UNIVERSITY GRANTS COMMISSION

NOTIFICATION

New Delhi, the 13th June, 2013

No. F. 1-2/2009(EC/PS) V(i) Vol-II.—In exercise of the powers conferred under clause (e) and (g) of sub-section (1) of Section 26 of University Grants Commission Act, 1956 (3 of 1956), the University Grants Commission hereby frames the following amendment Regulations, namely :—

1. **Short title, application and commencement:**

    1.1. These Regulations may be called the University Grants Commission (Minimum Qualifications for Appointment of Teachers and other Academic Staff in Universities and Colleges and Measures for the Maintenance of Standards in Higher Education) (2nd Amendment), Regulations, 2013.

    1.2 They shall come into force with immediate effect from their publication in the Official Gazette.

2. The clause 6.1.0 of the Annexure of University Grants Commission (Minimum Qualifications for Appointment of Teachers and other Academic Staff in Universities and Colleges and other Measures for the Maintenance of Standards in Higher Education) Regulations, 2010 (hereinafter to be called 'The Principal Regulations') shall stand amended and be substituted by the following clause:-

    "6.1.0 'The overall selection procedure shall incorporate transparent, objective and credible methodology of analysis of the merits and credentials of the applicants based on weightages given to the performance of the candidate in different relevant dimensions and his/her performance on a scoring system proforma, based on the Academic Performance Indicators (API) as provided in this Regulations in Tables I to IX of Appendix III.

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Provided that API scores will be used for screening purpose only and will have no bearing on expert assessment of candidates in Direct Recruitment/ CAS

Provided also that the API score claim of each of the sub-categories in the Category III (Research and Publications and Academic Contributions) will have the following cap to calculate the total API score claim for Direct Recruitment / CAS

Sub-Category	Cap as % of API cumulative score in application
III (A) : Research papers (Journals, etc)	30%
III (B) Research publications (Books, etc)	25%
III (C) Research Projects	20%
III (D) Research Guidance	10%
III (E) Training Courses and Conference /Seminar, etc	15%

In order to make the system more credible, universities may assess the ability for teaching and/or research aptitude through a seminar or lecture in a class room situation or discussion on the capacity to use latest technology in teaching and research at the interview stage. These procedures can be followed for both direct recruitment and CAS promotions wherever selection committees are prescribed in these Regulations."

3.   The clause 6.0.2 of the Principal Regulations shall stand amended and be substituted by the following clause:-

"6.0.2 The Universities shall adopt these Regulations for selection committees and selection procedures through their respective statutory bodies incorporating the Academic Performance Indicator (API) based Performance Based Appraisal System (PBAS) at the institutional level for University Departments and their Constituent colleges/ affiliated colleges (Government/Government-aided/Autonomous/ Private Colleges) to be followed transparently in all the selection processes. An indicative PBAS template proforma for direct recruitment and for Career Advancement Schemes (CAS) based on API based PBAS is annexed in Appendix III. The universities may adopt the template proforma or may devise their own self-assessment cum performance appraisal forms for teachers. While adopting this, universities shall not change any of the categories or scores of the API given in Appendix-III. The universities can, if they wish so, increase the minimum required score or devise appropriate additional criteria for screening of candidates at any level of recruitment."

4. The clause 7.3.0 of the Principal Regulations shall stand amended and be substituted by the following clause:-

7.3.0. VICE CHANCELLOR:

i. Persons of the highest level of competence, integrity, morals and institutional commitment are to be appointed as Vice-Chancellors. The Vice-Chancellor to be appointed should be a distinguished academician, with a minimum of ten years of experience as Professor in a University system or ten years of experience in an equivalent position in a reputed research and / or academic administrative organization.

ii. The selection of Vice Chancellor should be through proper identification of a panel of 3-5 names by a Search Committee through a public notification or nomination or a talent search process or in combination. The members of the above Search Committee shall be persons of eminence in the sphere of higher education and shall not be connected in any manner with the university concerned or its colleges. While preparing the panel, the Search Committee must give proper weightage to academic excellence, exposure to the higher education system in the country and abroad, and adequate experience in academic and administrative governance to be given in writing along with the panel to be submitted to the Visitor/ Chancellor. The constitution of the Search Committee could be as per the Act/ Statutes of the concerned university.

iii. The Visitor/ Chancellor shall appoint the Vice Chancellor out of the Panel of names recommended by the Search Committee.

iv. The conditions of services of the Vice Chancellor shall be as prescribed in the Act/ Statutes of the university concerned in conformity with the Principal Regulations.

v. The term of office of the Vice Chancellor shall form part of the service period of the incumbent concerned making him/her eligible for all service related benefits."

