PERFORMANCE BASED APPRAISAL SYSTEM (PBAS)

PBAS PROFORMA FOR PROMOTION OF TEACHERS (Assistant Professor/Associate Professor and Professor) UNDER CAREER ADVANCEMENT SCHEME (CAS)

[As Per UGC (Minimum Qualifications for Appointment of Teachers and Other Academic Staff in Universities and Colleges and Measures for the Maintenance of Standards in Higher Education, Regulations, 2018]

INTERNAL QAULITY ASSURANCE CELL (IQAC)

DR. SHAKUNTALA MISRA NATIONAL REHABILITATION UNIVERSITY, LUCKNOW

UTTAR PRADESH

DR. SHAKUNTALA MISRA NATIONAL REHABILITATION UNIVERSITY, LUCKNOW

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[As Per UGC (Minimum Qualifications for Appointment of Teachers and Other Academic Staff in Universities and Colleges and Measures for the Maintenance of Standards in Higher Education, Regulations, 2018]

	Part-A: General Information and Academic Background	
1	Name (in Block Letters)	
2	Father's Name	
3	Mother's Name	
4	Date and Place of Birth	
5	Nationality	
6	Marital Status	
7	The Category you belongs to (SC/ST/OBC/GEN)	
8	Current Designation & Grade Pay	
9	Name of the Faculty	
10	Name of the Department	
11	Name of the Subject in which you have been appointed	
12	Date of Last Promotion, if any	
13	Stage/Academic Level with Designation for which you are an applicant for promotion under CAS	
14	Proposed date of Eligibility for Promotion as per Eligibility Conditions and CAS Promotion Criteria	

15	Address for Correspondence (with Pin Code)	
16	Permanent Address (with Pin Code)	
17	Telephone No., Mobile No., E-mail Address	

18. Academic Qualifications:

Academic Qualifications:

Examinations	Name of the Degree	Name of the Board/University/Institution	Year of Passing	Percentage of marks	Division/Class/ Grade	Subject (s)
Matriculation						
Intermediate						
Graduation						
Post-Graduation						
Any Others						
NET/JRF						

19. Research Degree (s):

Degree(s)	Subject	Faculty	Date of Award	University	Title of Dissertation/Thesis
M.Phil.					
Ph.D.					
Any Other					

20. Field (s) of Specialization:...

21. Appointments held prior to joining Dr. Shakuntala Misra National Rehabilitation University, Lucknow:

Designation	Pay Scale/ Grade Pay/Academic Level	Nature of Appointment	Name of Employer	Date of Joining	Date of Leaving	Reason for Leaving

22. Have your above mentioned past services been duly counted for promotion under CAS?------------------------------(Please attach Office-Order)

23. Period of teaching experience: ...............................P.G. Classes (in years) .... U.G. Classes (in years)............................

   Research Experience.:..

24. Post Doctoral Research Experience in years (as Research Scientist, Research Associate etc.):.......................................

25. Details of Orientation and Refresher/Research Methodology Course attended:

Name of the Course	Place	Duration	Name of Academic Staff College/ Human Resource Development Centre	Sponsoring Agency

PART-B

(Applicants are required to refer the relevant provisions of UGC Regulations, 2018 relating to PBAS Proforma before filling this section)

(PART-B of CAS Application Form for Promotion of Assistant Professor/Associate Professor and Professor in accordance with *UGC (Minimum Qualifications for Appointment of Teachers and Other Academic Staff in Universities and Colleges and Measures for the Maintenance of Standards in Higher Education, 2018*)

Table-1 (Assessment Criteria and Methodology)

Activity 1: Teaching

Year	Course/Paper	Level (UG or PG)	Mode of Teaching *	Total Classes Assigned	Number of Classes taught as per documented record #	(Number of Classes taught/Total Classes assigned)x100 % Classes	Grading	ANNEXURE NO.

