



TAMIL UNIVERSITY, THANJAVUR

PBAS (PERFORMANCE BASED APPRAISAL SYSTEM)

Proforma (Format- I) for Promotion Under CAS

As per UGC 2016 Notification Revised as per UGC 2018 Guidelines.

General Information & Academic Background

1. Name (in Block Letters) :
2. Father's Name / Mother's Name :
3. Date of Birth :
4. Sex :
5. Marital Status :
6. Nationality :
7. Category (SC / ST / OBC) :
8. Date of Joining in the present Institution :
9. Name of the Department / Centre :
10. Present Designation & Academic Level :
11. Application for the post & Pay :
12. Assessment period :
13. Permanent address :

Photo

Email:

Mobile No:

14. Corresponding / Communication Address :

15. Details of positions held from first employment

| Name of the post | Scale of pay | Institution | Date of | | Reason for leaving |
|------------------|--------------|-------------|---------|---------|--------------------|
| | | | Joining | leaving | |
| | | | | | |
| | | | | | |

(As per service book)

16. a) Details of Orientation / Refresher Courses, Methodology Workshops, Training, Teaching-Learning-Evaluation Technology Programmes, Soft-Skills Development Programmes and Faculty Development Programmes of 2/3 week duration attended during the eligible period.

| S.No. | Name of the Course / Programme | Organized institution | Period |
|-------|--------------------------------|-----------------------|--------|
| | | | |
| | | | |

b) Whether the applicant has attended required number of :
course / programmes for promotion? (See Annexure -1)

17. Number of publications from Assistant Professor Stage 1 to stage 3 :
(For the faculty applying for the promotion from Assistant Professor Stage 3 to Associate Professor Stage 4).

18. Number of publications from Assistant Professor Stage 3 to Associate :
Professor Stage 4 (For the faculty applying for the promotion from Associate Professor Stage 4 to Professor Stage 5).

19. Whether the applicant has required number of publications for promotion? :
(See Annexure)

Certified that the details given above are true.

Signature of the Applicant

Place :

Date :

Countersigned by
Head of the Department

Signature
Dean of the Concerned Faculty

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

| S.No. | Promotion of Teachers through CAS | Service Requirement | Minimum Academic Performance Requirements and Screening/Selection Criteria |
|--------------|---|---|--|
| 1 | Assistant Professor/ equivalent cadres from Academic Level-10 to SS/ Academic Level-11. (Stage 1 to 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. | <p>(i) Minimum cumulative API scores using PBAS scoring proforma developed by the UGC.</p> <p>(ii) One Orientation and one Refresher / Research Methodology Course of 2/3 weeks duration.</p> <p>(iii) Screening cum Verification process for recommending promotion.</p> |
| 2 | Assistant Professor/ equivalent cadres from SS/ AL-11 to SG/AL-12. (Stage 2 to 3) | Assistant Professor with completed service of five years in Stage 2. | <p>(i) Minimum cumulative API scores using PBAS scoring proforma developed by the UGC.</p> <p>(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.</p> <p>(iii) Screening cum Verification process for recommending promotion.</p> |
| 3 | Assistant Professor (SG/AL-12) to Associate Professor (AL-13A) (Stage 3 to 4) (FOR ASSESSMENT PERIOD) | Assistant Professor with completed service of three years in Stage 3. | <p>(i) Minimum cumulative API scores using PBAS scoring proforma developed by the UGC.</p> <p>(ii) At least three publications in the entire period as Assistant Professor.</p> <p>(iii) One Course/Programme from among the categories of Methodology Workshops, Training, Teaching-Learning-Evaluation Technology Programmes, Soft-Skills</p> |

| | | | |
|----------|--|---|---|
| | ONLY) | | <p>Development Programmes and Faculty Development Programmes of minimum one week duration.</p> <p>(iv) A selection committee process as specified by UGC.</p> |
| 4 | <p>Associate Professor (AL-13A) to Professor (AL-14) (Stage 4 to 5)</p> <p>(FOR ASSESSMENT PERIOD ONLY)</p> | Associate Professor with completed service of three years in Stage 4. | <p>(i) Minimum cumulative API scores using PBAS scoring proforma developed by the UGC. Teachers may combine two assessment periods (in Stages 2 and 3) to achieve minimum API scores, if required.</p> <p>(ii) At least five publications since the period that the teacher is placed in Stage 3.</p> <p>(iii) A selection committee process as specified by UGC.</p> |

