

PBAS Proforma for Promotion through CAS



YMCA UNIVERSITY OF SCIENCE & TECHNOLOGY FARIDABAD

(A State University established under Haryana State Legislative Act No. 21 of 2009 and recognized under 2(f) and 12(B) of UGC Act, 1956)

NH-2, Delhi Mathura Road, Sector-6, Faridabad, Haryana - 121 006

www.ymcaust.ac.in

Part I- Application Form for Promotion of Teaching Posts Under Career Advancement Scheme (CAS)

To be filled in neatly and legibly by the candidate in his/her own handwriting.

Candidate must read and follow the "Instructions to Candidates for Appointment" very carefully.

Applications which are incomplete or are not in conformity with these instructions are liable to be rejected.

Paste Attested
Passport Size
Photograph

1. Full Name (in block letters)_____
2. (a) Father's/Husband's Name_____
- (b) Mother's Name _____
3. a) Name of present post b) Department _____
- c) Present basic pay with pay band _____
- d) Present AGP _____
- e) Date of Placement in the present scale/AGP _____
4. Name of post and AGP for which promotion is sought _____
5. Assessment Period under CAS _____
6. Due date of Promotion _____
7. (a) Address for Correspondence (Mention your Phone/Mobile number, Email id) _____
- (b) Permanent Address _____
8. Date of Birth _____
9. Place of Birth _____
10. Age on last date for receipt of applicationYears.....Months..... Days.....

Examination/Degree	Year	Division	%age of Marks/Grade	University/Board	Subjects/Specialisation(s)	Awards/Medal/Merit, if any
Matric						
Pre-Uni/ 10+2/Inter						
B.E/B.Tech/BA/B.Sc/B.com/BBA/any other						
M.E/M.Tech/MBA/M.Com/M.Sc./MA/MCA or any other Master's Degree						
NET/SLET/GATE						
M.Phil						
PhD		Subject..... Topic of Thesis..... Year of Award of Degree..... Name of the University/Institute that has awarded the Ph.D Degree.....				
Any other qualifications						

[illegible]

17. (a) Has there been any break in your career?, If so, give details thereof with reasons _____

(b) Have you ever been punished during your service or convicted by a Court of Law? If so, give details? _____

(c) Were you at any time declared medically unfit or asked to submit your resignation or discharged or dismissed? If yes, give details in a separate sheet _____

18. (a) Total Teaching experience (full-time) in Institute/College/university: _____

(b) Total Research Experience: _____

(c) Any other experience: _____

19. Research contribution

Awarded Submitted In Progress

(i) PhD

(ii) M.Phil

(iii) Master's

(iv) Sponsored research/consultancy projects

(a) Number of sponsored research projects

(b) Number of consultancy projects

(v) Prizes/Medals/Awards/Honours (please specify)

(vi) Extra-curricular activities, if any. Give details of proficiency acquired in games, sports and part taken in other extra-curricular or social activities such as NCC, public debates and social service etc.

20. Have you studied Hindi up to Matric standard? Yes/No _____

21. List of Major Publications: (Give number and attach list with full detail)

Publications	Published	In Press, if any	Accepted for publication	Communicated for publication
Books:				
Independently				
Jointly				
Research Papers				
Independently				
Jointly				
Patents				
Independently				
Jointly				
Any other Publication				
Independently				
Jointly				

22. API-Score based on PBAS				
Assessment Period		API-Score of Category-I	API-Score of Category-II	API-Score of Category-III
Year	Session			
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
Total				

(Year-wise for the whole assessment period under CAS(4/5/6 year for AGP of Rs 7000; 5year for AGP of Rs 8000; 3year for AGP for AGP of Rs 9000; 3 year for AGP of Rs 10000 respectively)

Please refer to Part II of this proforma for calculating the detailed API-Score of Category I, II, III.

I certify that the foregoing information given by me is correct, complete to the best of my knowledge and belief and no material information has been concealed. I am not aware of any circumstances which may impair my fitness for employment.

Date

Signature of the Candidate

Recommendation of Chairperson

API Score Verified by IQAC

Recommendation of Screening Committee/Selection Committee

Final Recommendation

(PART II)
APPENDIX III TABLE I

PART-II: Academic Performance Indicator (API) Score on Performance Based Appraisal System (PBAS) of YMCA University of Science & Technology, Faridabad required for Promotion under Career Advancement Scheme (CAS)

Assessment Period under CAS: From To..... (Years)

CATEGORY I: TEACHING, LEARNING AND EVALUATION RELATED ACTIVITIES.

Based on the teacher's self-assessment, API scores are 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.

(Note: The Teacher shall attach a detailed summary for the score claimed for each activity in categories I, II & III with proofs if any.)

Category	Nature of Activity	Assistant Professor		Associate Professor		Professor		Self Assessment Score [^]	Verified API Score ^s
		Max Score	Actual Score	Max Score	Actual Score	Max Score	Actual Score		
1	a. Direct Teaching	70	Actual hours spent per academic year ÷7.5	60	Actual hours spent per academic year ÷7.75	60	Actual hours spent per academic year ÷7.75		
	b. Examination duties (question paper setting, Invigilation, flying squad, 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/course, 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/Tutorial/Practical's/Project supervision/Field Work.
2. Minimum cut-off below which no scores will be assigned in these sub-categories is 75%.
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 counselling 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 disadvantage. There are no prescribed hours for such efforts, measured either in activities that could be earned out by teachers.

