

**S.N.D.T. Women's University  
1, Nathibai Thackersey Road  
Mumbai – 400 020**

**Revised API Pro forma as per (New UGC Regulation) 4<sup>th</sup> Amendment  
dated 11 July 2016**

**For**

**CAS Promotions for Assistant Professor/ Associate Professor and  
Direct Recruitment of Associate Professor/ Professor in Universities and  
colleges.**

**Direct Teaching Hours Per Week :**

- 1. Assistant Professor = 16**
- 2. Associate Professor = 14**
- 3. Professor = 14**

**Name of the Applicant:** \_\_\_\_\_

**Department/College:** \_\_\_\_\_

**Address:** -----

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**Application for promotion from:** \_\_\_\_\_

- 1) Assistant Professor in Stage 1 to Stage 2
- 2) Assistant Professor in Stage 2 to Stage 3
- 3) Assistant Professor to Associate Professor in Stage 3 to Stage 4
- 4) Associate Professor to Professor/Equivalent Cadres in Stage 4 to Stage 5
- 5) Professor to Senior Professor in Stage 5 to Stage 6

**Assessment Period:** from \_\_\_\_\_ to \_\_\_\_\_

**Compiled API Score**

	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>	<b>Year 6</b>	<b>Total</b>
<b>Category I</b>							
<b>Category II</b>							
<b>Category III</b>							
<b>Total</b>							

**Note: Please indicate respective year in each column**

**Date:**

**Name & Signature of the Candidate**

**Place:**

**Date:**

**Name & Signature of the HOD/Principal**

**Place:**

**Part A: GENERAL INFORMATION AND ACADEMIC BACKGROUND**

1	Name (in Block Letters)	
2	Department	
3	College	
4	Current Designation, Pay Band & Grade Pay	Designation: Pay Band: Grade Pay:
5	Date of last Promotion	
6	Date of Eligibility for Promotion	
7	Date and Place of Birth	
8	Nationality	
9	Category: Open/SC/ST/OBC/DT/NT/SBC/PH	
10	Address for Correspondence (with Pin code)	
11	Permanent Address (with Pin code)	
12	Telephone No.	
13	Email	

14. Academic Qualifications (S.S.C. till post graduation)

Examinations	Name of the Board / University	Mode of Learning: Regular/ Distance	Year of Passing	Percentage of marks obtained	Division / Class / Grade	Subject
High School / Matric /S.S.C.						
H.S.C.						
Bachelor's Degree						
Master's Degree						
NET/SET/JRF						
Other examination, if any						

15. Research Degree(s)

<b>Degrees</b>	<b>Subject</b>	<b>Faculty</b>	<b>Title</b>	<b>Date of Notification</b>	<b>Date of Degree Awarded</b>	<b>University</b>	<b>Mode of Learning: Regular/ Distance</b>
M. Phil.							
Ph.D. / D.Phil.							
D.Sc. / D.Litt.							

16. Appointments held prior to joining present institution

<b>Sr. No.</b>	<b>Designation</b>	<b>Nature of Appointment: Regular/Temporary/ Ad-hoc/Fixed Tenure/CHB/Any Other</b>	<b>Name of the College/Dept. &amp; Address</b>	<b>Date of</b>		<b>Salary with grade pay</b>	<b>Reason for Leaving</b>
				<b>Joining</b>	<b>Leaving</b>		

17. Posts held after appointment at present institution

<b>Sr. No.</b>	<b>Designation</b>	<b>Nature of Appointment: Regular/Temporary/ Ad-hoc/Fixed Tenure/CHB/Any Other</b>	<b>Name of the College/Dept. &amp; Address</b>	<b>Date of</b>		<b>Salary with grade pay</b>	<b>Reason for Leaving</b>
				<b>Joining</b>	<b>Leaving</b>		

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

19. Research Experience excluding years spent in M. Phil. / Ph. D. (In years)

20. Fields of Specialization under the Subject / Discipline

a.

b.

