

## FACULTY APPRAISAL RULES

### PERFORMANCE BASED APPRAISAL SYSTEM (PBAS) AS PER UGC GUIDELINES

#### APPENDIX IV

**MODEL PERFORMANCE BASED APPRAISAL SYSTEM (PBAS) PROFORMA FOR CAREER ADVANCEMENT SCHEME (CAS) PROMOTIONS OF UNIVERSITY / COLLEGE TEACHERS BASED ON THE ACADEMIC PERFORMANCE INDICATORS (API) DEVELOPED BY UGC – TO BE ADOPTED BY THE UNIVERSITY CONCERNED**

#### **SECTION – A: GENERAL**

1	Name & Designation of the faculty	
2	Name of the Department / Centre of University / College	
3	Name of the University / College with communication address	
4	Communication Address / Email / Telephone / Mobile of the faculty	
5	Year of Performance Appraisal	

#### **SECTION - B:**

##### **CATEGORY I: TEACHING, LEARNING AND EVALUATION RELATED ACTIVITIES**

	Nature of Activity	Maximum Score		
		API Score Allotted	Self-Appraisal Score	Verified API Score
<b>CATEGORY I (A)</b>	<b>ESSENTIAL</b>			
1	Lectures taken as percentage of lectures allocated (100% compliance = 20 points)	20		
2	Seminars, tutorials, practicals, contact hours undertaken as percentage of those actual allocated (100% compliance = 20 points)	20		
3	Lectures or other teaching duties in excess of UGC norms (1hour excess per week : one point)	10		
4	Imparting of knowledge / instruction <i>vis a vis</i> with the prescribed material (Text book / Manual etc) and methodology of the curriculum (100% compliance = 20 points)	20		
5	College / University examination duties (Question paper setting and evaluation	10		

	of answer scripts) as per duties allotted. (100% compliance = 10 points)			
6	College / University examination / Evaluation duties for internal / continuous assessment work as allotted (100% compliance = 10 points)	10		
7	Additional examination work such as coordination, invigilation, flying squad duties etc. (maximum of 5 or 10 depending upon intensity of duty) (100% compliance = 10 points)	10		
<b>CATEGORY I (B)</b>	<b>DESIRABLE</b>			
1	Use of Innovative teaching-learning methodologies; use of ICT; Updated subject content and course improvement. a. ICT Based Teaching material:10points/each b. Interactive Courses : 5 points/each c. Participatory Learning modules: 5 points/each	10		
2	Developing and imparting Remedial/Bridge Courses and Counseling modules (Each activity : 5 points)	10		
3	Developing and imparting soft skills/communication skills/personality development courses/modules (Each activity : 5 points)	10		
4	Developing and imparting specialized teaching-learning programmes in physical education, library ; innovative compositions and creations in music, performing and visual arts and other traditional areas (Each activity : 5 points)	10		
5	Organizing and conduction of popularization programmes/training courses in computer assisted teaching/web-based learning and e-library skills to students (a) Workshop / Training course : 10 points each (b) Popularization program : 5 points each	10		

**CATEGORY II: CO-CURRICULAR, EXTENSION AND PROFESSION RELATED ACTIVITIES**

CATEGORY II (A)	Nature of Activity CO-CURRICULAR AND EXTENSION ACTIVITIES	Maximum Score		
		API Score allotted	Self-appraisal Score	Verified API Score
1	Contribution to Corporate life in Universities/colleges through meetings, popular lectures, subject related events, articles in college magazine and University volumes. a. ICT Based Teaching materials : 10 points each b. Interactive Courses : 5 points each c. Participatory Learning modules : 5 points each	10		
2	Institutional Co-curricular activities for students such as field studies/educational tours, industry-implant training and placement activity. a. Field studies / Educational tour : 5 points each b. Industry – implant training : 5 points each c. Placement activity : 5 points each	10		
3	Community Service, Social Orientation and other Student Mentoring Activities through NSS/NCC/NSO/other Governmental and non-Governmental channels (Each activity 5 points each)	10		
4	Students and Staff Related Socio Cultural and Sports Programmes (intra/interdepartmental and intercollegiate) a. Intra departmental : 1 point each b. Inter department : 2 points each c. Inter college : 3 points each d. Inter university : 5 points each	05		
5	Professional Ethics and Campus Development Activities like Institutional infrastructure projects, Co-curricular student educational programme like Environmental Education etc and value based programmes, and Programmes in the TV/Radio	05		

	Channels. (Each activity 1 point each)			
<b>CATEGORY II (B)</b>	<b>PROFESSION-RELATED CONTRIBUTION</b>			
1	Institutional Governance responsibilities like, Vice Principal, Dean, Director, Warden, Bursar, School Chairperson, IQAC coordinator and any other membership of institutional committees a. Vice Principal / Dean / Director : 3 points each b. Warden / Bursan / School Chairperson / IQAC coordinator : 2 points each c. Member of syndicate / Governing council : 5 points each d. Member of Academic council / Senate : 3 points each e. Member of other college / university level committees : 1 point each	10		
2	Membership in profession related committees at state and national level a. At national level : 3 points each b. At site level : 2 points each	10		
3	Participation in subject associations, conferences, seminars without paper presentation (Each activity : 1 point)	05		
4	Participation in short term training courses less than one week duration in educational technology, curriculum development, professional development, Examination reforms, Institutional governance (Each activity : 5 points)	05		
5	Membership of professional associations committees, Boards of Studies, editorial committees of journals / institutional publications. (Each activity : 2 points)	05		