Signature of the Candidate with date ()

CATEGORY II: PROFESSIONAL DEVELOPMENT, CO-CURRICULAR & EXTENSION ACTIVITIES

Based on the teachers self-assessment, Category II API scores are 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) of UGC notification 4th amendment. 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 Associate Professor and Associate Professor to Professor.

Cate gory II	Nature of Activity	Maximu m API Score	Actual Score	Self Assess ment Score ^	Verifie d API 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/seminar 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 in refresher/faculty development courses, dissemination and general articles and any other contribution)	15	Actual hours spent per academic year ÷10		

Signature of the Candidate with date ()

CATEGORY-III: RESEARCH AND ACADEMIC CONTRIBUTIONS

Based on the teacher's self-assessment, API scores are for research and academic contributions. The minimum API scores required for teachers from the 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.

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*	Self Assessment Score ^	Verified API Score \$
III (A)	Research Papers published in	Referred Journals as notified by the UGC	Referred 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 or 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)	RESEARCH PROJECTS				Self Assessment Score ^	Verified API Score \$
III (C) (i)	Sponsored Projects	(a) Major Projects with grants above Rs.30Lakhs	Major Projects with grants above Rs.5 Lakhs	20 per project		

		(b) Major Projects with grants above Rs.5Lakhs 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.5 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				Self Assessment Score ^	Verified API Scores
III(D) (i)	M. Phil./ M. Tech	Degree awarded	Degree awarded	5 per candidate		
III(D) (ii)	Ph.D.	Degree awarded/ Thesis submitted	Degree awarded/ Thesis submitted	15/10 per candidate		
II E	FELLOWSHIPS, AWARDS AND INVITED LECTURES DELIVERED IN CONFERENCES/ SEMINARS				Self Assessment Score ^	Verified API Scores
III (E) (i)	Fellowships/Awards	International award/ Fellowship from academic bodies	International award/ Fellowship from academic Bodies/associations	15per Award/15 per Fellowship		

		National award/ Fellowship from academic bodies	National award/ Fellowship from academic Bodies/associations	10per 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 (UGC/AICTE approved only)			10 per module		

Signature of the Candidate with date ()

^To be filled by the candidate.

§ To be verified by Screening committee/IQAC.

Note:

*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.

It is certified that the foregoing information given by me is correct and true to the best of my knowledge and belief and no material information has been concealed. Further, I am aware of the fact that if the information given above is found incorrect or false at any stage, I am liable to be punished.

Date.....

Signature of the Candidate

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

S. No.	Category	Activity	Assistant Professor/ Equivalent Cadres: (stage 1 to stage 2)	Assistant Professor/ Equivalent Cadres: (stage 2 to stage 3)	Assistant Professor (stage 3) to Assoc. Professor/ Equivalent Cadres: (stage 4)	Associate Professor (stage 4) to Professor/ Equivalent Cadres: (stage5)	Professor (stage5) to Professor (stage6)
1	I	Teaching Learning Evaluation Related Activities	80/year	80/year	75/year	70/year	70/year
2	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
3	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
4	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
5	IV	Expert Assessment System	Screening cum evaluation committee	Screening cum evaluation committee	Selection Committee	Selection Committee	Expert Committee
6	V	Percentage Distribution of Weightage points in the Expert Assessment (Total weight age = 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 -III
MINIMUM ACADEMIC PERFORMANCE AND SERVICE REQUIREMENTS FOR
PROMOTION OF TEACHERS IN UNIVERSITIES AND COLLEGES.

S.N O	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 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 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 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.	(i) Minimum cumulative API scores using 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 4) to Professor (Stage 5)	Associate Professor with three years of completed service in stage 4.	(i) Minimum cumulative API scores using PBAS scoring Proforma developed by the UGC as per the norms provided 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 (Stage5) to Professor (Stage 6)	Professor with ten years of completed service (universities only).	(i) Minimum cumulative API scores using PBAS scoring Proforma developed by the UGC 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 develop/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).

Explanatory note

1. The university / college shall 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 university / college for follow up by the university / college 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 i.e at the end of academic year.
2. As shown in Table II, the aggregate minimum API score required (given in row 4) can be earned from any of the two broad categories II or III, 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 II and III also for the differing nature of contributions possible in different institutional settings.
3. 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, an aggregate minimum score is required for promotion over each stage.
4. Candidates should offer themselves for assessment for promotion, if they fulfil the minimum API scores indicated in Tables I, II and III, by submitting an application along with the required proforma. They can do so three months before the due date, if they consider themselves eligible. Candidates, who do not consider themselves eligible, can also apply at a later date.
5. If however, on final assessment, candidates do not either fulfill the minimum criteria under Rows 3 and 4 of Tables II (A) or obtain less than 50% in the expert assessment, they will be reassessed only after a minimum period of one year.
6. (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 based on the minimum period of eligibility.
(b) If however, the candidate finds that she / he fulfils the eligibility conditions at a later date and applies on that date and is found successful, her / his promotion will be/ deemed to be from the 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.