21. Orientation / Refresher Course attended

<b>Sr. No.</b>	<b>Name of the Course / Summer School</b>	<b>Place</b>	<b>Duration</b>	<b>Sponsoring Agency</b>

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**Date:**  
**Place:**

**Name & Signature of the Candidate**

Tick (✓) the appropriate	Stages of promotion of teachers through CAS	Service requirement	Minimum academic performance requirements	Eligible Yes/No
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.	One orientation course of 3 weeks duration.  One Refresher/ Research Methodology Course of 2/3 weeks duration.	
2.	Assistant Professor/ Equivalent cadres from stage 2 to stage 3	Assistant Professor with completed service of five years in Stage 2	One course/ programme from among the categories of fresher courses, methodology workshops, Training, Teaching – Learning Evaluation Technology Programmes, Soft Skills development Programmes and Faculty Development Programmes of 2/3 week duration.	
3	Assistant Professor Stage 3 to Associate Professor Stage 4	Assistant Professor with three years of completed service in Stage 3	At least three publications in the entire period as Assistant professor (twelve years). However in the case of college teachers, and exemption of one publication may be given to M.Phil holders and an exemption of two publications may be given to Ph.D holders.  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.	
4	Associate Professor Stage 4 to Professor Stage 5	Associate Professor with three years of completed service in Stage 4	A minimum of five publications since the period that the teacher is placed in Stage 3	

5	Professor to Stage 5 to Professor Stage 6	Professor with ten years of completed service (Universities only)	Additional credentials are to be evidenced by (a) post-doctoral research outputs of high standard; (b) awards/ honours/ recognitions/ patents and IPR on products and processes developed/ technology transfer achieved; and (c) Additional research degrees like D.Sc., D.Litt., LL.D., etc.,	
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1. Tick the appropriate stage of your promotion under CAS and mention whether you fulfil the minimum Academic Performance Requirements indicated therein

**Name & Signature of the Candidate**



**Part B: API Calculation of category I, II and III:**

**Category I: Teaching, Learning and Evaluation related activities**

(Since all the activities are based on objectively verifiable records, evidences must be provided to the committee)

Category	Name of Activity	Unit of calculation		Self appraisal API Score			Verified API Score by committee
		Actual Hours spent per academic year	Total Hours Spent	For Assistant Professor	For Associate Professor	For Professor	
I(a)	Direct Teaching	(2)	(3)	(4) = (3)/ 7.5 (Max 70)	(5) = (3)/ 7.75 (Max 60)	(6) = (3)/ 7.75 (Max 60)	
	(1)						
	Lectures						
	Practicals						
	Tutorials						
	Project Supervision						
	Field work Any other						
I(b)	Examination Duties	Actual hours spent per Academic Year	Total hours spent	For Assistant Professor	For Associate Professor	For Professor	Verified API Score by Committee
	(1)	(2)	(3)	(4) = (3)/ 10 (Max 20)	(5) = (3)/10 (Max20)	(6) = (3)/ 10 (Max 10)	
	Paper Setting						
	Invigilation						
	Evaluation of Answer Scripts						
	Coordinator/ Custodian/ member						
	Flying Squad						
	Cap Director/ AO/PO						
	Lapses/ unfair means Committee						
	Examiner/ Expert for practical's/ orals						
	Result Preparations						
	Any other						

I(c)	Contribution to innovative Teaching	Actual Hours spent per academic year	Total Hours Spent	For Assistant Professor	For Associate Professor	For Professor	Verified API Score by Committee
	(1)	(2)	(3)	(4) = (3)/ 10 (Max 10)	(5) = (3)/10 (Max 15)	(6) = (3)/ 10 (Max 20)	
	Innovative teaching learning methodologies						
	Use of ICT						
	Interactive course						
	Preparation of resource/ study materials/ Laboratory manuals						
	Updating of subject content/ course/ design of curriculum						
	Mentoring						
	Participatory Learning modules						
	Any other						

Total of Category I	
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**Name & Signature of the Candidate**

1. Direct Teaching 16/14/14 hours per week include 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 subcategories.
3. In a consonance with established academic and teaching traditions, and with a view to reinforcing a students – 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 counselling 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. Minimum APIs to be applied for the promotion of teachers under CAS in University Departments and Colleges and weight ages for expert assessment is as follows:

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 cadres (Stage 4)	Associate Professor (Stage 4 to Professor/ equivalent cadres (Stage 5)	Professor (Stage 5 ) to Professor (Stage 6)
1	Teaching – Learning, Evaluation Related Activities	80/ Year	80/ Year	75/ Year	70/ Year	70/ Year