**CATEGORY-III: RESEARCH AND RELATED CONTRIBUTIONS**

Sl. No.	APIs	Engineering/Agriculture/ Veterinary Science/Sciences/Medical Sciences	Faculties of Languages  Arts/Humanities/ Social  Sciences/Library/ Physical education/Management	Max. points for University and college teacher position		
				API Score allotted	Self- appraisal Score	Verified API Score
III(a)	Research Publication (Journals)	Refereed Journals with impact factor 1.0 and below 2.0	Refereed Journals which are indexed publications with Impact factor less than one	20 / publication		
		Refereed Journals with impact factor 2.1 and below 5.0	Refereed Journals with impact factor 1.0 and below 2.0	30 / publication		
		Refereed Journals with impact factor 5.1 and below 10.0	Refereed Journals with impact factor 2.0 and below 5.0	40 / publication		
		Refereed Journals with impact factor less than one indexed	Refereed Journals which are not indexed without any impact factor	15 / publication		
		Vernacular & Indian language journals in all disciplines without any impact factors included in the list of journals prepared by the university and hosted in its website	Vernacular & Indian language journals in all disciplines without any impact factors included in the list of journals prepared by the university and hosted in its website	10 / Publication		
			National level research papers in			

		Non impact factor National level research papers in non-refereed/ journals but having ISBN/ISSN numbers and the list of journals prepared by the university and hosted in its website.	non-refereed/non Journals but having ISBN /ISSN numbers and the list of journals prepared by the university and hosted in its website.	10 / publication		
		Full papers in conference proceedings, etc. (Abstracts not to be included)	Full papers in Conference proceedings, etc. (Abstracts not to be included)	(b) 10 / publication		
III(b)	Research Publications (books, chapters in books, other than	Text or Reference Books Published by International Publishers with an established peer review system	Text or Reference Books Published by International Publishers	50 /sole author; 10 / chapter in an edited book		
	refereed journal articles)	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	25 /sole author, and 5/ chapter in edited books		
		Subject Books by Other	Subject Books by	15 / sole		
		Chapters in knowledge based volumes by	Chapters in knowledge based	5 / Chapter		

		Indian/National level publishers with ISBN/ISSN numbers & with numbers of national & international directories	volumes in Indian/National level publishers with ISBN /ISSN numbers & with numbers of national & international directories			
<b>III(C)</b>	<b>RESEARCH PROJECT</b>					
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. 4.00 lakhs up to Rs. 5.00 lakhs	15 each major project		
		(c) Minor projects from central / state funding agencies with grants below 5.0 lakhs	Minor projects from central / state funding agencies with grants below 4.00 lakhs	10 each minor project		
III(C) (ii)	Consultancy Projects carried out / ongoing	Amount mobilized with minimum of Rs.5.00 lakhs	Amount mobilized with minimum of Rs.1.lac	10 per every Rs.5.0 lakhs and Rs.1.0 lakh 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	Policy document of Govt. Bodies at Central and State level	30 each output or outcome for National patents etc / 50 each for International patents etc.,		
<b>III(D)</b>	<b>RESEARCH GUIDANCE</b>					
III (D) (i)	M.Phil.	Degree awarded  Thesis submitted	Degree awarded  Thesis submitted	5 / each candidate  2 / each candidate		
III (D) (ii)	Ph.D	Degree awarded	Degree awarded	10 / each candidate		
		Thesis submitted	Thesis submitted	7 / each candidate		
<b>III(E)</b>	<b>TRAINING COURSES AND CONFERENCE /SEMINAR/WORKSHOP PAPERS</b>					
III(E) (i)	Research Methodology/ Workshops or Conferences / Seminars & Symposia	a. Research Methodology course (not less than three weeks) / Workshops of not less than one week duration.	a. Research methodology course (not less than three weeks) / workshops of not less than one week.	20 / each event		
		b. International conference / Seminar / Symposia	b. International conference / seminars / symposia	20 / each		
		c. National conference / Seminar / Symposia	c. National conference / seminars / symposia	10 / each		
		d. State level / university / college level seminar / conference / symposia	d. State level / university / college level seminar / conference / symposia	5 / each		



