



# SRI GURU GRANTH SAHIB WORLD UNIVERSITY

## FATEHgarh SAHIB

### PBAS PROFORMA FOR PROMOTION UNDER CAREER ADVANCEMENT SCHEME

(In accordance with UGC regulations 2010 & 4<sup>th</sup> Amendment notified on July 11, 2016)

**Department:** \_\_\_\_\_

#### Application for promotion from:

- Assistant Professor (Stage 1 to Stage 2, Pay Scale Rs. 15600-39100 AGP Rs. 7,000)
- Assistant Professor (Stage 2 to Stage 3, Pay Scale Rs. 15600-39100 AGP Rs. 8,000)
- Assistant Professor (Stage 3) to Associate Professor (Stage 4, Pay Scale Rs. 37400 - 67000 AGP Rs. 9,000)
- Associate Professor (Stage 4) to Professor (Stage 5, Pay Scale Rs. 37400 - 67000 AGP Rs. 10,000).

(Please indicate whichever is applicable)

**Period of Assessment for Promotion:** From \_\_\_\_\_ to \_\_\_\_\_

#### PART A: PERSONAL DATA

(To be filled up by the Assistant Professor/Associate Professor)

<b>01</b>	Name (in Block Letters)	:	
<b>02</b>	Father's/ Mother's Name/Husband Name	:	
<b>03</b>	Department	:	
<b>04</b>	Educational Qualification	:	
<b>05</b>	Date of Joining the University	:	
<b>06</b>	Current Designation and Academic Grade Pay	:	
<b>07</b>	Date of Last Promotion	:	
<b>08</b>	To which position and AGP (7000, 8000, 9000 and 10,000) are you an applicant under CAS?	:	
<b>09</b>	Date of eligibility for promotion	:	

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<b>10</b>	Date of Birth	:				
<b>11</b>	Gender	:	Male		Female	
<b>12</b>	Marital status	:				
<b>13</b>	Nationality	:				
<b>14</b>	Indicate whether belongs to SC/ST/OBC category	:				
<b>15</b>	Address for correspondence	:				
	Permanent Address	:				
<b>16</b>	Telephone No./ Mobile No.	:				
	Email ID	:				

**17. Academic Qualification (High School till Post Graduation):**

Examinations	Name of the Board/ University	Year of Passing	Division/Class/ Grade	Subject (s)	Rank and Remarks, if any
Matric					
Intermediate (10+2)					
B.A./ B.Sc./ B.Com./ BBA/ B.Tech./ LL.B./ B.Lib./ B.P.Ed./ BPT					
M.A./ M.Sc./ M.Com./ MBA/ M.Tech./ LL.M./ M.Lib./ M.P.Ed./ MPT					
Any Other					

**18. Research Degree(s):**

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

*Note: In case of M.Phil./Ph.D. degree, a self-attested copy of the degree and result notification for the same be attached.*

**19. Particulars of NET/JRF/SLET/GATE etc:**

Name of the Test	Name of the test conducting body	Month and Year	Roll No.	Subject	Score, where applicable

**20. Record of Academic Service prior to joining the University:**

S. No.	Post/Designation	Name of Employer	Nature of Appointment	Date of		Pay Scale/Pay Band & AGP	Reason of leaving
				Joining	Leaving		

**21. Record of Service at the University:**

Designation	Essential qualifications for the post at the time of appointment	Nature of Appointment (Regular/Contract/Adhoc/ Guest)	Nature of Duties (Teaching/, Research)	Pay-Scale	Duration (from to dates)	Total period YY/MM/DD

**22. Period of teaching experience:**

a) P.G. Classes (in years)	
b) U.G. Classes (in years)	

**23. Research Experience excluding time spent in M.Phil./Ph.D. (in years):**

**24. Fields of Specialization under the Subject/Discipline (if any):**

**25. Orientation Course and Refresher Course/Research Methodology Courses attended during the Assessment Period (Use separate sheet as enclosures if needed):**

<b>S. No.</b>	<b>Description of Course</b>	<b>Place</b>	<b>Duration</b>	<b>Sponsoring Agency</b>	<b>Page No.</b>

**26. Your Contribution in the Department and the University:**

**27. Future Plans (Teaching and Research):**

**PART B:**

**CATEGORY I: TEACHING, LEARNING AND EVALUATION RELATED ACTIVITIES AND THEIR API SCORE, RESPECTIVELY, DURING THE ASSESSMENT PERIOD**

