

Dept. of Higher Education, U.P.
CAREER ADVANCEMENT SCHEME (CAS)

PROMOTIONS FOR ASSISTANT PROFESSOR, ASSOCIATE PROFESSOR, PROFESSOR IN COLLEGES.

(As per revised guideline of UGC notified in Gazette of India, Part III, Section-4, No-271 dated 18 July 2018 and U.P. Govt. Order No. 600/Satter-1-2019-16(114)/2010 dated 28-06-2019)

**Application for Assistant Professor Stage-II (Academic Level 10 to 11) /
Assistant Professor Stage-III (Academic Level 11 to 12)/
Associate Professor Stage-IV (Academic Level 12 to 13A)
Professor Stage-V (Academic Level 13A to 14)**

PART-I: PERSONAL DATA

(To be filled up by the Assistant Professor/Associate Professor)

	Application for the promotion of (please ✓)		<input type="checkbox"/> Assistant Professor Stage-II (AL-10 to 11) <input type="checkbox"/> Assistant Professor Stage-III (AL-11 to 12) <input type="checkbox"/> Associate Professor Stage-IV (AL-12 to 13A) <input type="checkbox"/> Professor Stage-V (AL-13A to 14)
01	Name (in BLOCK Letters)	:	
02	Father's/Mother's Name/ Husband Name	:	
03	Department	:	
04	Mobile number	:	
05	Email ID	:	
06	College Name & Address	:	
07	Website	:	
08	College NAAC Grade and date of validity	:	
09	Current Designation and Academic Level and pay (Attach all the CAS promotion orders)	:	
10	Date of first Joining as regular (in Govt. College of U.P.) (attach joining letter)	:	
11	Which position and Academic Level (11, 12, 13A) are you an applicant under CAS?	:	
12	Date of eligibility for promotion	:	
13	Order number and date of last promotion (if applicable)	:	
14	Assessment period	:	From: to
15	Date of required RC/OC/ short term course as per UGC regulation 2018, Part-II of this form	:	
16	Date of award of <i>(Date is Considered as displayed on degree or Approved by EC of University, Proof to be attached)</i> <i>Ph.D. is an essential qualification for promotion in Academic Level 13A (Page 81 of UGC regulation 2018)</i>	:	Professional degree: M.Phil: Ph.D:
17	Date and Place of Birth	:Place of Birth:.....

18	Sex	:	Male <input type="checkbox"/>	Female <input type="checkbox"/>
19	Nationality	:		
20	Indicate whether belongs to SC/ST/OBC category	:		
21	Address Postal	:	Distt:..... State:Pin Code:	
22	Address Permanent	:	Distt:..... State:Pin Code:	

23 **Academic Qualifications:- (High School till Post Graduation) :**

Examinations	Name of the Board / University	Year of Passing	Division/ Class/ Grade	Subject/s	Rank and Remark if any
Matriculation/ High School					
Intermediate (10 + 2)					
B.A. / B.Sc. / B.Com. / & equivalent					
M.A. / M.Sc. / M.Com. / & equivalent					
Other, if any					

25 **Research Degree(s):**

Degrees	Title	Date of Award	University
M.Phil.			
Ph.D. / D.Phil.			
D.Sc. / D.Litt.			
Others (Please Specify)			

26 **Particulars of NET/JRF/SLET/GATE etc**

Name of the Test	Name of the test conducting body	Month and Year	Roll No.	Subject	Score, where applicable

27

Service Record: (Attaché all the transfer orders and joining relieving certificates)

Sr. No.	Post/ Designation	Name of Employer	Date of		Pay Scale/ Pay Band & AGP	Reason of leaving	Major achievement
			Joining	Leaving			

28 Period of teaching experience :

a) P.G. Classes (in years) :

b) U.G. Classes (in years) :

29 Research Experience excluding years spent in M.Phil. / Ph.D. (in years) :

30 Fields of Specialisation under the Subject / Discipline (if any) :

Signature of faculty:

Name:

Designation:

PART-II
CAREER ADVANCEMENT SCHEME (CAS)

PROMOTIONS FOR ASSISTANT PROFESSOR, ASSOCIATE PROFESSOR, PROFESSOR IN COLLEGES.)

Assessment Period: to Stage:.....