TAMIL UNIVERSITY
ACADEMIC PERFORMANCE INDICATORS (APIs)
FOR PROMOTION UNDER CAREER ADVANCEMENT SCHEME

Category-I : Teaching, Learning and Evaluation Related Activities

Exempted from Scoring under Category-I.

Category-II : Professional Development, Co-Curricular and Extension Activities

II A) Student related co-curricular, extension and field based activities

List of activities to be considered in this sub-category

- (i) *Discipline related co-curricular activities (e.g. Remedial Classes (**RC**), Career Counseling (**CC**), Study Visit (**SV**) and Student Seminar (**SS**), Other Events (**OE**))*
- (ii) *Other co-curricular activities (Cultural (**CA**), Sports (**SA**), **NSS**, **NCC**, Other Events (**OE**))*
- (iii) *Extension and dissemination activities (Public/popular/lectures/talks/seminars (**EDA**), Other Events (**OE**))*

Table -1: Total Hours

For each entry attach a supporting document. Entered hours to be meaningful

| Academic year | Actual hours spent for | | | | | | | | | | Total hours spent |
|---------------|------------------------|----|----|----|----|----|-----|-----|-----|----|-------------------|
| | RC | CC | SV | SS | CA | SA | NSS | NCC | EDA | OE | |
| | | | | | | | | | | | |
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| | | | | | | | | | | | |

Table -2: API Calculation

Assessment Period :

| Academic year | Total hours spent (from the above table-1) (A) | Actual score = A/10 | Score earned in each academic year (Max. 15 for each academic year) |
|---|--|---------------------|---|
| | | | |
| | | | |
| | | | |
| Total Score Earned in the Assessment Period = | | | |

II B) Contribution to corporate life and management of the department and institution through participation in academic and administrative committees and responsibilities

List of activities to be considered in this sub-category

- (i) *Administrative responsibility (including as **Dean**, Principal (**Prin.**), Chairperson (**Chair**), Convener (**Conv.**), Teacher-in-charge (**TiC**), similar other duties (**OD**) that require regular office hours for its discharge)*
- (ii) *Participation in Board of Studies (**BoS**), Academic and Administrative Committees (**AAC**)*

Table -1: Total Hours

Assessment Period :

| Academic year | Actual hours spent for | | | | | | | | Total hours spent |
|---------------|------------------------|-------|-------|-------|-----|-----|-----|----|-------------------|
| | Dean | Prin. | Chair | Conv. | TiC | BoS | AAC | OD | |
| | | | | | | | | | |
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Table -2: API Calculation

Assessment Period :

| Academic year | Total hours spent (from the above table-1) (A) | Actual score = A/10 | Score earned in each academic year (Max. 15 for each academic year) |
|---|--|---------------------|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| Total Score Earned in the Assessment Period = | | | |

II C) Professional Development Activities

List of activities to be considered in this sub-category

- (i) Participation in Seminars/Conferences/Workshops (**SCW**)
- (ii) Participation in Short Term Training Courses (**STTC**)
- (iii) Participation in Industrial Experience (**IE**)
- (iv) Talks and Lectures in Refresher and Faculty Development Courses (only) (**Talks**)
- (v) Dissemination and General Articles (**DGA**)
- (vi) Any other related contributions (**ORC**)

For Lectures and Papers presented in Seminars and Conferences see Category III E

Table -1: Total Hours

Assessment Period :

| Academic year | Actual hours spent for | | | | | | Total hours spent |
|---------------|------------------------|------|----|-------|-----|-----|-------------------|
| | SCW | STTC | IE | Talks | DGA | ORC | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