* Lecture (L), Seminar (S), Tutorial (T), Practical (P)　　　　# Contact Hours (C)
80% & above – Good　　　Below 80% but 70% & above-Satisfactory　　　Less than 70% - Not satisfactory

Activity 2: Involvement in Students-Related Activities/ Research Activities

(a) Administrative responsibilities such as; Head/Chairperson/ Dean/ Director/ Coordinator, Proctor,Warden, OSD OR ANY OTHERS etc. (b) Examination and evaluation duties or any other duty assigned by the University. (c) Student related co-curricular, extension and field based activities such as student clubs, career counselling, study visits, student seminars and other events, cultural, sports, NCC, NSS and community services. (d) Organising seminars/ conferences/ workshops, other university activities. (e) Evidence of being actively involved in guiding Ph.D. students. (f) Conducting minor or major research project (s) sponsored by national or international agencies. (g) At least one single or joint publication in peer- reviewed or UGC list of Journals.

Year	Detail of Activities	Category	Number of Activities during Assessment Period	Grading	ANNEXURE NO.
Good - Involved in at least 3 activities Satisfactory - 1-2 activities Not-satisfactory - Not involved / undertaken any of the activities					
Note: Number of activities can be within or across the broad categories of activities					

Table-2 (Academic/Research Score)

(Assessment must be based on evidence produced by the teacher such as; copy(ies) of publications, project sanction letter, utilization and completion certificates issued by the University and acknowledgements for patent filing and approval letters, students' Ph.D. award letter, etc.)

SR. NO.	ACADEMIC / RESEARCH ACTIVITY	Score as Per UGC Regulations: Faculty of Sciences, Engineering, Agriculture, Medical, Veterinary Sciences /Faculty of Languages, Humanities, Arts, Social Sciences, Library, Education, Physical Education, Commerce, Management & other related disciplines	ENTER QUANTITY/ PARAMETER	OBTAINED SCORE	ANNEXURE NO.
	Research Papers in Peer-Reviewed or UGC-listed Journals without Impact Factor				
	Single Author	08/10			
	Two Authors	5.6/7			
	First/Principal/Corresponding Author (More than 2 Authors)	5.6/7			
	Joint Author (More than 2 Authors)	2.4/3			
	Research Papers in Peer-Reviewed or UGC-listed (Refereed) Journals without Impact Factor (Refereed Journals to be determined as per cite score/SNIP/SJR and indexing in SCI/SCOPUS/Web of Sciences/Arts &Humanities Citation Index/SCI Expanded/Social Science Citation Index)				
	Single Author	13/15			
	Two Authors	9.1/10.5			
	First/Principal/Corresponding Author (More than 2 Authors)	9.1/10.5			
	Joint Author (More than 2 Authors)	3.9/4.5			
	Research Papers in Peer-Reviewed or UGC-listed with Impact Factor less than 1 (Impact factor to be determined as per Thomson Reuters list currently known as Clarivate Anlytics)				
	Single Author	18/20			
	Two Authors	12.6/14			
	First/Principal/Corresponding Author (More than 2 Authors)	12.6/14			
	Joint Author (More than 2 Authors)	5.4/6			

	Research Papers in Peer-Reviewed or UGC-listed with Impact Factor between 1 and 2 (Include 1 not 2) (as per Thomson Reuters list)					
	Single Author	23/25				
	Two Authors	16.1/17.5				
	First/Principal/Corresponding Author (More than 2 Authors)	16.1/17.5				
	Joint Author (More than 2 Authors)	6.9/7.5				
	Research Papers in Peer-Reviewed or UGC listed with Impact Factor between 2 and 5 (Include 2 not 5) (as per Thomson Reuters list)					
	Single Author	28/30				
	Two Authors	19.6/21				
	First/Principal/Corresponding Author (More than 2 Authors)	19.6/21				
	Joint Author (More than 2 Authors)	8.4/9				
	Research Papers in Peer-Reviewed or UGC listed with Impact Factor between 5 and 10 (Include 5 not 10) (as per Thomson Reuters list)					
	Single Author	33/35				
	Two Authors	23.1/24.5				
	First/Principal/Corresponding Author (More than 2 Authors)	23.1/24.5				
	Joint Author (More than 2 Authors)	9.9/10.5				
	Research Papers in Peer-Reviewed or UGC listed with Impact Factor > 10 (Include 10) (as per Thomson Reuters list)					
	Single Author	38/40				
	Two Authors	26.6/28				
	First/Principal/Corresponding Author (More than 2 Authors)	26.6/28				
	Joint Author (More than 2 Authors)	11.4/12				
			Sub Total (Part 1)			
2 (a)	**Books Authored**					
	Published by International Publishers	12/12				
	Published by National Publishers	10/10				
	Publication of Chapter in Edited Books	5/5				
	Editor of Book by International Publishers					
	Editor of Book by International Publishers	10/10				
	Editor of Book by National Publishers	8/8				
2 (b)	**Translation Works in Indian and Foreign languages**					
	Chapter or Research Paper	3/3				