31- Eligibility and Criteria for CAS Promotion: (as specified in Clause 6.4(B) of UGC Regulation 2018)

Stage-I	Assistant Professor (Academic Level 10) to Assistant Professor (Senior Scale/Academic Level 11)	<i>Proof page no</i>
Eligibility	(i) Assistant Professors who have completed four years of service and having a Ph.D. degree or five years of service and having a M.Phil. / PG Degree in Professional Courses, such as LLM, M.Tech., M.Sc., M.D., or six years of service for those without Ph.D./M.Phil./ PG Degree in Professional courses. (ii) Attended one OC of 21 days on teaching methodology (iii) Completed one RC / Research Methodology Course OR Any two of the following: Workshop, Syllabus Up-gradation Workshop, Training Teaching-Learning-Evaluation, Technology Programmes and Faculty Development Programmes of at least one week (5 days) duration, OR Completed one MOOCs course (with e-certification) or development of e-contents in four-quadrants / MOOC's course during the assessment period.	
CAS Promotion Criteria	(i) He/she gets 'satisfactory' or 'good' grade in the annual performance assessment reports of at least 3/4/5 of the last 4/5/6 years of the assessment period as the case may be, as specified in Appendix II, Table 1, (ii) <i>The promotion is recommended by a screening-cum-evaluation committee.</i>	Part-III
Stage-II	Assistant Professor (Senior Scale/Academic Level 11) to Assistant Professor (Selection Grade/Academic Level 12)	<i>Proof page no</i>
Eligibility	(i) Assistant Professors who have completed five years of service in Academic Level 11/Senior Scale (ii) Any two of the following in the last five years of Academic Level-11/ Senior Scale: Completed courses/programmes from among the categories of Refresher Courses/Research Methodology course/Workshops/Syllabus Up Gradation Workshop/ Teaching-Learning-Evaluation/ Technology Programmes/ Faculty Development Programme/ Syllabus Up-gradation Workshop/ Teaching-Learning- Evaluation/ Technology Programmes/ Faculty Development Programmes of at least two weeks (ten days) duration OR completed two courses of at least one week (five days) duration in lieu of every single course/programme of at least two weeks (ten days) duration); OR completed MOOCs course in the relevant subject (with e-certification); or contribution towards development of e-content in 4-quadrant (at least one quadrant) minimum of 10 modules of a course/contribution towards development of at least 10 modules of MOOCs course/ contribution towards conducting of a MOOCs course during the period of assessment.	
CAS Promotion Criteria	(i) The teacher gets 'satisfactory' or 'good' grade in the annual performance assessment reports of at least 4 of the last 5 years as prescribed in Appendix II, Table 1 (ii) <i>The promotion is recommended by a screening-cum-evaluation committee.</i>	Part-III
Stage-III	Assistant Professor (Selection Grade/Academic Level 12) to Associate Professor (Academic Level 13A)	<i>Proof page no</i>
Eligibility	(i) completed Three years of service in (Selection Grade/Academic Level 12) (ii) A Ph.D. degree in subject relevant /allied/relevant discipline (iii) Any one of the following RC/ Methodology Workshop/Syllabus Up-gradation Workshop/ Teaching- Learning-Evaluation Technology Programme/ Faculty Development Programme of at least two weeks (ten days) duration OR two courses of at least one week (five days) duration in lieu of every single course/programme of at least two weeks (ten days) duration); OR completed one MOOCs course (with certification); or contribution towards development of e-contents in 4-quadrant (at least one quadrant) minimum of 10 modules of a course/contribution towards development of at least 10 modules of MOOCs course/ contribution towards conduct of a MOOCs course during the period of assessment.	
CAS Promotion Criteria	(i) The teacher gets 'satisfactory' or 'good' grade in the annual performance assessment reports of at least 2 of the last 3 years as prescribed in Appendix II, Table 1 (ii) The promotion is recommended by a selection committee in accordance with these Regulations.	Part-III
Stage-IV	Associate Professor (Academic Level 13A) to Professor (Academic Level 14)	<i>Proof page no</i>
Eligibility	(i) completed Three years of service in (Academic Level 13A) (ii) A Ph.D. degree in subject relevant /allied/relevant discipline (iii) A minimum of 10 research publications in peer reviewed/UGC listed/CARE listed journals out of which three research papers shall be published during the assessment period. (iv) A minimum of 110 research score as per Appendix II, Table 2	
CAS Promotion Criteria	(i) The teacher gets 'satisfactory' or 'good' grade in the annual performance assessment reports of at least 2 of the last 3 years of the assessment period as per Appendix II, Table 1 and at least 110 research score as per Appendix II, Table 2 (ii) The promotion is recommended by the selection committee constituted in accordance with these Regulations.	Part-III

PART-III
CAREER ADVANCEMENT SCHEME (CAS)

PROMOTIONS FOR ASSISTANT PROFESSOR, ASSOCIATE PROFESSOR, PROFESSOR IN COLLEGES.)