5. The Table I [Category I, II &III] of Appendix-III of the Principal Regulations shall stand amended and be substituted by Table I [Category I, II & III] appended to these amendment Regulations.

AKHILESH GUPTA, Secy., UGC

[ADVT. III/4/Exty./113/13]

AMENDED APPENDIX – III TABLE – I

PROPOSED SCORES FOR ACADEMIC PERFORMANCE INDICATORS (APIs) IN RECRUITMENTS AND CAREER ADVANCEMENT SCHEME (CAS) PROMOTIONS OF UNIVERSITY / COLLEGE TEACHERS.

Category I: Teaching, LEARNING AND EVALUATION Related ACTIVITIES

Brief Explanation: Based on the teacher's self-assessment, API scores are proposed for (a) teaching related activities; (b) domain knowledge; (c) participation in examination and evaluation; (d) contribution to innovative teaching, new courses etc. The minimum API score required by teachers from this category is 75. The self-assessment score should be based on objectively verifiable criteria wherever possible and will be finalized by the screening/selection committee.

Universities will be required to detail the activities and in case institutional specificities require, adjust the weightages, without changing the minimum total API scores required under this category.

S. No.	Nature of Activity	Maximum Score
1	Lectures, seminars, tutorials, practicals, contact hours undertaken taken as percentage of lectures allocated	50
2	Lectures or other teaching duties in excess of the UGC norms	10
3	Preparation and Imparting of knowledge / instruction as per curriculum; syllabus enrichment by providing additional resources to students	20
4	Use of participatory and innovative teaching-learning methodologies; updating of subject content, course improvement etc.	20
5	Examination duties (Invigilation; question paper setting, evaluation/assessment of answer scripts) as per allotment.	25
	Total Score	125
	Minimum API Score Required	75

Note: a: Lectures and tutorials allocation to add up to the UGC norm for particular category of teacher. University may prescribe minimum cut-off (net of due leave), say 80 %, for 1 and 5 above, below which no scores may be assigned in these sub-categories.

Note 2 :

The model table proposes API scores and the mode for awarding these scores for various parameters of Category I of PBAS.

1. Wherever the unit of assessment is the number of hours, the teacher is required to compute the total number of hours allocated as per the time-table or the actual number of hours spent in that activity in the previous academic year. The institution can verify these from the official Time Table and the record of students' attendance.

2. In calculating the number of hours allocated, only working days/weeks will be taken into account. For example, if a teacher has been assigned 20 hours of classroom teaching per week in an institution that teaches for 16 weeks per semester, the teacher would write 320 hours (plus another 320 hours if his/her teaching load is the same in the second semester) in the row 1A(i). Since this is 2 hours higher than the UGC norm, **s/he** would claim additional 2 x 16 hours in row 1A (ii). If s/he has actually taught for 275 hours in that semester, s/he would claim 275 hours in row 1A (iii). So, in all, she would get credit for 320+32+275 = 627 hours for that semester. S/he would do similar calculation for the second semester and the total would be entered in each row.

3. In most sub-categories, the total score of a teacher may exceed the maximum score permitted against the relevant sub-total. In that case, the score of the teacher will be credited the maximum score. For example, a teacher who marks 900 scripts can get credit for 300 hours and may have spent another 40 hours on examination duty. This adds up to 340 hours = 34 points. But s/he will be awarded the maximum of 20 points in that category.

4. Wherever the criterion involves an assessment by the screening committee, the teacher will be required to submit some evidence of work done. Each institution may further develop these criteria ánd specify the requirements for the various categories mentioned here.

5. Under 4c, the teacher is only required to give a proof that s/he administered an anonymous feedback questionnaire wherein the students can give their assessment of the quality of his/her teaching. S/he would be entitled to the points irrespective of the content of the feedback. The comments given by the students may not be used against the teacher in this exercise.