Table -2: API Calculation

Assessment Period :

| Academic year | Total hours spent (from the above table -1) (A) | Actual score = A/10 | Score earned in each academic year (Max. 15 for each academic year) |
|---|---|---------------------|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| Total Score Earned in the Assessment Period | | | |

Summary of Category II

| Assessment Period | Score earned in | | | Total Score |
|-------------------|-----------------|------|------|-------------|
| | II A | II B | II C | |
| | | | | |

There shall be no minimum score requirement for Category-II individually.

Category-III : Research and Academic Contributions

III. A) Research Papers Publication

Papers published in Refereed Journals (RJ) and other Reputed Journals (ORJ) as notified by the UGC

Score to a Refereed Journal Paper

| Points for a paper with the impact factor (IF) | | | | |
|--|------------------------|------------------------|-------------------------|--------------|
| IF < 1 | $1 \leq \text{IF} < 2$ | $2 \leq \text{IF} < 5$ | $5 \leq \text{IF} < 10$ | IF ≥ 10 |
| 5 | 10 | 15 | 20 | 25 |

Score to an Other Reputed Journal Paper = 10

Score to the author:

Single author Publication

Single Your score is 100% of the points of the paper.

For a Joint Publication with two authors

JP70 You are the first author and also the principal author / corresponding author / supervisor / mentor then your score is 70% of the points of the paper.

JP50 You are the first author but not the principal author / corresponding author / supervisor / mentor **OR** You are the second author but also the principal author / corresponding author / supervisor / mentor then your score is 50% of the points of the paper.

JP30 You are the second author but not the principal author / corresponding author / supervisor / mentor then your score is 30% of the points of the paper.

For a Joint Publication with more than two authors

JP70 You are the first author and also the principal author / corresponding author / supervisor / mentor then your score is 70% of the points of the paper.

JP35 You are the first author but not the principal author / corresponding author / supervisor / mentor then your score is 35% of the points of the paper.

JP35 You are not the first author but the principal author / corresponding author / supervisor / mentor then your score is 35% of the points of the paper.

JP30/N You are neither the first author nor the principal author / corresponding author / supervisor / mentor. If there are N such authors (including you) then your score is $(30/N)\%$ of the points of the paper.

Attach a list of publications. For each publication give names of all authors, title of the paper, name of the journal, volume number, pages, month and year of publication.

Assessment Period :

| S. No. of the publication in the attached list | RJ OR ORJ | Impact factor (if the journal is RJ) | Score to the paper | Nature of authorship (Single / JP30 / JP35 / JP50 / JP70 / JP30/N (Give the value of N)) | Score to the author |
|--|-----------------|--------------------------------------|--------------------|---|---------------------|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| Total = | | | | | |

III. B) Research Publications (Books and Chapters in Books)

Score to the author:

Single Author Book/Chapter

Your score is 100% of the points of the book/chapter in the book.

For a Book/Chapter in a Book with two authors

JP70 You are the first author and also the principal author / corresponding author / Supervisor / mentor then your score is 70% of the points of the book / chapter.

JP50 You are the first author but not the principal author / corresponding author / Supervisor / mentor **OR** You are the second author but also the principal author / corresponding author / supervisor / mentor then your score is 50% of the points of the paper.

JP30 You are the second author but not the principal author / corresponding author / Supervisor / mentor then your score is 30% of the points of the book / chapter.

For a Book/Chapter in a Book with more than two authors

JP70 You are the first author and also the principal author / corresponding author supervisor / mentor then your score is 70% of the points of the book / chapter.

JP35 You are the first author but not the principal author / corresponding author / supervisor / mentor then your score is 35% of the points of book / chapter.

JP35 You are not the first author but the principal author / corresponding author / supervisor / mentor then your score is 35% of the points of the book / chapter.

JP30/N You are not the first author and also not the principal author / corresponding author / supervisor / mentor. If there are N such authors (including you) then your score is $(30/N)\%$ of the points of the book/chapter.