Assessment Period: to Stage:.....

32. Assessment Criteria and Grading of Activity for College Teachers:

(as specified in Clause 6.1 and Appendix II, Table 1 of UGC Regulation 2018)

(Please see detailed instructions in UGC- Gazette of India, Part III, Section-4, No-271 dated 18-7-2018)

Serial number	Nature of activity	Grading Criteria	Assessment period : to						Annexure No	Page No
			Proof required	Academic Year	Academic Year	Academic Year	Academic Year	Academic Year:		
1	Teaching (Write teaching percentage) (as the case may be) in academic year column of concerned category, applicable for you. Assessment must based on evidence produced by the teacher.)									
	<i>Teaching: (Number of classes taught/total classes assigned) x100%</i> (Classes taught includes sessions on tutorials, lab and other teaching related activities)	<ul style="list-style-type: none"> • 80% & above - Good • Below 80% but 70% & above- Satisfactory • Less than 70% - Not satisfactory 	Certified copy of Proof of related activity							
	Overall grading in activity at serial no 1 given by IQAC									
2	Involvement in the University/College students related activities/ research activities (Write <i>name of activities</i> (as the case may be) in academic year column of concerned category, applicable for you. Assessment must based on evidence produced by the teacher.)									
A	<i>Administrative responsibilities</i> such as Head, Chairperson/ Dean/ Director/ Co-ordinator, Warden etc.	Good - Involved in at least 3 activities Satisfactory - 1-2 activities Not-satisfactory - Not involved / undertaken any of the activities Note: Number of activities can be within or across the broad categories of activities	Certified copy of Administrative responsibilities assigned and work done							
B	<i>Examination and evaluation</i> duties assigned by the college / university or attending the examination paper <i>evaluation</i> .		Certified copy of duties assigned and work done in each year							
C	<i>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. Sudent Seminar, Roves, Sports etc</i>		Certified copy of duty assigned and work done in each year							
D	Organising seminars/ conferences/ workshops, other college/university activities.		Certified copy of duty proof of orgaising activity in each year							
E	Evidence of actively involved in guiding Ph.D student		Certified copy of duty Proof of guidance							

F	Conducting minor or major research project sponsored by national or international agencies.		Certified copy of duty Proof of project & sponsorship								
G	At least one single or joint publication in peer-reviewed or UGC list of Journals.		Proof and reprint of publication as per UGC regulation -2018								
Overall Grading in activity at serial no 2 given by IQAC											
Overall Grading in the annual performance assessment reports of the year approved by IQAC											
Signature of the IQAC members											
Overall Grading in the annual performance assessment reports of the year Approved by Screening/selection committee											
Signature of the Screening/selection committee											

Overall grading Calculation-

- **Good:** Good in teaching and satisfactory or good in activity at Sl.No.2.
- **Satisfactory:** Satisfactory in teaching and good or satisfactory in activity at Sl.No.2.
- **Not Satisfactory:** If neither good nor satisfactory in overall grading
- **Overall grading required for Promotion:** Good/Satisfactory required during assessment period as prescribed in Part-II

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.

33. ACADEMIC/ RESEARCH ACTIVITY

(Applicable only for promotion of Associate Professor (Academic Level 13A) to Professor (Academic Level 14)

Not Applicable

NOTE:-

- This is to be filled as per Appendix II, Table 2 of UGC Regulations 2018
- Wherever the research contribution is jointly made, the API scores should be shared between the contributors as per the formula provided in the NOTES of Appendix II, Table 2 of UGC Regulations 2018.
- The self-assessment score will be based on verifiable criteria and will be finalized by the screening cum evaluation committee/selection committee.
- If applicant claim for impact factor and refereed category of journal , It is the duty of applicant to provide a valid proof or Certificate issued by Thomson Reuters, If applicant not attached proof, minimum marks of the category award to applicant)
- The combined research score from the categories of 5(b) Policy Document and 6 Invited lecture/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.