III(E) (ii)	Papers in Conference s/ Seminars/ workshops etc.*	Participation and Presentation of research papers (oral/poster) in	Participation and Presentation of research papers (oral/poster) in			
		a) International / Foreign conference etc.,	(i) International / Foreign conference etc.,	7.5 Each		
		b) National	a) National	7.5 each		
		c) Regional /State level	10 Regional / State level	5 each		
		d) Local –University / College level	5 Local – University / College level	3 each		
III(E) (iv)	Invitations for conference s/seminars/ workshops/ symposia to deliver lectures/an d/or chair sessions	a. International/forei gn	b. International/fo reign	10 /each		
		c. National	d. National	7.5 /each		
		e. State level/Regional	f. State level/Regional	5 /each		
		g. University/College level Endowment lectures	h. University/Coll ege level Endowment lectures	5 /each		
<b>III (F)</b>	<b>Awards / Honours / Recognitions / Fellowship titles / Post-doctoral Research degrees like D.Sc., D.Litt., LLB etc.,</b>					
III(F) (i)	Discipline specific Awards	a. Awards by Foreign universities / Accredited International Bodies	a. Awards by Foreign universities / Accredited International Bodies	50 /each		
		b. National: by UGC,CSIR, DST, DBT, ICAR & other Government bodies and Professional Academies like Bhatnagar Award etc.,	b. National: by UGC, ICSSR, ICCR, Sahitya Academy and Professional Academies like Gnana-peet award etc.,	50 /each		
		c. State/university level	c. State/university level	20 /each		
		d. Regional / local	d. Regional / local	10 /each		
III F (ii)	Honours/ Recognitio ns	a. Foreign countries / Governments & International bodies like UNESCO etc.,	a. Foreign countries Governments & International bodies like UNESCO etc.,	50 /each		

		b. National like Padma Sri etc.,	b. National like Padma Sri etc.,	50 /each		
		c. State level/university level	c. State level/university level	20 /each		
		d. Regional / local by GO/NGOs/Rotary/ Lions etc.,	d. Regional / local by GO/NGOs/Rotary/ Lions etc.,	5 /each		
		e. Professional Subject Based associations	e. Professional Subject Based associations	5 /each		
III F(iii)	Fellowship Titles	a. Foreign universities/bodies like FRCP, FRCS etc.,	a. Foreign universities/bodies like Trinity title etc.,	50 /each		
		b. Indian Science & other Academies like Fellow of Indian National Science Academy FNA, FNASC, FAMS etc.,	b. Indian Academies of Languages, Arts etc.,	50 /each		
		c. Discipline specific National level Associations	c. Discipline specific National level Associations	10 /each		
III F(iv)	Post-doctoral degrees	a. D. Sc from an university based on post-doctoral thesis	a. D. Litt from an university based on post – doctoral thesis / LLD	50 /each		

The incumbent teacher other academic staff or the candidates applying for direct recruitment shall follow the norms prescribed in Appendix III – Table I to III while filling up this PBAS proforma and providing the self appraisal score. The self appraisal score to be given by the applicant based on evidences criteria which would be verified by the screening – cum Evaluation committee / Selection committee at the appropriate level of CAS promotion.

Signature of the faculty with  
Designation, Place & Date

Forwarded by:

Signature of HOD / School  
Chairperson /  
Principal

### 31.QUALIFICATIONS

Faculty are recruited based on the qualification prescribed by the UGC – Approval Process Handbook 2011-2012.

PROGRAM	CADRE	QUALIFICATIONS	EXPERIENCE
Engineering /Technology	Assistant Professor	BE / B Tech and ME / M Tech in relevant subject with First Class or equivalent either in BE / B Tech or ME / M Tech	
MCA	Assistant Professor	BE / B Tech and ME / M Tech in relevant subject with First Class or equivalent either in BE / B Tech or ME / M Tech <b>OR</b> BE / B Tech and MCA with First class or equivalent in either BE / B Tech or MCA <b>OR</b> MCA with first class or equivalent with two years relevant experience.	
Management	Assistant Professor	First Class or equivalent in Masters Degree in Business Administration or equivalent and 2 years relevant Experience is desirable	
All Program	Associate Professor	Qualification as above that is for the post of Assistant Professor, as applicable and PhD or equivalent, in appropriate discipline Post PhD publications and guiding PhD Student is highly desirable.	Minimum of 5 years experience in teaching and/or research and/or Industry of which at least 2 years shall be post PhD is desirable. In case of Architecture, Professional Practice of 5 years as certified by the Council of Architecture shall also be considered Valid.
All Program	Professor	Qualifications as above that are for the post of Associate Professor, as Applicable. Post PhD publications and guiding	minimum of 10 years teaching and/or research and/or industrial experience of which at least 5 years should be at

		<p>PhD students is highly desirable.</p>	<p>the level of Associate Professor.</p> <p><b>OR</b></p> <p>minimum of 13 years experience in teaching and/or Research and/or Industry. In case of research experience, good academic record and books/research paper publications/IPR/patents record shall be required as deemed fit by the expert members in Selection Committee. If the experience in industry is considered, the same shall be at managerial level equivalent to Associate Professor with active participation record in devising/designing, planning, executing, analyzing, quality control, innovating, training, technical books/research paper publications/IPR/patents, etc. as deemed fit by the expert members in Selection committee.</p> <p>In case of Architecture, Professional Practice of 10 years as certified by the Council of Architecture shall also be considered valid.</p>
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