According to the above table the teacher is eligible/ not eligible in Category I: \_\_\_\_\_

**Name & Signature of the Candidate**

**Category II: Professional Development, Co –curricular and Extension Activities**

(Since all the activities are based on objectively verifiable records, evidences must be provided to the Committee)

Category	Nature of Activity	Unit of calculation		Self appraisal API Score	Verified API Score by Committee
		Actual Hours spent per academic year	Total Hours Spent		
II(a)	Student related co-curricular, extension and field based activities	(1)	(2)	(3)	(4) = (3) / 10 (Max 15)
	i. Discipline related co-curricular activities :				
	Remedial classes/ bridge course				
	Career counselling				
	Study visit/ tour/ Field work				
	Students seminar				
	Other events				
	ii. Other co-curricular activities:				
	Cultural activities				
	Sports activities				
	Subject related survey				
	NSS				
	NCC				
	iii. Extension and dissemination activities				
Public/popular :/lectures/ Talks/ Seminars etc					

II(b)	Contribution to corporate life and management of the department and institution through participation in academic and administrative committees and responsibility	Actual hours spent per academic year	Total hours Spent	Self appraisal API Score	Verified API score by committee
	(1)	(2)	(3)	(4) = (3) /10 (Max 15)	(Max 15)
	i. Administrative responsibility (including as Dean/Principal/Chairperson/Convenor/Teacher-in-charge,/similar other duties that require regular office hours for its discharge				
	ii. Participation in Board of Studies, Academic and Administrative Committees				

II(c)	Professional Development activities	Actual Hours spent per academic year	Total Hours Spent	Self appraisal API Score	Verified API Score by Committee
	(1)	(2)	(3)	(4) = (3) /10 (Max 15)	(Max 15)
	Participation in Seminars/ Conferences /Short term Training courses/ Industrial experience				
	Talks /Lectures in Refresher / Orientation / STTP / Faculty Development courses				
	Dissemination				
	Any other contribution				

Total of Category II	
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**Name & Signature of the Candidate**

Minimum APIs to be applied for the promotion of teachers under CAS in university Departments and colleges, and weightages for expert assessment is as follows:

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 Asso. Professor/ equivalent cadres (Stage 4)	Associate Professor (Stage 4 )to Professor/ equivalent cadres (Stage 5)	Professor (Stage 5 ) to Professor (Stage 6)
	Contribution to corporate life and management of the department and institution through participation in academic and administrative committees and responsibilities	50/ Assessment period	50/ Assessment period	50/ Assessment Period	50/ Assessment Period	100/ Assessment Period

According to the above table the teacher is eligible/ not eligible in category II: \_\_\_\_\_

**Name & Signature of the Candidate**

### Category III: Research and Academic Contributions

(Since the self-assessment score is based on verifiable records, all necessary evidences must be provided at the time of scrutiny)

#### III A) Research Papers Published

(a) Refereed journals as notified by UGC (25 points per publication)

Sr. No	Title of the paper with page Nos.	Journal name with ISBN/ISSN No	Whether journal is notified by UGC?	Impact Factor, if any	First/ Principal/ corresponding/ authors/ supervisor/ mentors	Self appraisal API Score	Verified Score by Committee
Sub Total IIIA (a)							

(b) Other reputed Journals as notified by UGC (10 Points per publication)

Sr. No	Title of the paper with page Nos.	Journal name with ISBN/ISSN No	Whether journal is notified by UGC?	First/ Principal/ Corresponding authors/ Supervisors/ Mentors	Self appraisal API Score	Verified API Score by Committee
Sub Total IIIA (b)						

#### III B) Publications other than Journal articles (Books, Chapters in Books)

(a) Text/ Reference, subject Books published by international publishers, with ISBN/ISSN number as approved by the University and posted on its website. The list will be intimated to UGC. (30 Points for single author per book)

Sr. No	Title of the book with ISBN/ ISSN No	Name of the publisher with address	Whether book approved by the university and intimated in the UGC?	No of authors	Self appraisal API Score	Verified API Score by Committee
Sub Total III B(a)						