III. B(i) Text or Reference Books published by international publishers with ISBN/ISSN numbers as approved by the University and posted on the website and intimated to UGC.

Score for a Book = 30

Assessment Period:

| Details of the Book (Title/Authors/ Publisher/ Month and year of publication) | ISBN / ISSN number | Nature of authorship (Single / JP30 / JP35 / JP50 / JP70/ JP30/N (Give the value of N)) | Score Earned |
|--|-----------------------|---|-----------------|
| | | | |
| Total = | | | |

III. B(ii) Subject Books published by national level publishers with ISBN / ISSN number or State / Central Government Publications as approved by the University and posted on the website and intimated to UGC.

Score for a Book = 20

Assessment Period:

| Details of the Book (Title/Authors/ Publisher/ Month and year of publication) | ISBN / ISSN number | Nature of authorship (Single / JP30 / JP35 / JP50 / JP70/ JP30/N (Give the value of N)) | Score Earned |
|--|-----------------------|---|-----------------|
| | | | |
| Total = | | | |

III. B(iii) Subject Books published by other local publishers with ISBN/ISSN number as approved by the University and posted on the website and intimated to UGC.

Score for a Book = 15

Assessment Period:

| Details of the Book (Title/Authors/ Publisher/ Month and year of publication) | ISBN / ISSN number | Nature of authorship (Single / JP30 / JP35 / JP50 / JP70/ JP30/N (Give the value of N)) | Score Earned |
|--|--------------------------|---|--------------|
| | | | |
| | | | |
| | | | |
| Total = | | | |

III. B(iv) Chapters in Books published by International /National level publishers with ISBN / ISSN number as approved by the University and posted on the website and intimated to UGC.

Score : International Publ. = 10 per chapter; National Publ. = 5 per chapter

Assessment Period :

| Details of the Book and the Chapter (Title/Authors/ Publisher/Month and year of publication) | ISBN / ISSN number and International/National Publisher | Nature of authorship (Single / JP30 / JP35 / JP50 / JP70 / JP30/N (Give the value of N)) | Score Earned |
|--|---|---|--------------|
| | | | |
| | | | |
| Total = | | | |

Summary of Category III. B

| Assessment period | Score in III B | | | | |
|-------------------|----------------|------|-------|------|-------|
| | (i) | (ii) | (iii) | (iv) | Total |
| | | | | | |

III. C) Research Projects

III. C (i) Sponsored Projects

Score for a Major/Minor Project

| Faculty of Sciences/Engineering | Faculties of Languages / Humanities / Arts / Social Sciences / Library / Physical Education / Management | Score for the Project |
|--|--|-----------------------|
| Major project with grant above Rs. 30 lakhs | Major project with grant above Rs. 5 lakhs | 20 |
| Major project with grant above Rs. 5 lakhs up to Rs. 30 lakhs | Major project with grant above Rs. 3 lakh upto 5 lakhs | 15 |
| Minor project with grant above Rs. 1 lakh up to Rs. 5 lakhs | Minor project with grant above Rs. 1 lakh up to Rs. 3 lakhs | 10 |

Score for an Investigator

Project with Single Investigator : 100%

Project with more than one Investigator : 70% for PI and equal sharing of 30% by the remaining Investigators

Assessment Period :

| Details of the project (Title / Funding Agency / Total budget / Names of PI & all Co-PIs) | Duration (starting month and year – Ending month and year) | Major / Minor | Status (PI/ Co-PI) | Score |
|---|--|---------------|--------------------|-------|
| | | | | |
| Total = | | | | |

III. C(ii) Consultancy Projects

Score for a Project

| | Minimum amount to be mobilized | Score |
|--|--------------------------------|---------------------------|
| Faculty of Sciences/Engineering | Rs. 10 lakhs | 10 for every Rs. 10 lakhs |
| Faculties of Languages / Humanities / Arts / Social Sciences / Library / Physical Education / Management | Rs. 2 lakhs | 10 for every Rs. 2 lakhs |