	Translation Work of Book	8/8			
		Sub Total (Part 2)			
3	**Creation of ICT-mediated Teaching Learning pedagogy and content and development of new and innovative courses and curricula**				
3 (a)	Development of Innovative pedagogy; Contributor / Contributors	5/5			
3 (b)	**Design of New Curricula and Courses (ICT Based)**				
	Contributor / Contributors	2/2			
3 (c)	**Development of Complete MOOC's in 4 Quadrant (4 Credit Course)**				
	4 Credit Course	20/20			
	3 Credit Course	15/15			
	2 Credit Course	10/10			
	1 Credit Course	5/5			
	MOOCs (developed in 4 quadrant) per module / lecture				
	Module / Lecture Creator (Per Module)	5/5			
	Content writer/subject matter expert for each module of MOOCs (at least one quadrant)				
	Content Writer / Subject Matter Expert (Per Module)	2/2			
	Course Coordinator for MOOCs				
	4 Credit Course	8/8			
	3 Credit Course	6/6			
	2 Credit Course	4/4			
	1 Credit Course	2/2			
3 (d)	**Development of E-Content in 4 quadrants for a Complete Course / E-Book**				
	E-Content in 4 quadrants for a Complete Course / E-Book	12/12			
	E-Content (developed in 4 quadrants) per module				
	Module(s)	5/5			
	Contribution to development of E-Content module in Complete Course / Paper / E-Book (at least one quadrant)				
	Contributor	2/2			
	Editor of E-Content for Complete Course / Paper / E-Book				
	Editor	10/10			

			Sub Total (Part 3)			
4 (a)	**Research Guidance**					
	Ph.D. Guidance (Degree Awarded)					
	Ph.D. Guidance (Awarded) (Single Supervisor)	10/10				
	Ph.D. Guidance (Awarded) (Supervisor in Joint Guidance)	7/7				
	Ph.D. Guidance (Awarded) (Co-Supervisor in Joint Guidance)	7/7				
	Ph.D. Guidance (Thesis Submitted)					
	Ph.D. Guidance (Submitted) (Single Supervisor)	5/5				
	Ph.D. Guidance (Submitted) (Supervisor in Joint Guidance)	3.5/3.5				
	Ph.D. Guidance (Submitted) (Co-Supervisor in Joint Guidance)	3.5/3.5				
	M.Phil./P.G Dissertation Guidance					
	M.Phil./P.G Dissertation (Single Supervisor)	2/2				
	M.Phil./P.G Dissertation (Supervisor in Joint Guidance)	1.4/1.4				
	M.Phil./P.G Dissertation (Co-Supervisor in Joint Guidance)	1.4/1.4				
4 (b)	**Research Project Completed (More than 10 Lakhs)**					
	Sole Investigator	10/10				
	Principal Investigator in Joint Project	5/5				
	Co-investigator in Joint Project	5/5				
	Research Project Completed (Less than 10 Lakhs)					
	Sole Investigator	5/5				
	Principal Investigator in Joint Project	2.5/2.5				
	Co-investigator in Joint Project	2.5/2.5				
4 (c)	**Research Project Ongoing (More than 10 Lakhs)**					
	Sole Investigator	5/5				
	Principal Investigator in Joint Project	2.5/2.5				
	Co-investigator in Joint Project	2.5/2.5				
	Research Project Ongoing (Less than 10 Lakhs)					
	Sole Investigator	2/2				
	Principal Investigator in Joint Project	1/1				

