

Self-Assessment-Cum-Performance Appraisal Forms
API - PBAS Proforma

Name of the Institute/College.

Name of Department:

Under CAS Promotion for :Stage/ Level
For

Faculty of

Reference: i) The Gazette of India: Extraordinary, Part III Section 4 dated 18th July, 2018
ii) Government of Maharashtra Misc. – 2018.CR 56/18/ UNII date 8th March, 2019
iii) Government of Maharashtra Misc. – 2018.CR 56/18/ UNII date 10th May, 2019

ACADEMIC YEAR: -----

PART A: GENERAL INFORMATION AND ACADEMIC BACKGROUND

- 1 Name (in Block Letters) :
- 2 Department :
- 3 Current Designation & Academic Level :
- 4 Date of last Promotion :
- 5 Current position and Academic Level of an applicant under CAS :
- 6 The designation and grade pay applied for under CAS :
- 7 Date of eligibility for promotion :
- 8 Address (with Pin code) :

Telephone / Mobile No :
E-mail :

9 Academic Qualifications (from S.S.C. till Post-Graduation):

Examinations	Name of the Board / University	Year of Passing	Percentage of Marks Obtained	Division / Class / Grade	Subject

10 Research Degree(s):

Degrees	Title	Date of Award	Name of University
M. Phil.			
Ph.D. / D.Phil.			
D.Sc. / D.Litt./ Any other			

11. Appointments held prior - joining this institution: (Please attach relevant certificates of service / experience)

Designation	Name of Employer	Essential Qualifications for the post at the time of Appointment	Nature of Appointment (Regular/ Fixed term / Temporary / Adhoc)	Nature of Duties	Date of Joining	Date of Leaving	Salary with Grade	Reason of leaving

Designation	Department	Date of Joining		Grade Pay / Pay Matrix Level
		From	To	

12. Posts held after appointment at this institution:**13 Period of teaching experience :****P.G. Classes (In Years):****U.G. Classes (In Years):****14 Research Experience excluding years spent in M. Phil. / Ph. D. (In Years):****15 Fields of Specialization under the Subject / Discipline :**

16 Human Resource Development Center Orientation / Refresher Course / FDP/ MOOC / One-Two week courses attended so far:

Name of the Course	Place	Duration	Name of Organizer

Name & Signature of Teacher

PART B: ACADEMIC PERFORMANCE INDICATORS (API):

Based on the teacher's self-assessment, API scores are proposed for (1) teaching related activities; domain knowledge; (2) Involvement in University / College student's related activities / research activities. 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. University may detail the activities, in case institutional specificities require, and adjust the weightages without changing the minimum total API scores required under this category

Table 1
Assessment Criteria and Methodology for University/College Teachers

1. Teaching					
Category	Name of Activity	Unit of Calculation		Self-Appraisal Grading	Verified API Grading by Committee
		Actual Class spent per year	% of Teaching	For Assistant Professor/ Associate Professor/ Professor i) Good: 80 % & above ii) Satisfactory :Below 80% but 70% & above iii) Not satisfactory: Less than 70%	
	(1)	(2)	(3)	(4)	
1	Teaching: (Number of classes taught/total classes assigned) x100% (Classes taught includes sessions on tutorials, lab and other teaching related activities) (Teaching: Black board Teaching: ICT based Practical / Laboratory Tutorials / Assignments / Project, Field Work Group Discussion, Seminars Remedial Teaching, Clarifying doubts within and outside the class hours Additional teaching to support counseling and mentoring)				
	Total Actual hours spent				
2. Involvement in the University/College students related activities/research activities					
2	Activities	Total days Spent per year		Self-Appraisal Grading For Assistant Professor / Associate Professor / Professor i) Good : Involved in at least 3 activities ii) Satisfactory :1-2 activities iii) Not-satisfactory: Not involved/undertaken any of the activities Note: Number of activities can be within or across the broad categories of activities.	Verified API Grading by Committee
	(1)	(2)		(4)	
	(a) Administrative responsibilities such as Head, Chairperson/ Dean / Director /IQAC Coordinator/ different t committees/ Warden, etc.				