<b>Sub-Category</b>	<b>Nature of Activities</b>	<b>Max. Score (Asst. Prof /Associate Prof.)</b>	<b>Actual Score</b>	<b>API Score Claimed</b>	<b>API Score Verified</b>	<b>Page No. of Application where Proof Attached</b>
a.	Direct Teaching	70/60	Actual hours spent per academic year $\div 7.5 / 7.75$			
b.	Examination duties (question paper setting, Invigilation, evaluation of answer scripts) as per allotment	20/20	Actual hours spent per academic year $\div 10 / 10$			
c.	Innovative Teaching – learning methodologies, updating of subject contents/courses, mentoring etc.	10/15	Actual hours spent per academic year $\div 10 / 10$			

**CATEGORY II: PROFESSIONAL DEVELOPMENT, CO-CURRICULAR AND EXTENSION ACTIVITIES DURING THE ASSESSMENT PERIOD**

<b>Sub-Category</b>	<b>Nature of Activities</b>	<b>Max. API Score</b>	<b>Actual Score</b>	<b>API Score Claimed</b>	<b>API Score Verified</b>	<b>Page No. of Application where Proof Attached</b>
a.	Student related co-curricular, extension and field based activities. <ul style="list-style-type: none"> <li>i) Discipline related co-curricular activities (e.g. remedial classes, career counseling, study visit, student seminar and other events.)</li> <li>ii) Other co-curricular activities (Cultural, Sports, NSS, NCC etc.)</li> <li>iii) Extension and dissemination activities (public/ popular lectures/ talks/ seminars) etc.)</li> </ul>	15	Actual hours spent per academic year $\div 10$			
b.	Contribution to corporate life and management of the department and the University through participation in academic and administrative committees and responsibilities. <ul style="list-style-type: none"> <li>i) Administrative responsibility (including as Dean/ Principal/ Chairperson/ Convener/ Teacher-in-charge/similar other duties that require</li> </ul>	15	Actual hours spent per academic year $\div 10$			

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	regular office hours for its discharge) ii) Participation in Board of Studies, Academic and Administrative Committees.					
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 $\div 10$			
<b>Total Score :</b>		45				

**CATEGORY III: RESEARCH, PUBLICATIONS AND ACADEMIC CONTRIBUTIONS DURING THE ASSESSMENT PERIOD**

**III A) Research papers (Journals etc.):**

S. No.	Title with page no.	Journal	Year	ISSN No.	Whether peer reviewed Impact factor, if any	No. of co-authors (Excluding you)	Whether you are the main author	API Score Verified	API Score appr-oved	Page No.
<b>Total API-III A</b>										

**III B) Articles/Chapters Published in Books:**

S. No.	Title with page no.	Book Title, editor & publisher	ISSN No.	Whether peer reviewed Impact factor, if any	No. of co-authors (Excluding you)	Whether you are the main author	API Score Claimed	API Score Verified	Page No.
<b>Total API-III A</b>									

**III C) Research Projects:**

**III C) (i) Sponsored Project:**

S. No.	Title	Agency	Period	Grant/ Amount Mobilized (Rs. lakhs)	API Score Claimed	API Score Verified	Page No.
<b>Total API – III C (i)</b>							

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**III C) (ii) Consultancy Projects:**

S. No.	Title	Agency	Period	Grant/ Amount Mobilized (Rs. lakhs)	Whether Policy Documents/ Patent as outcome	API Score Claimed	API Score Verified	Page No.
<b>Total API – III C (ii)</b>								

**III C) (iii) Project outcome outputs:**

S. No.	Title	Major policy document prepared for international bodies like WHO/ UNO/ UNESCO/ UNICEF etc.	Major policy document prepared for international bodies like Central/State Govt. /Local bodies	Grant/ Amount Mobilized (Rs. lakhs)	API Score Claimed	API Score Verified	Page No.
<b>Total API – III C (iii)</b>							

**III D) (i) & (ii) Research Guidance**

Degree	Number Enrolled	Thesis Submitted	Degree Awarded	API Score Claimed	API Score Verified	Page No.
<b>Total API – III D (i &amp; ii)</b>						

**III E) (i) Fellowships, Awards and Honours etc.:**

S. No.	Title & Year			API Score Claimed	API Score Verified	Page No.
	International Award	Fellowship from Academic Bodies	Associations			
<b>Total API – III E (i)</b>						

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

S. No.	Title of the Paper Presented / Invited Lectures	Title of Conference/ Seminar	Organized by	Whether International/ National/State/ Regional/College or the University level	API Score Claimed	API Score Verified	Page No.
<b>Total API – III E (ii)</b>							
<p><i>Note: The score under this sub-category shall be restricted to 20% of the minimum fixed for Category-III for any assessment period.</i></p>							

**III (F) Development of e-learning delivery process/material:**

Sr. No.	e-learning delivery process developed	e-learning material developed	API Score Claimed	API Score Verified	Page No.