Category	Nature of activity	Notes	Unit of assessment	Score
Category I	TEACHING, LEARNING AND EVALUATION RELATED ACTIVITIES			
1A (i)	Classroom teaching (including lectures, seminar)	As per allocation	Hours per academic year	
1A (ii)	Classroom teaching (including lectures, seminar) in excess of UGC	As per	Hours per	

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1A (iii)	Classroom teaching (including lectures, seminar) preparation time	Same as actual teaching hours as per attendance register	Hours per academic year	
1B	Tutorials and Practicals	Actuals as per attendance register	Hours per academic year	
1C	Outside classroom interaction with students	Max 0.5 of hours in 1A	Hours per academic year	
	Sub-total 1	**Score = hours/10 (max score 100)**		
2	Research Supervision (including Masters thesis)	Max 1 hour per student per working week	Hours per academic year	
	Sub-total 2	Score = hours/10 (Max score = 30)		
3A	Question paper setting, moderation and related work	Actual hours	Hours per academic year	
3B	Invigilation/supervision and related examination duties	Actual hours	Hours per academic year	
3C	Evaluation/assessment of answer scripts and assignments related to internal assessment, external and re evaluation	Max 20 minutes per full script	Hours per academic year	
	Sub-total 3	**Score = hours/10 (Max score = 20)**		

4A	Teaching innovation including preparation of innovative course, use of innovative methodologies for teaching including bilingual/multi-lingual teaching	Evidence to be provided. Scores to be finalized by the screening committee	Outstanding = 10 Very good = 7 Good = 5 Average = 3 Modest = 1	
4B	Preparation of new teaching-learning material including translation, bridge material, study pack or similar additional resource for students	Evidence to be provided. Scores to be finalized by the screening committee	Outstanding = 10 Very good = 7 Good = 5 Average = 3 Modest = 1	
4C	Use of anonymous students' feedback on the quality of classroom teaching and students' interaction	Performa and summary feedback to be attached	2 points per course (max 10 points)	

Minimum score required for promotion: 150 out of a total of 250 from category I and II, at least 100 (from Maximum of 180) from category I and 20 (from maximum of 70) from category II.

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AMENDED Category II: Co-curricular, EXTENSION AND PROFESSIONAL DEVELOPMENT RELATED ACTIVITIES

Brief Explanation: Based on the teacher's self-assessment, category II API scores are proposed for co-curricular and extension activities; and Professional development related contributions. The minimum API required by teachers for eligibility for promotion is 15. A list of items and proposed scores is given below. It will be noticed that all teachers can earn scores from a number of items, whereas some activities will be carried out only by one or a few teachers. The list of activities is broad enough for the minimum API score required (15) in this category to accrue to all teachers. As before, the self-assessment score should be based on objectively verifiable criteria and will be finalized by the screening/selection committee.

The model table below gives groups of activities and API scores. Universities may detail the activities or, in case institutional specificities require, adjust the weightages, without changing the minimum total API scores required under this category.

S. No.	Nature of Activity	Maximum Score
1	Student related co-curricular, extension and field based activities (such as extension work through NSS/NCC and other channels, cultural activities, subject related events, advisement and counseling)	20
2	Contribution to Corporate life and management of the department and institution through participation in academic and administrative committees and responsibilities.	15
3	Professional Development activities (such as participation in seminars, conferences, short term, training courses, talks, lectures, membership of associations, dissemination and general articles, not covered in Category III below)	15
	Minimum API Score Required	15

Note :

The model table proposes API scores and the mode for awarding these scores for various parameters of Category II of PBAS.

1. Wherever the unit of assessment is the number of hours, the teacher is required to compute the total number of hours allocated as per the time-table or the actual number of hours spent in that activity in the previous academic year. The institution can verify these from the official Time Table and the record of students' attendance.

2. In calculating the number of hours allocated, only working days/weeks will be taken into account. For example, if a teacher has been assigned 20 hours of classroom teaching per week in an institution that teaches for 16 weeks per semester, the teacher would write 320 hours (plus another 320 hours if his/her teaching load is the same in the second semester) in the row 1A(i). Since this is 2 hours higher than the UGC norm, s/he would claim additional 2 x 16 hours in row 1A (ii). If s/he has actually taught for 275 hours in that semester, s/he would claim 275 hours in row 1A (iii). So, in all, s/he would get credit for 320+32+275 = 627 hours for that semester. S/he would do similar calculation for the second semester and the total would be entered in each row.