- (b) Subject Books, published by National level publishers, with ISBN/ISSN number or State/ Central Govt. Publications as approved by the University and posted on its website. The list will be intimated to UGC. (20 points for single author per book)

Sr. No	Title of the book with ISBN/ ISSN No	Name of the publisher with address	Whether Book approved by the University and intimated in the UGC?	No of authors	Self appraisal API Score	Verified API Score by Committee
<b>Sub Total III B (b)</b>						

- (c) Subject Books, published by other local publishers, with ISBN/ ISSN number as approved by the University and posted on its website. The list will be intimated to UGC (15 points for single author per book)

Sr. No	Title of the Book with ISBN/ ISSN No.	Name of the publisher with address	Whether Book approved by the University and intimated in the UGC?	No of authors	Self appraisal API score*	Verified API score by committee
<b>Sub Total III B (c)</b>						

- (d) Chapters in Books published by National and International level publishers, with ISBN/ ISSN number as approved by the University and posted on its website. The List will be intimated to UGC. (10 points for International / 5 points for National books per chapter)

Sr. No	Title of the Book with ISBN/ ISSN No.	Name of the Publisher with address	Whether Book approved by the University and intimated in the UGC?	No of authors	Self appraisal API Score*	Verified API Score by Committee
<b>Sub Total III B (d)</b>						

- Wherever relevant to any specific discipline, the API score for paper in refereed journal would be augmented as follows: (i) paper with impact factor less than 1 – by 5 points; (ii) papers with impact factor between 1 and 2 by 10 points; (iii) papers with impact factor between 2 and 5 by 15 points; (iv) papers with impact factor between 5 and 10 by 20 points; (v) papers with impact factor above 10 by 25 points. The API for joint publications shall be calculated in the following manner: of the total score for the relevant category of publication by the concerned teacher, the first and Principal/ corresponding author/ supervisor / mentor would share equally 70% of the total points and the remaining 30% would be shared equally by all other authors.

- Clause 6.0.5 (i): The University shall identify the journals subject –wise through subject expert committees and forward the recommendations to UGC in the format prescribed by UGC for approval of the UGC Standing Committee. The Journals approved from this list, by the UGC standing Committee, shall be included in the “List of Journals” notified by the UGC. The UGC standing committee shall give its recommendations within 60 working days of the receipt of the list from the university. The UGC standing committee may also suo-moto , recommend journals for inclusion in the “List of Journals”. This clause 6.0.5 (i) will be strictly followed by the University.

### III C) Research Projects:

(i) Sponsored projects:

Major Projects: with grants above Rs.05 lakhs (**20 points per project**) and with grants above Rs. 3 lakhs to Rs. 05 lakhs (15 points per project).

Minor Projects: with grants above Rs. 01 lakhs to Rs. 03 lakhs (**10 points per projects**).

(i) Sponsored projects: Major / Minor projects							
Sr. No	Title of Project	Name of sponsoring Agency	Period	Grant/ Amount mobilized in Lakhs	Major/ Minor/ Patent/ Technology Transfer / Product/ Process	Self appraisal API Score	Verified API Score by Committee

(ii) Consultancy Projects: Amount mobilized with a minimum of Rs. 02 Lakhs (**10 or every Rs. 02 lakhs**)

(ii) Consultancy Projects :							
Sr. No	Title of Project	Name of sponsoring Agency	Period	Grant/ Amount mobilized in Lakhs	Major/ Minor/ Patent/ Technology Transfer / Product/ Process	Self appraisal API Score	Verified API Score by Committee

(ii) Projects Outcome/ Outputs: Major Policy document prepared for international bodies like WHO/UNO/UNESCO/UNICEF etc. Central / State Govt / Local Bodies:



(30 for each International/ 20 for each national level output or patent. Major policy document of international bodies- 30 central Government – 20 , State Govt.- 10 Local bodies – 5.