Score for an Investigator

Project with Single Investigator : 100%

Project with more than one Investigator : 70% for PI and equal sharing of 30% by the remaining Investigators

Assessment Period :

| Details of the project (Title / Funding Agency / Names of PI & all Co-PIs) | Duration (starting month and year – Ending month and year) | Amount mobilized (in lakhs) | Score |
|--|--|-----------------------------|-------|
| | | | |
| Total = | | | |

III C(iii) Projects Outcome / Outputs

Score for a Project

| | Nature of outcome | Score |
|--|--|--|
| Faculty of Sciences/Engineering | Patent / Technology transfer / Product / Process | 30 for international level 20 for national level |
| Faculties of Languages / Humanities / Arts / Social Sciences / Library / Physical Education / Management | Major Policy document prepared for international bodies like WHO / UNO / UNESCO / UNICEF etc. Central / State Govt. / Local Bodies | 30 for major policy document of international bodies 20 for central govt. 10 for state govt. 5 for local bodies |

Score for an Owner of the Outcome / Output

Single Ownership : 100%

More than one Ownership : 70% for First Owner and equal sharing of 30% by the remaining Owners

Assessment Period :

| Name and date of the outcome /output | Names of all the owners | Status (International/ National / State / Local) | Score to the outcome/ output | Score to the faculty |
|--------------------------------------|-------------------------|--|------------------------------|----------------------|
| | | | | |
| Total = | | | | |

Summary of Category III C

| Assessment Period | Score in IIIC | | | |
|-------------------|---------------|------|-------|-------|
| | (i) | (ii) | (iii) | Total |
| | | | | |

III. D) Research Guidance

III. D(i) M.Phil. degree awarded only

Score : 5 per candidate

Assessment Period :

| S.No. | Name of the candidate | Date of viva-voce exam. | Number of candidates | Score |
|-------|-----------------------|-------------------------|----------------------|-------|
| | | | | |
| | | | | |

III. D(ii) Ph.D. degree awarded / thesis submitted

There should not be duplication in claim for scores for thesis submitted and awarded.

Points to a Ph.D thesis: Degree awarded = 15; thesis submitted = 10

Score to the Guide for a Ph.D. thesis supervision without co-guide = 100%

For a joint supervision: Score to the Guide = 70%;

Score to the Co-Guide = 30%

| Name of the candidate | Thesis submitted / Degree awarded | Date of thesis submitted / viva-voce exam. | Guidance (Single / Joint) | Status of the faculty (Guide / Co-guide) | Score to the faculty |
|-----------------------|-----------------------------------|--|---------------------------|--|----------------------|
| | | | | | |
| | | | | | |
| Total = | | | | | |

Summary of Category III D

| Assessment period | Score | | |
|-------------------|----------|-----------|-------|
| | III D(i) | III D(ii) | Total |
| | | | |

III. E) Fellowships, Awards and Invited Lectures Delivered in Conferences / Seminar

III. E(i). Fellowships and Awards (F/A)

Score for a Fellowship/Award

| Faculty of Sciences/Engineering | Faculties of Languages / Humanities / Arts / Social Sciences / Library / Physical Education / Management | Score | |
|---|--|------------|-------|
| | | Fellowship | Award |
| International F/A from academic bodies | International F/A from academic bodies/association | 15 | 15 |
| National F/A from academic bodies | National F/A from academic bodies/association | 10 | 10 |
| State/Univ. level Award (only) from acad. bodies | State/Univ. level Award (only) from acad. bodies/association | -- | 5 |

Assessment Period :

| Name of the Fellowship/Award | Date of award | Name of the Body/Association | Level (Intl./ Natl. /State / Univ.) | Score |
|------------------------------|---------------|------------------------------|-------------------------------------|-------|
| | | | | |
| | | | | |
| Total = | | | | |