3. In most sub-categories, the total score of a teacher may exceed the maximum score permitted against the relevant sub-total. In that case, the score of the teacher will be credited the maximum score. For example, a teacher who marks 900 scripts can get credit for 300 hours and may have spent another 40 hours on examination duty. This adds up to 340 hours = 34 points. But s/he will be awarded the maximum of 20 points in that category.

4. Wherever the criterion involves an assessment by the screening committee, the teacher will be required to submit some evidence of work done. Each institution may further develop these criteria and specify the requirements for the various categories mentioned here.

5. Under 4c, the teacher is only required to give a proof that s/he administered an anonymous feedback questionnaire wherein the students can give their assessment of the quality of her teaching. S/he would be entitled to the points irrespective of the content of the feedback. The comments given by the students may not be used against the teacher in this exercise.

Category	Nature of activity	Notes	Unit of assessment	Score
Category II	CO-CURRICULAR, EXTENSION AND PROFESSIONAL DEVELOPMENT RELATED ACTIVITIES			
5A	Discipline related co-curricular activities (e.g. field work, study visit, student seminar, events, career counseling etc)	Evidence to be provided. Scores to be finalized by the screening committee	Outstanding = 10 Very good = 7 Good = 5 Average = 3 Modest = 1	
5B	Other co-curricular activities (Cultural,	Evidence to be provided.	Outstanding = 10 Very good = 7	

	Sports, NSS, NCC etc)	Scores to be finalized by the screening committee	Good = 5 Average = 3 Modest = 1	
5C	Extension and dissemination activities (public lectures, talks, seminars, popular writings not covered under III)	Evidence to be provided. Scores to be finalized by the screening committee	Outstanding = 10 Very good = 7 Good = 5 Average = 3 Modest = 1	
	Sub-total 5			
6A	Administrative responsibility (including Dean, Principal, Chairperson, Convenor, Teacher-in-charge or similar duties that require regular office hours for its discharge)	Actual hours spent	Hours per academic year	
6B	Participation in Board of Studies, Academic and Administrative Committees	Actual hours spent	Hours per academic year	
	Sub-total 6	Score = hours/10 (Max score = 30)		
7	Overall contribution to the collective/corporate life of the institution (including 5, 6 and any other contribution)	Evidence to be provided. Scores to be finalized by the screening committee	Outstanding = 10 Very good = 7 Good = 5 Average = 3 Modest = 1	
	GRAND TOTAL (1 TO 7)	**(OUT OF 250)**		

Minimum score required for promotion: 150 out of a total of 250 from category I and II, at least 100 (from Maximum of 180) from category I and 20 (from maximum of 70) from category II.

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AMENDED CATEGORY-III: RESEARCH AND ACADEMIC CONTRIBUTIONS

Brief Explanation: Based on the teacher's self-assessment, API scores are proposed for research and academic contributions. The minimum API score required by teachers from this category is different for different levels of promotion and between university and colleges. The self-assessment score will be based on verifiable criteria and will be finalized by the screening/selection committee.

S No.	APIs	Engineering/Agriculture/ Veterinary Science/Sciences/Medical Sciences	Faculties of Languages Arts/Humanities/Social Sciences/Library/ Physical education/Management	Max. points for University and college teacher position
III A	Research Papers published in:	Refereed Journals *	Refereed Journals*	15 / publication
		Non-refereed but recognized and reputable journals and periodicals, having ISBN/ISSN numbers.	Non-refereed but recognized and reputable journals and periodicals, having ISBN/ISSN numbers.	10 / Publication
		Conference proceedings as full papers, etc. (Abstracts not to be included)	Conference proceedings as full papers, etc. (Abstracts not to be included)	10/ publication
III (B)	Research Publications (books, chapters in books, other than refereed journal articles)	Text or Reference Books Published by International Publishers with an established peer review system	Text or Reference Books Published by International Publishers with an established peer review system	50 /sole author; 10 /chapter in an edited book
		Subjects Books by National level publishers/State and Central Govt. Publications with ISBN/ISSN numbers.	Subject Books by / national level publishers/State and Central Govt. Publications with ISBN/ISSN numbers.	25 /sole author, and 5/ chapter in edited books
		Subject Books by Other local publishers with ISBN/ISSN numbers.	Subject Books by Other local publishers with ISBN/ISSN numbers.	15 / sole author, and 3 / chapter in edited books
		Chapters contributed to edited knowledge based volumes published by International Publishers	Chapters contributed to edited knowledge based volumes published by International Publishers	10 /Chapter.