	(b) Examination and evaluation duties assigned by the college / university or attending the examination paper evaluation. (i) <i>Question Paper Setting</i> ii) <i>Invigilation/ Supervision</i> iii) <i>Flying Squad</i> iv) <i>CS/ ACS/ Custodian</i> v) <i>CAP Director/ Assistant Director</i> vi) <i>Unfair Menace Committee</i> vii) <i>Grievance Committee</i> viii) <i>Internal Assessment</i> ix) <i>External Assessment</i> x) <i>Re-valuation</i> xi) <i>Result Preparation (College Level for Internal Assessment)</i> xii) <i>RRC/RAC Committee</i> xiii) <i>M. Phil., Ph. D. Thesis evaluation / any other)</i>			
	(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) Institutional Governance / Participation in State/ Central bodies/ Committee on education, Research and National development etc. (Govt. Nominee/ Nodal officer/ Enquiry committee member/Inspection committee member/ state Govt. Workshop committee/Govt. CAS Committee/Subject expert/			
	(d) Organizing seminars/ conferences/ workshops, etc and other college/university activities.			
	(e) Evidence of actively involved in guiding Ph.D. students i) <i>No. of Registered candidate :</i> ii) <i>No. of Awarded Candidates:</i>			
	(f) Conducting Minor or Major Research Project sponsored by national or international agencies. i) <i>Above 10 Lacs:</i> ii) <i>Below 10 Lacs</i>			
	(g) At least one single or joint publication in peer- reviewed or UGC list of Journals.			
Overall Grading: Good: <i>Good in teaching and satisfactory or good in activity at S.No.2. Or</i> Satisfactory: <i>Satisfactory in teaching and good or satisfactory in activity at S.No.2.</i> Not Satisfactory: <i>If neither good nor satisfactory in overall grading.</i>				

Note: For the purpose of assessing the grading of Activity at Serial No. 1 and Serial No. 2, all such periods of duration which have been spent by the teacher on different kinds of paid leaves such as Maternity Leave, Child Care Leave, Study Leave, Medical Leave, Extraordinary Leave and Deputation shall be excluded from the grading

assessment. The teacher shall be assessed for the remaining period of duration and the same shall be extrapolated for the entire period of assessment to arrive at the grading of the teacher. The teacher on such leaves or deputation as mentioned above shall not be put to any disadvantage for promotion under CAS due to his/her absence from his/her teaching responsibilities subject to the condition that such leave/deputation was undertaken with the prior approval of the competent authority following all procedures laid down in these regulations and as per the acts, statutes and ordinances of the parent institution.

Table 2
Methodology for Institute 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.,)

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 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 and for direct recruitment of Associate Professor and Professor.

(1) Research Papers in Peer-Reviewed or UGC listed Journals: (Please refer points as per UGC notification)

Sr. No.	Title of paper	Journal Name, Page nos., Vol. no., Issue no., Year of publication	ISSN / ISBN NO.	Impact Factor if any	No. of Co-Authors	Whether Principal Author / Supervisor/ Co-supervisor	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1									
2									
3									
Total (1)									

(2) (a) Publications (other than Research papers) (Books, Chapters in Books)

(i) Books Published with ISSN / ISBN number

International Publisher: 12 points per Book for Single Author

Sr. No.	Title of Book with no. of pages	Publishers name with ISSN / ISBN NO.	International / National Publisher	No. of Co-Authors	Whether Principal Author / Co-Author	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1								
2								
Sub Total: (2)(a)(i):								

National Publisher: 10 points per Book for Single Author, etc. as per Appendix II Table 2 (GR:8/3/19)

(2) (a)(ii) Chapter in Edited Book with ISSN / ISBN

(5 points per Chapter)