I : Research papers (Journals, etc)

S.No.	Title with page no.	Journal Name	UGC Sr. No	Year	ISSN No.	Refereed /other Journals as notified by the UGC	Total No of authors	Whether you are the First/ Principal / corresponding author /supervisor / mentor author	API Score Claimed	API Score approved by IQAC	Annexure No	Page No	API Score approved by Screening Committee
1.													
Total API:													

II (a) Publications other than journal articles (books, chapters in books)

S.N.	Title of Book or chapter with page no.	Publisher Detail	Published by International/ National/Local Publishers	Year	ISSN/ ISBN No.	Total No of authors	Whether you are the main author	API Score Claimed	API Score approved by IQAC	Annexure No	Page No	API Score approved by Screening Committee
Total API:												

II (b) Translation works in Indian and Foreign Languages

S.N.	Title of Book or chapter with page no.	Publisher Detail	Published by International/ National/Local Publishers	ISSN/ ISBN No.	Total No of authors	Whether you are the main author	API Score Claimed	API Score approved by IQAC	Annexure No	Page No	API Score approved by Screening Committee
Total API											

3.	M.Phil./P.G. dissertation (Degree Awarded)							
		Total API						

IV (b) Research Projects completed

S. N.	Title	Funding Agency	Period	Grant/ Amount Mobilized (Rs Lakhs)	API Score Claimed	API Score approved by IQAC	Annexure No	Page No	API Score approved by Screening Committee
		Total API							

IV (c) Research Projects Ongoing

S. N.	Title	Funding Agency	Period	Grant/ Amount Mobilized (Rs Lakhs)	API Score Claimed	API Score approved by IQAC	Annexure No	Page No	API Score approved by Screening Committee
	Total API								

IV (d) Consultancy Project

S. N.	Title	Agency	Period	Amount Mobilized (Rs Lakhs)	API Score Claimed	API Score approved by IQAC	Annexure No	Page No	API Score approved by Screening Committee
	Total API								

V (a) Patents

S.N.	Title of Patent	Detail of Patent (International or National)	API Score Claimed	API Score approved by IQAC	Annexure No	Page No	API Score approved by Screening Committee
	Total API						

V (b) Policy Document (Submitted to an International body/organization like UNO/UNESCO/World Bank/IMF etc. Or Central Government or State Government)

S.N.	Title of Policy Document	Name of International body/Central Government body/State Government body	API Score Claimed	API Score approved by IQAC	Annexure No	Page No	API Score approved by Screening Committee
	Total API						

V (c) Fellowships/ Awards

S.N.	Name of Fellowships/ Awards	Awarding Agency	Whether International /National	Honorarium of Award, if any	API Score Claimed	API Score approved by IQAC	Annexure No.	Page No	API Score approved by Screening Committee
Total API :									

VI. Invited lectures /Resource Person/ paper presentation in seminars/Conferences/Proceedings

(Paper presented in Seminars/Conferences and also published as full paper in Conference Proceedings will be counted only once)

S.N.	Title of the Invited lectures / papers	Title of Conference / Seminar /workshop etc	Organized by	Sponsored by	Whether International (abroad) / International (within country) / National/ State or University level	API Score Claimed	API Score approved by IQAC	Annexure No	Page No	API Score approved by Screening Committee
1.										
2.										
Total API :										

The parameters listed in Appendix II, Table 2 of UGC Regulations 2018(Research and Academic Activity) shall have following API score claimed by the candidates:-

Sub-Category	API Score Claimed	API Score approved by IQAC	API Score approved by Screening Committee
I. Research papers (Journals, etc)			
II (a) Publications other than journal articles (books, chapters in books)			
II (b) Translation works in Indian and Foreign Languages			
III (a) Development of Innovative pedagogy			
III (b) Design of new curricula and courses			
III (c) Development of MOOCs			
III (d) Development of E-Content			
IV(a) Research Guidance			
IV (b) Research Projects completed			
IV (c) Research Projects Ongoing			
IV (d) Consultancy Project			
V (a) Patents			
V (b) Policy Document			
V(c) Fellowships/ Awards			

37	<p>Report of Principal and Convenor/Director of IQAC All the document submitted by Assistant Professor/Associate Professor are verified and found authentic. The Overall grading is Good or Satisfactory each year during assessment period, as mentioned the above are correct.</p>	
	Name & Signature of the Principal: Name of the college: Place: Date:	Name & Signature of the Convenor/Director of IQAC: Name of the college: Place: Date:
	<p><i>N.B.: The individual proforma for CAS promotion duly filled along with all enclosures, will be duly verified by the IQAC and shall be placed before the Screening cum Evaluation Committee or Selection Committee for Promotion.</i></p>	
38	In case of the Principal/Convenor IQAC is not satisfied with the reporting by the teacher in the self-appraisal and thus not willing to certify (as mentioned above), then Principal/Director, H.E./Convenor IQAC must record below the reasons in writing for not certifying the reported self-appraisal information as mentioned in PART- II and PART-III (serial no. 31 to serial number 32).	
 Signature of the Principal Name of the college..... Place:..... Date:..... Signature of the Convenor/Director of IQAC: Name of the college..... Place:..... Date:.....

Recommendation of Screening-cum-Evalution/Selection Committee