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		Chapters in knowledge based volumes by Indian/National level publishers with ISBN/ISSN numbers and withnumbers of national and international directories	Chapters in knowledge based volumes in Indian/National level publishers with ISBN /ISSN numbers and with numbers of national and international directories	5 / Chapter	III(E) III(E (i)
III (C)	RESEARCH PROJECTS				
III (C) (i)	Sponsored Projects carried out/ ongoing	(a) Major Projects amount mobilized with grants above 30.0 lakhs	Major Projects amount mobilized with grants above 5.0 lakhs	20 /each Project	II (
		(b) Major Projects amount mobilized with grants above 5.0 lakhs up to 30.00 lakhs	Major Projects Amount mobilized with minimum of Rs. 3.00 lakhs up to Rs. 5.00 lakhs	15 /each Project	
		(c) Minor Projects (Amount mobilized with grants above Rs. 50,000 up to Rs. 5 lakh)	Minor Projects (Amount mobilized with grants above Rs. 25,000 up to Rs. 3 lakh)	10/each Project	
III (C) (ii)	Consultancy Projects carried out / ongoing	Amount mobilized with minimum of Rs.10.00 lakh	Amount mobilized with minimum of Rs.2.0 lakhs	10 per every Rs.10.0 lakhs and Rs.2.0 lakhs, respectively	
III (C) (iii)	Completed projects : Quality Evaluation	Completed project Report (Acceptance from funding agency)	Completed project report (Accepted by funding agency)	20 /each major project and 10 / each minor project	
III (C) (iv)	Projects Outcome / Outputs	Patent/Technology transfer/ Product/Process	Major Policy document of Govt. Bodies at Central and State level	30 / each national level output or patent /50 /each for International level,	
III (D)	RESEARCH GUIDANCE				
III (D) (i)	M.Phil.	Degree awarded only	Degree awarded only	3 /each candidate	
III (D) (ii)	Ph.D	Degree awarded	Degree awarded	10 /each candidate	
		Thesis submitted	Thesis submitted	7 /each candidate	

III(E)	TRAINING COURSES AND CONFERENCE /SEMINAR/WORKSHOP PAPERS			
III(E) (i)	Refresher courses, Methodology workshops, Training, Teaching-Learning-Evaluation Technology Programmes, Soft Skills development Programmes, Faculty Development Programmes (Max: 30 points)	(a) Not less than two weeks duration	(a) Not less than two weeks duration	20/each
		(b) One week duration	(b) One week duration	10/each
III(E) (ii)	Papers in Conferences/ Seminars/ workshops etc.**	Participation and Presentation of research papers (oral/poster) in	Participation and Presentation of research papers (oral/poster) in	
		a) International conference	a) International conference	10 each
		b) National	b) National	7.5 / each
		c) Regional/State level	c) Regional/State level	5 / each
		d) Local – University/College level	d) Local – University/College level	3 / each
III(E) (iv)	Invited lectures or presentations for conferences/ / symposia	(a) International	(a) International	10 /each
		(b) National level	(b) National level	5

*Wherever relevant to any specific discipline, the API score for paper in refereed journal would be augmented as follows: (i) indexed journals – 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 25 points.

** If a paper presented in Conference/Seminar is published in the form of Proceedings, the points would accrue for the publication (III (a)) and not under presentation (III (e)(ii)).

Notes.

1. It is incumbent on the Coordination Committee proposed in these Regulations and the University to prepare and publicize within six months subject-wise lists of journals, periodicals and publishers under categories IIIA and B. Till such time, screening/selection committees will assess and verify the categorization and scores of publications.

2. The API for joint publications will have to be calculated in the following manner: Of the total score for the relevant category of publication by the concerned

teacher, the first/Principal author and the corresponding author/supervisor/mentor of the teacher would share equally 60% of the total points and the remaining 40% would be shared equally by all other authors.

3. The parameters listed in table of category-III (Research and Academic contributions) shall have following capping in relation to the total API score claimed by the candidates:-

- III (A) : Research papers (Journals, etc)   30%
- III (B) : Research publications (Books, etc)   25%
- III (C): Research Projects   20%
- III (D): Research Guidance   10%
- III (E): Training Courses and Conf/Seminar, etc   15%

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