Sr. No.	Title of Chapter with Page Nos.	Name of Book	Publisher Name & ISSN / ISBN NO.	No. of Co-Authors	Whether Principal Author / Co-Author	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1								
2								

	Sub Total: (2)(a)(ii)			
--	------------------------------	--	--	--

(2) (a) (iii) Editor of Book with ISSN / ISBN number**Editor of Book by International Publisher: 10 points per Book for Single Author****Editor of Book by National Publisher: 8 points per Book for Single Author**

Sr. No.	Title of Book with Page Nos.	Publisher Name & ISSN / ISBN NO.	International / National Publisher	No. of Co-Authors	Whether Principal Author / Co-Author	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1								
2								
Sub Total (2)(a)(iii)								

(2) (b) Translation works in Indian and Foreign Languages by qualified faculties**(3 points per Chapter or Research paper)****(8 points per Book)**

Sr. No.	Original Title of Chapter or Research paper / Book with Page Nos. Nos. ISSN / ISBN NO.	Name Of Original Author	Translated Title of Chapter or Research paper / Book with Page Nos. ISSN / ISBN NO.	No. of Translated Co-Authors	Whether Principal Author / Co-Author	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1								
2								
Sub Total (2)(b)								
Total (2) : (2)(a)(i) + (2)(a)(ii) + (2)(a)(iii) + (2)(b)								

(3) Creation of ICT mediated Teaching Learning pedagogy and content and development of new and innovative courses and curricula

Sr. No.	Title of Innovative pedagogy	Sponsored Agency if any	Types of Teaching-Learning Environments: Face-to-face/ Networked/ Open and distance/ Virtual / if any	Specify ICTs resources: web link : YouTube Videos-Audios/ Smart Classroom / Simulation Games/ Blogging/ Online Discussion Forums / Virtual Laboratories / Telecast / Picture / Models /Charts if any	Date of approval from authority	Date of Implementation	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1									
2									
Subtotal (3)(a)									

(3)(a) Development of Innovative pedagogy: (5 points per Innovative pedagogy)

Sr. No.	Name of Programme where curricula introduced	Title of new curricula and courses	Specify ICTs resources: web link / You tube link: Audio/ Video/ Telecast / Picture / Models/Charts if any	Date of approval from authority	Date of Implementation	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1								
2								
Subtotal (3)(b)								

(3) (b) Design of new curricula and courses: (02 points per curricula / Course)

(3) (c) MOOCs:

(3) (c) (i) Development of complete MOOCs in 4 quadrants (4 credit course) (20 per curricula / Course)

(In case of MOOCs of lesser credits 05 marks / credit)

Sr. No.	Name of Programme where curricula introduced	Course Credits	Title of new MOOC curricula	Specify ICTs resources: web link / You tube link: Audio/ Video/ Telecast / Picture / Models/Charts if any	Date of approval from authority if any	Date of Implementation	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1									
2									
Subtotal (3)(c)(i)									

(3) (c) (ii) MOOCs (developed in 4 quadrant) per module/lecture

(5points per module / lecture)

Sr. No.	Name of Programme & Course where curricula introduced	Course Credits	Title of new MOOC curricula	Specify ICTs resources: web link / You tube link: Audio/ Video/ Telecast / Picture / Models/Charts if any	Date of approval from authority	Date of Implementation	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1									
2									
Subtotal (3)(c)(ii)									

(3) (c) (iii) Content writer/subject matter expert for each module of MOOCs (at least one quadrant)

(2 points per curricula / Course)

Sr. No.	Name of Programme & Course where Content is introduced	Course Credits	Title of new MOOC Content curricula	Specify ICTs resources: web link / You tube link: Audio/ Video/ Telecast / Picture / Models/Charts if any	Date of approval from authority	Date of Implementation	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1									
2									
	Subtotal (3)(c)(iii)								