	Co-investigator in Joint Project	1/1			
4 (d)	**Consultancy**				
	Consultancy	3/3			
		Sub Total (Part 4)			
5 (a)	**Patent**				
	International	10/10			
	National	7/7			
5 (b)	**Policy Document (International Body/Organization/Central Govt. or State Govt.)**				
	International	10/10			
	National	7/7			
	State	4/4			
5 (c)	**Awards / Fellowship**				
	International	7/7			
	National	5/5			
		Sub Total (Part 5)			
6	**Invited lectures / Resource Person/ paper presentation in Seminars/ Conferences/full paper in Conference**				
	International (Abroad)	7/7			
	International (Within Country)	5/5			
	National	3/3			
	State University	2/2			
		Sub Total (Part 6)			
	Total Score without Capping				
	Total Score of 5(b) + 6				
	Capped Score of 5(b) + 6 (30 % of Total Score of 5(b) + 6)				
	Total Score with Capping, wherever applicable				
	FINAL OBTAINED SCORE (API)				

Summary of Grading Criteria and Academic and Research Scores:

Categories	Year-1	Year-2	Year-3	Year-4	Year-5	Year-6
Activity 1: Teaching						
Activity 2: Involvement in the students related activities/research activities						
Total of Activity 1 and Activity 2						
Table 2: Academic and Research Score (after applying cap, wherever applicable)						

Part-C: Other Relevant Information:

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

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

(Attach documentary proof in support of the information provided by you in this proforma)

List of Enclosures: (Please attach copies of certificates, sanction orders, papers, notifications etc., wherever necessary)

1.
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I hereby declare that the information/documents provided by me are correct to the best of my knowledge and verifiable. I have carefully read the relevant provisions relating to promotion under Career Advancement Scheme (CAS) contained in UGC Regulations, 2018 as amended from time to time.

Date…………………………

Place…………………………

Signature & Designation of the Applicant

Forwarding by Head of the Department

Forwarding by Dean of Faculty

Methodology for University and College Teachers for calculating Academic/Research Score

(Assessment must be based on evidence produced by the teacher such as; copy of publications, project sanction letter, utilization and completion certificates issued by the University and acknowledgements for patent filing and approval letters, students' Ph.D. award letter, etc,.)

S.N.	Academic/Research Activity	Faculty of Sciences /Engineering / Agriculture / Medical /Veterinary Sciences	Faculty of Languages / Humanities / Arts / Social Sciences / Library /Education / Physical Education / Commerce / Management & other related disciplines
1.	**Research Papers in Peer-Reviewed or UGC listed Journals**	8 per paper	10 per paper
2.	**Publications (other than Research papers)**		
	(a) Books authored which are published by ;		
	International publishers	12	12
	National Publishers	10	10
	Chapter in Edited Book	05	05
	Editor of Book by International Publisher	10	10
	Editor of Book by National Publisher	08	08
	(b) Translation works in Indian and Foreign Languages by qualified faculties		
	Chapter or Research paper	03	03
	Book	08	08
3.	**Creation of ICT mediated Teaching Learning pedagogy and content and development of new and innovative courses and curricula**		
	(a) Development of Innovative pedagogy	05	05
	(b) Design of new curricula and courses	02 per curricula/course	02 per curricula/course
	(c) MOOCs		
	Development of complete MOOCs in 4 quadrants (4 credit course)(In case of MOOCs of lesser credits 05 marks/credit)	20	20
	MOOCs (developed in 4 quadrant) per module/lecture	05	05