(iii) Projects Outcome/ Outputs: Patent/ Technology transfer/ Product/ Process							
Sr. No	Title of Project	Name of sponsoring Agency	Period	Grant/ Amount mobilized in Lakhs	Major/ Minor/ Patent/ Technology Transfer / Product/ Process	Self appraisal API Score	Verified API Score by Committee
Sub Total III C							

III (D) Research Guidance: (Ph.D. awarded per candidate 15, Ph.D submitted per candidate 10 and M. Phill. Awarded 05 per candidate)

Sr. No	Ph.D/ M.Phill	Degree awarded/ Thesis submitted	Guide/ Co-guide	Self appraisal API Score	Verified API Score by Committee
Sub Total III D					

III (E) Fellowships, Awards and Invited lectures delivered in conferences/seminars

- (i) Fellowship/ Award: (International award/ fellowship 15 points per award, National award/ fellowship 10 points per award, state/ University level award/ fellowship 05 points per award)

International / National/ State/ University level Awards					
Sr. No	Name of the award	Academic Body/ Society/ Association	Level International/ National/ University	Self appraisal API Score	Verified API Score by Committee
International/ National/ State/ University level fellowships					
Sr. No	Name of the fellowship	Academic body/ Society/ Association	Level International/ National/ State/ University	Self appraisal API Score	Verified API Score by Committee
Sub Total III E (i)					

- (ii) Invited Lectures/ paper presented in Conferences/ Seminars:  
 Points per lecture: International 07, National 05, State / University 03.  
 Points per paper presentation: International 05, National 03, State/ University 02.

(The score under this sub-category API points shall be restricted to 20% of the minimum fixed for category III for any assessment period)

Invited lectures/ Paper presentations						
Sr. No	Title of the Invited lecture/ paper presentations	Title of Conference/ seminar	Organized by	Level International/ National/ State/ University	Self appraisal API Score	Verified API Score by committee
Sub Total III E(ii) Sub Total III E (ii)						
(API points shall be restricted to 20% of the minimum fixed for category III for any assessment period)**						

\*\* For CAS: Assistant Professor/ equivalent cadres: (Stage 1 to Stage 2): Max 4 API Score; Assistant Professor/ equivalent cadres: (Stage 2 to Stage 3): Max 10 API score; Assistant Professor (Stage 3) to Asso. Professor/ equivalent cadres (Stage 4): Max 15 API score; Associate Professor (Stage 4) to Professor/ equivalent cadres (Stage 5): Max 20 API score and Professor (stage 5) to professor (stage 6): Max 80 score.

\*\*For Direct recruitment: 20% of the minimum fixed for category III.

III (F) Development of E-learning Delivery Process/ Material (10 points per module)

Sr. No.	E-learning delivery process/ material	Title of the process/ material	Details of the website	No of modules developed	Self appraisal API score	Verified API Score by committee
Sub Total III F						

Total of Category III:	
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### Name & Signature of the Candidate

Wherever relevant to any specific discipline, the API Score for paper in referred journal would be augmented as follows: (i) paper with impact factor less than 1 by 5 points; (ii) papers with impact factor between 1 and 2 by 10 points; (iii) papers with impact factor between 2 and 5 by 15 points; (iv) papers with impact factor between 5 and 10 by 20 points; (v) papers with impact factor above 10 by 25 points. The API for joint publications shall be calculated in the following manner: of the total score for the relevant category of publication by the concerned teacher, the first and principal / corresponding author/ supervisor/ mentor would share equally 70% of the total points and the remaining 30% would be shared equally by all other authors. The university shall identify the journals subject-wise through subject expert committees and forward the recommendations to UGC in the format prescribed by UGC for approval of the UGC Standing Committee. The journals approved from this list, by the UGC standing committee, shall be included in the "List of Journals" notified by the UGC. The UGC Standing committee shall give its recommendations within 60 suo-moto, recommended journals for inclusion in the "List of Journals". The clause 6.0.5. (i) will be strictly followed by the university.

Minimum APIs to be applied for the promotion of teachers under CAS in University Departments and Colleges, and weightages for expert assessment is as follows:

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 Assoc. Professor/ equivalent cadres (stage 4)	Associate Professor (Stage 4) to professor/ equivalent cadres (Stage 5)	Professor (Stage 5) to Professor (stage 6)
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

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

According to the above table the teacher is eligible/ not eligible in category II and II+ III: \_\_\_\_\_

I certify that the information provided is correct as per records available with the college/ university Department and/or documents enclosed along with the duly filled pro forma.

Signature of the Candidate

Forwarded through:

Chairperson, IQAC committee  
College/ university

Head/ Director/ Principal