III. E(ii). Invited Lectures/Papers Presented by the Faculty

Score for a Lecture/Paper

| Activity | Score | | |
|----------|---------------------|----------------|------------------------|
| | International Level | National Level | State/University Level |
| Lecture | 7 | 5 | 3 |
| Paper | 5 | 3 | 2 |

Assessment Period :

From Stage to Stage (Fillup the Stages) Stage to Stage

| Activity | Details of activity (Name of the Programme, Place, Duration and Date of Presentation) | Level (Intl./ Natl. /State / Univ) | Score |
|----------|---|------------------------------------|-------|
| | | | |
| | | | |
| Total = | | | |

Summary of Category III E

| Assessment period | Score | | |
|-------------------|----------|-----------|-------|
| | III E(i) | III E(ii) | Total |
| | | | |

III. F) Development of e-Learning Delivery Process/Material

Score for a module = 10

Score for a faculty:

Single author module = 10

Joint authors module : 7 for the first author;

Equally sharing of 3 by other authors.

Assessment Period :

| S.No. | Title of the developed e-learning delivery process/material, name of all authors and date of publication/presentation | Score |
|---------|---|-------|
| | | |
| | | |
| Total = | | |

Score Earned in Category III

| Assessment period | Score | | | | | | Total |
|-------------------|-------|-------|-------|-------|-------|-------|-------|
| | III A | III B | III C | III D | III E | III F | |
| | | | | | | | |

Score Earned in Categories (II+III)[#] = + =

[#] Minimum score required: **90**for Assistant Professor AL-10 to AL-11/SS;

120for Assistant Professor AL-11/SS to AL-12/SG;

150for Assistant Professor AL-12 to Associate Professor AL-13A ;

180for Associate Professor AL-13A to Professor AL-14;

Declaration

I _____, hereby declare that the particulars furnished above are true to my knowledge and are supported by documentary evidences.

Place :

Date :

Signature of the

Applicant

List of Enclosures

- 1.
- 2.
- 3.
- 4.

Minimum AIPs to be Applied for the Promotion of Teachers Under Career Advancement Scheme (CAS) in University Departments

| Category and Activity | Assistant Professor (Stage 1 to Stage 2) | Assistant Professor (Stage 2 to Stage 3) | Assistant Professor (Stage 3) to Associate Professor (Stage 4) | Associate Professor (Stage 4) to Professor (Stage 5) |
|---|---|---|--|--|
| Category I: Teaching, Learning and Evaluation Related Activities | Exempted | Exempted | Exempted | Exempted |
| Category II: Professional Development, Co-Curricular and Extension Activities | No Minimum | No Minimum | No Minimum | No Minimum |
| Category III: Research and Academic Contributions | No Minimum | No Minimum | No Minimum | No Minimum |
| Category II + Category III | 90 / Assessment Period | 120 / Assessment Period | 150 / Assessment Period | 180 / Assessment Period |
| Category IV: Expert Assessment System | Screening cum evaluation committee | Screening cum evaluation committee | Selection committee | Selection committee |
| Category V: Percentage of 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 performance |

Page Numbers of Supporting Documents

Name :

| Category | Page Number(s) of Supporting Documents | Category | Page Number(s) of Supporting Documents |
|---|--|------------|--|
| General Information Orientation course etc. | | II C SCW | |
| | | II C STTC | |
| II A RC | | II C IE | |
| II A CC | | II C Talks | |
| II A SV | | II C DGA | |
| II A SS | | II C ORC | |
| II A CA | | | |
| II A SA | | III A | |
| II A NSS | | III B(i) | |
| II A NCC | | III B(ii) | |
| II A EDA | | III B(iii) | |
| II A OE | | III B(iv) | |
| II B Dean | | III C(i) | |
| II B Prin. | | III C(ii) | |
| II B Chair | | III C(iii) | |
| II B Conv. | | III D(i) | |
| II B TiC | | III D(ii) | |
| II B BoS | | III E(i) | |
| II B AAC | | III E(ii) | |
| II B OD | | III F | |