Sr. No.	Name of Programme & Course	Course Credits	Title of MOOC curricula	Specify ICTs resources: web link / You tube link: Audio/ Video/ Telecast / Picture / Models/Charts if any	Date of approval from authority	Date of Implementation	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1									
2									
Subtotal (3)(c)(iv)									
Total (3)(c) : (3)(c)(i) + (3)(c)(ii) + (3)(c)(iii) + (3)(c)(iv)									

(3) (c) (iv) Course Coordinator for MOOCs (4 credit course) (8 points per curricula / Course)
(In case of MOOCs of lesser credits 02 marks / credit)

(3) (d) : E-Content

(3) (d) (i) Development of e-Content in 4 quadrants for a complete course/e-book
(12 points per curricula /

Sr. No.	Title of e-Content course/ e-book with no. of pages, ISSN / ISBN NO. if any	Name of Programme & Course to which introduced	Specify ICTs resources: web link	Whether Peer reviewed	No. of Co-Authors	Whether Principal Author / Co-Author	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1									
2									
Sub Total: (3)(d)(i)									

Course)

Sr. No.	Title of e-Content module with no. of pages, ISSN / ISBN NO. if any	Name of Programme & Course to which introduced	Specify ICTs resources: web link	Whether Peer reviewed	No. of Co-Authors	Whether Principal Author / Co-Author	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1									
2									
Sub Total: (3)(d)(ii)									

(3) (d) (ii) e-Content (developed in 4 quadrants) per module (5 points per module / Course)

**(3) (d) (iii) Contribution to development of e-content module in complete course/paper/e-book
(at least one quadrant) (2 points per module /**

Course)

Sr. No.	Title of e-Content module with no. of pages, ISSN / ISBN NO. if any	Name of Programme & Course to which introduced	Specify ICTs resources: web link	Whether Peer reviewed	No. of Co-Authors	Whether Principal Author / Co-Author	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1									
2									
Sub Total: (3)(d)(iii)									

Sr. No.	Title of e-Content Course with no. of pages, ISSN / ISBN NO. if any	Name of Programme & Course to which introduced	Specify ICTs resources: web link	Whether Peer reviewed	No. of Co-Editors	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1								
2								

(3) (d) (iv) Editor of e-content for complete course/ paper /e-book (10 points per Course / paper)

	Sub Total: (3)(d)(iv)			
	Total (3) (d): (3)(d)(i) + (3)(d)(ii) + (3)(d)(iii) + (3)(d)(iv)			
	Total (3): (3)(a) + (3)(b) + (3)(c) + (3) (d)			

(4) Research Score:

Sr. No.	Sr. No.	Number of Candidate Enrolled	No. of Thesis Submitted with dates	No. of Candidate Degree Awarded with dates	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
	M. Phil. / P.G. Dissertation						
	Ph.D.						
	Sub Total: (4)(a)						

(4) (a) Research guidance: (Ph.D. : 10 points per degree awarded & 05 per thesis submitted)

(M. Phil. / P.G dissertation: 2 points per degree awarded)

**(4) (b) Research Projects Completed: A: More than 10 lakhs (10 points per Project)
B: Less than 10 lakhs (5 points per Project)**

Sr. No.	Type of Project : A / B	Title of Project	Sponsored Agency	Date of Completion	Whether Co-PI	Grant Received (Rs.)	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1									
2									
Sub Total: (4)(b)									

Sr. No.	Type of Project : A / B	Title of Project	Sponsored Agency	Duration of Project	Date of Starting	Whether Co-PI	Grant Received (Rs.)	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1										
2										
Sub Total: (4)(c)										

**(4) (c) Research Projects Ongoing: A: More than 10 lakhs (5 points per Project)
B: Less than 10 lakhs (2 points per Project)**

Sr. No.	Title of Consultancy Project	Sponsored Agency	Date of Starting	Amount Mobilized (Rs. Lakh)	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1							
2							

	Sub Total: (4)(d)			
	Total (4) : (4)(a) + (4)(b) + (4)(c) + (4)(d)			