	Content writer/subject matter expert for each module of MOOCs (at least one quadrant)	02	02
	Course Coordinator for MOOCs (4 credit course)(In case of MOOCs of lesser credits 02 marks/credit)	08	08
	(d) E-Content		
	Development of e-Content in 4 quadrants for a complete course/e-book	12	12
	e-Content (developed in 4 quadrants) per module	05	05
	Contribution to development of e-content module in complete course/paper/e-book (at least one quadrant)	02	02
	Editor of e-content for complete course/ paper /e-book	10	10
4	**(a) Research guidance**		
	Ph.D.	10 per degree awarded 05 per thesis submitted	10 per degree awarded 05 per thesis submitted
	M.Phil./P.G dissertation	02 per degree awarded	02 per degree awarded
	(b) Research Projects Completed		
	More than 10 lakhs	10	10
	Less than 10 lakhs	05	05
	(c) Research Projects Ongoing :		
	More than 10 lakhs	05	05
	Less than 10 lakhs	02	02
	(d) Consultancy	03	03
5	**(a) Patents**		
	International	10	10
	National	7	7
	(b) *Policy Document (Submitted to an International body/organisation like UNO/UNESCO/World Bank/International Monetary Fund etc. or Central Government or State Government)		
	International	10	10
	National	07	07

	State	04	04
	(c) Awards/Fellowship		
	International	07	07
	National	05	05
6	***Invited lectures / Resource Person/ paper presentation in Seminars/ Conferences/full paper in Conference Proceedings (Paper presented in Seminars/Conferences and also published as full paper in Conference Proceedings will be counted only once)**		
	International	07	07
	International	05	05
	National	03	03
	State/ university	02	02

The Research score for research papers would be augmented as follows :

Peer-Reviewed or UGC-listed Journals (Impact factor to be determined as per Thomson Reuters list) :

i) Paper in refereed journals without impact factor   - 5 Points
ii) Paper with impact factor less than 1   - 10 Points
iii) Paper with impact factor between 1 and 2   - 15 Points
iv) Paper with impact factor between 2 and 5   - 20 Points
v) Paper with impact factor between 5 and 10   - 25 Points
vi) Paper with impact factor >10   - 30 Points
 (a) Two authors: 70% of total value of publication for each author.
(b) More than two authors: 70% of total value of publication for the First/Principal/Corresponding author and 30% of total value of publication for each of the joint authors.
Joint Projects: Principal Investigator and Co-investigator would get 50% each.

Note:

- Paper presented if part of edited book or proceeding then it can be claimed only once.

- For joint supervision of research students, the formula shall be 70% of the total score for Supervisor and Co- supervisor. Supervisor and Co-supervisor, both shall get 7 marks each.

- *For the purpose of calculating research score of the teacher, the combined research score from the categories of 5(b). Policy Document and 6. Invited lectures/Resource Person/Paper presentation shall have an upper capping of thirty percent of the total research score of the teacher concerned.

- The research score shall be from the minimum of three categories out of six categories.

Career Advancement Scheme (CAS) for University teachers

I. Assistant Professor (Academic Level 10) to Assistant Professor (Senior Scale/Academic Level 11) Eligibility:

1. An Assistant Professor who has completed four years of service with a Ph.D. degree or five years of service with a M.Phil. / PG Degree in Professional Courses, such as LLM, M.Tech, M.V.Sc.and M.D., or six years of service in case of those without a Ph.D./M.Phil./ PG Degree in a Professional course and satisfies the following conditions:

2. Attended one Orientation course of 21 days duration

3. Any one of the following: Completed Refresher/ Research Methodology Course/ Workshop/ Syllabus Up-gradation Workshop/ Training Teaching-Learning-Evaluation, Technology Programmes/ Faculty Development Programmes of at least one week (5 days) duration, or taken one MOOCs course (with e- certification) or development of e-contents in four-quadrants / MOOC's course during the assessment period; and

4. Published one research publication in the peer-reviewed journals or UGC-listed journals during assessment period.

CAS Promotion Criteria :
A teacher shall be promoted if;

i) He/she gets a 'satisfactory' or 'good' grade in the annual performance assessment reports of at least three/four/five of the last four/five/six years He/the assessment period as the case may be (as provided in Appendix II,Table 1), and;

ii) The promotion is recommended by the screening-cum evaluation committee.