**The parameters listed in table of Category-III (Research and Academic contributions) in relation to the total API score claimed by the candidates:**

Sub- Category	Total API Score for Assessment Period	Annual Avg. API Score for Assessment Period	API score Verified
III (A): Research papers (Journals etc.)			
III (B): Articles/Chapters Published in Books			
III (C): Research Projects			
III (D): Research Guidance			
III (E): Fellowship Awards and invited lectures delivered in conferences/seminars			
III (F): Development of e-learning delivery process/ material			
Total API Score of Category III			

**Declaration by the Applicant:**

I certify that the information provided in the documents enclosed along with this duly filled PBAS proforma is correct as per records available with the University.

Date: \_\_\_\_\_

Signature of Faculty .....

Name : .....

Designation : .....

**INSTRUCTIONS FOR CALCULATION OF API SCORES  
IN DIFFERENT CATEGORIES**

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

<b>Sub-Category</b>	<b>Nature of Activity</b>	<b>Assistant Professor</b>		<b>Associate Professor</b>	
		<b>Max. Score</b>	<b>Actual Score</b>	<b>Max. Score</b>	<b>Actual Score</b>
(a)	Direct Teaching	70	Actual hours spent per academic year $\div 7.5$	60	Actual hours spent per academic year $\div 7.75$
(b)	Examination duties (question paper setting, Invigilation, evaluation of answer scripts) as	20	Actual hours spent per academic year $\div 10$	20	Actual hours spent per academic year $\div 10$
(c)	Innovative Teaching - learning methodologies, updating of subject contents/courses,	10	Actual hours spent per academic year $\div 10$	15	Actual hours spent per academic year $\div 10$

1. Direct Teaching 16/14/14 hours per week includes 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 the related contributions. 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.

**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 the University. The self-assessment score shall be based on verifiable records and shall be finalized by the screening cum evaluation committee

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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. The weightage of API scores for different types of academic contributions is as under:

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.	Text/Reference Books, published by International Publishers, with ISBN/ISSN number as approved by the University.	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.	Subject Books, published by National level publishers, with ISBN/ISSN number or State/ Central Govt. Publications approved by the University.	20 per Book for Single Author
		Subject Books, published by other local publishers, with ISBN/ISSN number as approved by the University.	Subject Books, published by other local publishers, with ISBN/ISSN number as approved by the University.	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.	Chapters in Books, published by National and International level publishers, with ISBN/ISSN number as approved by the University.	International –10 per Chapter National – 5 per Chapter
III (C)	RESEARCH PROJECTS			
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

**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 WEIGHTAGES FOR EXPERT ASSESSMENT**

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 Associate Professor / Equivalent Cadre (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	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	50%- Research Contribution 50%- Performance evaluation and other credential by referral

\*Teachers may score the balance of points either Category-II or Category-III to achieve the minimum score required under category-II + III.

**TABLE: III**  
**MINIMUM ACADEMIC PERFORMANCE AND SERVICE REQUIREMENTS**  
**FOR PROMOTION OF TEACHERS IN UNIVERSITIES**

<b>S.No.</b>	<b>Promotion of Teachers through CAS</b>	<b>Service requirement</b>	<b>Minimum Academic Performance Requirements and Screening/Selection Criteria</b>
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	<ul style="list-style-type: none"> <li>(i) Minimum cumulative API scores using PBAS scoring proforma developed by the UGC as per the norms provided in Table II (A).</li> <li>(ii) One Orientation and one Refresher/Research Methodology Course of 2/3 weeks duration.</li> <li>(iii) Screening cum Verification process for recommending promotion.</li> </ul>
2.	Assistant Professor/ equivalent cadres from Stage 2 to Stage 3	Assistant Professor with completed service of five years in Stage 2.	<ul style="list-style-type: none"> <li>(i) Minimum cumulative API scores using the PBAS scoring proforma developed by the UGC as per the norms provided in Table II(A).</li> <li>(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.</li> <li>(iii) Screening cum Verification process for recommending promotion.</li> </ul>
3.	Assistant Professor (Stage 3) to Associate Professor (Stage 4)	Assistant Professors with three years of completed service in Stage 3.	<ul style="list-style-type: none"> <li>(i) Minimum cumulative API scores using the PBAS scoring proforma developed by the UGC as per the norms provided in Table II (A).</li> <li>(ii) At least three publications in the entire period as Assistant Professor (twelve years).</li> <li>(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.</li> <li>(iv) A selection committee process as stipulated in the regulation and in Tables II(A).</li> </ul>
4.	Associate Professor (Stage 4) to Professor (Stage 5)	Associate Professor with three years of completed service in Stage 4.	<ul style="list-style-type: none"> <li>(i) Minimum cumulative API scores using the 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.</li> <li>(ii) A minimum of five publications since the period that the teacher is placed in stage 3.</li> <li>(iii) A selection committee process as stipulated in the regulation and in Tables II (A).</li> </ul>