(4) (d) Consultancy:

(3 points per Consultancy Project)

(5) (a) Patents :

(10 points per International Patent and 7 points per National Patent)

Sr. No.	Title of patent Project	Patent Number	Sponsored Agency if any	Date of Award	International / National	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1								
2								
	Sub Total: (5)(a)							

(5) (b) *Policy Document (Submitted to an International Body/Organization like UNO/UNESCO/World Bank/International Monetary Fund etc. or Central Government or State Government)

A: International (10 points per Policy Document)

B: National (7 points per Policy Document)

C: State (4 points per Policy Document)

Sr. No.	Title of Policy Document	Name of Submitted Agency	International / National / State	Policy Document Number	Date of Acceptance	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1								
2								
Sub Total: (5)(b)								

(5) (c) Awards/Fellowship:

A: International (7 points per Awards/Fellowship)

B: National (5 points per Awards/Fellowship)

Sr. No.	Name of Award / Fellowship	Date of Received	International / National	Name of Awardees Academic Body / Association	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1							
2							
Sub Total: (5)(c)							
Total (5) : (5)(a) + (5)(b) + (5)(c)							

(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 (Abroad): (7 points per Seminars/ Conferences)

International (within Country): (5 points per Seminars/ Conferences)

National: (3 points per Seminars/ Conferences)

State / University Level: (2 points per Seminars/ Conferences)

Sr. No.	Title of Presentation in Academic Session	Title of Conference / Seminar	Mode of Presentation: Invited lectures / Resource Person / Paper presentation	Name of Organizer	Whether International (Abroad) / International (within Country) / National / State / University Level	Self-Appraisal Score	API Score Verified	Page No. of Relevant Documents
1								
2								
Total (6) :								

Note: 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.

Summary of Table 2 Academic / Research Score

Details of Academic & Research activities	Self-Appraisal Score	API Score Verified by Committee	Remarks
(1) Research Papers in Peer-Reviewed or UGC listed Journals			
(2) Publications (other than Research papers)			
(3) Creation of ICT mediated Teaching Learning pedagogy and content and development of new and innovative courses and curricula			
(4) Research guidance/ Projects Completed / Projects Ongoing/ Consultancy			
(5) Patents / Policy Document / Awards/Fellowship			
(6) Invited lectures / Resource Person/ paper presentation in Seminars / Conferences/full paper in Conference Proceedings			
Grand Total of Table 2			

IV SUMMARY OF API SCORES:

Category	Criteria	Annual API Score
Table 1	Activities: Overall Grading 1. Teaching 2. Involvement in the University / College students related activities / research activities	
Table 2	Academic/Research Score	

List of Enclosures: (Please attach copies of certificates and / or letters sanction orders, papers etc. wherever Necessary)

UNDERTAKING

I **Dr/Mr. / Mrs.** undertakes that the information provided is correct as per records submitted by me to Institute and documents enclosed along with the duly filled in PBAS Proforma.

Date :
with
Place :

Signature of the faculty

Designation

Date :

Place :

Signature
Head of Department

Verified by IQAC

Date :
Place :

Signature
Coordinator - IQAC

Signature of Director/Principal

N.B. : The individual PBAS Performa duly filled along with all enclosures, submitted for CAS promotions will be verified by the Institute as necessary and placed before the Screening Cum Evaluation Committee or Selection Committee for Assessment Verification.

Observation and remark of the Chairperson of the Selection Committee :

Place : Mumbai

Date : _____

Signature of the Chairperson of the Screening cum
Evaluation Committee or Selection Committee & also
members of the committee

<u>Sr. No :</u>	<u>Names of Screening cum Evaluation Committee Members</u>	<u>Designation</u>	<u>Signatures</u>
1		Governing Body Nominee	
2		Joint Director	
3		V.C. Nominee as Subject Experts	
4		V.C. Nominee as Subject Experts	
5		Principal	
6		Senior / Head of the Dept.	