II. Assistant Professor (Senior Scale/Academic Level 11) to Assistant Professor (Selection Grade/Academic Level 12)

Eligibility:

1. Assistant Professors who has completed five years of service in Academic Level 11/Senior Scale.

2. A Ph.D. Degree in the subject relevant/allied/relevant discipline.

3. Has done any two of the following in the last five years of Academic Level 11/Senior Scale: Completed a course / programme from amongst the categories of Refresher Courses/Research Methodology/ Workshops/ Syllabus Up-gradation Workshop/ Teaching-Learning-Evaluation/ Technology Programmes / Faculty Development Programme of at least two weeks (ten days) duration (or completed two courses of at least one week (five days) duration in lieu of every single course/programme of at least two weeks (ten days) duration), or, completed one MOOCs course in the relevant subject (with e-certification); or contribution towards the development of e-content in 4-quadrant (at least one quadrant) minimum of 10 modules of a course/contribution towards the development of at least 10 modules of MOOCs course/ contribution towards conduct of a MOOCs course during the period of assessment.

4. Published three research papers in the peer-reviewed journals or UGC-listed journals during assessment period.

CAS Promotion Criteria:

A teacher shall be promoted if;

1. The teacher gets a 'satisfactory' or 'good' grade in the annual performance assessment reports of at least four of the last five years of the assessment period, (as prescribed in Appendix II, Table 1) and;

2. The promotion is recommended by the Screening-cum-evaluation committee.

III. Assistant Professor (Selection Grade/Academic Level 12) to Associate Professor (Academic Level 13A)

1. Assistant Professor who has completed three years of service in Academic Level 12/ Selection grade.

2. A Ph.D Degree in the subject concerned/allied/relevant discipline.

3. Any one of the following during last three years: completed one course / programme from amongst the categories of Refresher Courses/ Research Methodology Workshops/Syllabus Up-gradation Workshop/ Teaching-Learning-Evaluation Technology Programme/ Faculty Development Programme of at least two weeks (ten days) duration (or completed two courses of at least one week (five days) duration in lieu of every single course/programme of at least two weeks (ten days) duration); or completed one MOOCs course (with e- certification); or contribution towards the development of e-content in 4-quadrant (at least one quadrant) minimum of 10 modules of a course/contribution towards development of at least 10 modules of MOOCs course/ contribution towards conduct of a MOOCs course during the period of assessment.

4. A minimum of seven publications in the peer-reviewed or UGC-listed journals out of which three research papers should have been published during the assessment period.

5. Evidence of having guided at least one Ph.D. candidate.

CAS Promotion Criteria:

A teacher shall be promoted if;

1. He/she gets a 'satisfactory' or 'good' grade in the annual performance assessment reports of at least two of the last three years of the assessment period as specified in Appendix II,Table 1, and has a research score of at least 70 as per Appendix II,Table 2.

2. The promotion is recommended by a selection committee constituted in accordance with these Regulations.

IV. Associate Professor (Academic Level 13A) to Professor (Academic Level 14) Eligibility:

1. An Associate Professor who has completed three years of service in Academic Level 13 A.

2. A Ph.D degree in the subject concerned/allied/relevant discipline.

3. A minimum of ten research publications in the peer- reviewed or UGC-listed journals out of which three research papers should have been published during the assessment period.

4. Evidence of having successfully guided doctoral candidate.

5. A minimum of 110 Research Score as per Appendix II, Table 2.

CAS Promotion Criteria:

A teacher shall be promoted if;

1. He/she gets 'satisfactory' or 'good' grade in the annual performance assessment reports of at least two of the last three years of the assessment period, as per Appendix II,Table 1, and at least 110 research score, as per Appendix II,Table 2.

2. The promotion is recommended by a selection committee constituted in accordance with these Regulations.

V. Professor (Academic Level 14) to Senior Professor (Academic Level 15)

A Professor can be promoted to the post of Senior Professor under the CAS. The promotion shall be based on academic achievement, favourable review from three eminent subject -experts who are not of the rank lower than the rank of a Senior Professor or a Professor having at least ten years' of experience. The selection shall be based on 10 best publications during the last 10 years and interaction with a Selection Committee constituted in accordance with these Regulations.

Eligibility:

1. Ten years' experience as a Professor.

2. A minimum of ten publications in the peer-reviewed or UGC-listed journals during the assessment period. and Ph.D. degree has been successfully awarded to two candidates under his/her supervision during the assessment period.