter	
		Chapters in knowledge based volumes by Indian/National level publishers with ISBN/ISSN numbers and with numbers of national and international directories	Chapters in knowledge based volumes in Indian/National level publishers with ISBN /ISSN numbers and with numbers of national and international 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 lakhs	10 per every Rs.10.0 lakhs and 2 per every 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	Degree awarded	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-Evaluation Technology Programmes, Soft Skills development Programmes, Faculty Development Programmes (Max: 30 points)	(a) Not less than two weeks duration	(a) Not less than two weeks duration	20/each	
		(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) (iv)	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 should 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 The screening/selection committees will assess and verify the categorization and scores of publications.

2. The API for joint publications should 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% should be shared equally by all other authors.

Table – II (A)

Minimum APIs as provided in the Performance Based Appraisal System (PBAS) proforma to be applied for the promotion of teachers under Career Advancement Scheme (CAS) in University Departments, and weightages for expert assessment

		Assistant Professor/ equivalent cadres: (Stage 1 to Stage 2)	Assistant Professor/ equivalent cadres: (Stage 2 to Stage 3)	Assistant Professor (Stage 3) to Associate Professor/ equivalent cadres (Stage 4)	Associate Professor (Stage 4) to Professor/ equivalent cadres (Stage 5)	Professor (Stage 5) to Professor (Stage 6)
I	Teaching-learning, Evaluation Related Activities (category I)	75/Year	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	15/Year
III	Minimum total average annual Score under Categories I and II*	100/Year	100/Year	100/Year	100/Year	100/Year
IV	Research and Academic Contribution (Category III)	10/Year (40/assessment period)	20/Year (100/assessment Period)	30/Year (90/assessment period)	40/Year (120/assessment period)	50/Year (500/assessment period)
	Expert Assessment System	Screening Committee	Screening Committee	Selection Committee	Selection Committee	Expert Committee
V	Percentage Distribution of Weightage Points in the Expert Assessment	No separate points. Screening	No separate points. Screening	30% - Contribution to Research 50% - Assessment of domain	50% - Contribution to Research. 30 % - Assessment of domain	50% - research. 50 % - Performance evaluation

Table – II (B)

Minimum point norms of the APIs as provided in the Performance Based Appraisal System (PBAS) proforma 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 2 to Stage 3	Assistant Professor (Stage 3) to Associate Professor/ 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
III	Minimum total average annual Score under Categories I and II*	100/Year	100/Year	100/Year	100/Year
IV	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 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	20% - Contribution to Research 60% - Assessment of domain knowledge and teaching practices. 20 % - Interview performance	30% - Contribution to Research. 50% - Assessment of domain knowledge and teaching practices. 20 % - Interview performance

* Teachers may score 10 points from either Category I or Category II to achieve the minimum score required under Category I + II.

Note: For universities for which Sixth PRC Awards are applicable, Stages 1, 2, 3, 4 and 5 correspond to scales with AGP of Rs. 6000, 7000, 8000, 9000 and 10000 respectively.

PRC = Pay Review Committee

Explanatory note for Tables II (a) and II (b)

1. All teachers shall submit the duly filled-in Performance Based Appraisal System (PBAS) proforma to the Internal Quality Assessment cells (IQACs) of the universities / colleges annually.

2. However, in order to remedy the difficulties of collecting retrospective information and to facilitate the implementation of these regulations from 31-12-2010 in the CAS Promotion, the 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 eligible for CAS promotion in 2010, one year API scores for 2008-09 alone will be required for assessment. In case of a teacher becoming for CAS promotion in 2011, two years average of API scores for these categories will be required for assessment and so on leading progressively for the complete 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 weightage to teachers who contribute additionally through any of the components given in Categories I and II also for the differing nature of contributions 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

Table – II(c)

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

	Assistant Professor/ equivalent cadres (Stage 1)	Associate Professor/ equivalent cadres (Stage 4)	Professor/equivalent cadres (Stage 5)
Minimum API Scores	Minimum Qualification as stipulated in these regulations	Consolidated API score requirement of 300 points from category III of APIs	Consolidated API score requirement of 400 points from category III of APIs
Selection Committee criteria / weightages (Total Weightages = 100)	a) Academic Record and Research Performance (50%) b) Assessment of Domain Knowledge and 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%)	e) Academic Background (20%) f) Research performance based on API score and quality of publications (40%). g) Assessment of Domain Knowledge and Teaching Skills (20%) Interview performance: (20%)

Note: For universities/colleges for which Sixth PRC Awards are applicable, Stages 1, 4 and 5 correspond to scales with AGP of Rs. 6000, 9000 and 10000 respectively.

PRC = Pay Review Committee

| 4. | Associate Professor (Stage 4) Professor/ equivalent cadres (Stage 5) | Associate Professor with three years of completed service in Stage 4. | (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) . 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 |