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**KANNADA UNIVERSITY, HAMPI**

**Vidyaranya 583276**

**Hospet Taluk, Bellary Dist**

**KARNATAKA**

**Draft Statute Governing**

**PROMOTION UNDER CAREER ADVANCEMENT SCHEME FOR**

**INCUMBENT ASSISTANT PROFESSORS/ ASSOCIATE**

**PROFESSORS, PROFESSORS AND LIBRARIANS.**

**Preamble:**

University Grants Commission has revised pay scales, minimum qualifications for the appointment of teachers in the University and Colleges, designations as Assistant Professor, Associate Professor and Professor and other measures for the maintenance of standards through the Notification No.F.3-1/2009(PS) dated 23.09.2009.The UGC through its another Notification No.F.3-1/2009 (PS) dated Sept, 2009 has notified the regulations for the promotion under career advancement scheme for incumbent Assistant Professor/Associate Professors, Professors and Library staff. The Government has accepted the notification of UGC vide ref, No. ED 37 UNE 2009 dated 24.12.2009.The scheme would be applicable to all the grades of Assistant professors Associate Professor, Professors and Library staff.

The Kannada University Executive Committee in its 123rd meeting held on 5.6.2010 has adopted the UGC Notification **F.3-1/2009(PS)** dated **23.09.2009** governing the promotion under career advancement scheme for incumbent Assistant Professor/Associate Professors, Professors and Library staff. The same committee has approved the list of Board of Appointment Members (BOA) during the 123rd Executive Committee meeting. (Resolution No: 123:03)

The Executive Committee of the Kannada University in its 155th meeting held on 14.06.2013 has approved the CAS statute. (Resolution No: 155:08)

**Statute Governing Career Advancement of Teachers working in Kannada University, Hampi, under UGC career Advancement Scheme-2009.**

This statute is framed under Section 23 of Kannada University Act. 1991 of the Government of Karnataka

**Title and Commencement:**

1. This statute shall be called the statute governing career advancement of teachers working in Kannada University under UGC Career Advancement Scheme 2009.

2. This statute shall come into force from the date of assent of the Chancellor.

3. The University shall introduce this scheme of promotion under career advancement for the teachers in the Departments in a sponsored scheme of UGC XI plan pay scale guideline**.**

**1.1. Assistant Professor (stage1) to Assistant Professor (stage 2 and 3)**

1.1.a. Assistant Professors (Stage 1) would be eligible for promotion under the Career Advancement Scheme (CAS) through two successive stages (stage 2 and Stage 3), provided they are assessed to fulfil the eligibility and performance criteria.

1.1.b. An entry level Assistant Professor, possessing Ph. D. Degree in the relevant discipline shall be eligible for moving to the next higher grade (stage 2) after completion of four years of service as Assistant Professor.

1.1.c. An entry level Assistant Professor possessing M.Phil. Degree shall be eligible for the next higher grade (stage 2) after completion of five years of service as Assistant Professor.

1.1.d. An entry level Assistant Professor who does not have Ph.D. or M.Phil, shall be eligible for the next higher grade (stage 2) only after completion of six years of service as Assistant Professor.

1.1.e. The upward movement from the entry level grade (stage 1) to the next higher grade (stage 2) for all Assistant Professors shall be subject to their satisfying the API based PBAS conditions laid down by the UGC.

1.1.f. Assistant Professors who have completed five years of service in the second grade (stage 2) shall be eligible, subject to meeting the API based PBAS requirements laid down by the UGC to move to next higher grade (stage 3).

**1.2. Assistant Professor (stage 3) to Associate Professor (Stage 4)**

1.2.a Assistant Professors completing three years of service in third grade (stage 3) shall be eligible, subject to the qualifying conditions and the API based PBAS requirements prescribed by the UGC to move to the next higher grade (stage 4) and to be designated as Associate Professor.

**1.3. Associate Professor (Stage 4) to Professor (Stage 5)**

1.3.a Associate Professor completing three years of service in stage 4 and possessing a Ph.D. Degree in the relevant discipline shall be eligible to be appointed and designated as Professor and be placed in the next higher grade (stage 5), subject to (a) satisfying the required credit points as per API based PBAS methodology provided in Table I, II and III of Appendix III stipulated in the Regulations, and (b) an assessment by a duly constituted selection committee as suggested for the direct recruitment of Professor. *Provided* that no teacher, other than those with a Ph.D shall be promoted or appointed as Professor.

**1.4. Professor (stage 5) to Higher Grade of Professorship (stage 6)**

1. 1.4.a.Ten percent of the positions of Professors in a university, with a minimum of ten years of teaching / research experience as professor either in the pre-revised scale of Professor’s pay or the revised scale pay will be eligible for promotion to the higher grade of Professorship (stage 6), on satisfying the required API score as per Tables I and II through the PBAS methodology stipulated in these Regulations through a duly constituted Expert committee, and such teachers promoted to the higher grade shall continue to be designated as ‘Professor’. As this AGP elevation (Pay Band-4 (37400-67000) with grade pay of Rs.12000 is replaced by the new HAG scale of Rs.67000 -79000 with Annual increment at 3% with no grade pay) for Professor is applicable to only university departments, additional credentials are to be evidenced by:
2. Research outputs of high standard;
3. Publications/awards / honours /and recognitions;

(c) Additional research degrees like D.Sc., D.Litt.,etc.

1.4.b The selection is to be conducted by the university by receiving duly filled PBAS proformas from eligible professors based on seniority, three times in number of the available vacancies in each faculty. In case the number of candidates available is less than three times the number of vacancies, the zone of consideration will be limited to the actual number of candidates available. The assessment process shall be through an Expert-Committee evaluation of all credentials submitted as stipulated in Table-II of Appendix-III for teachers in University departments. No separate interview need to be conducted for this category.

**STAGES OF PROMOTION UNDER THE CAREER ADVANCEMENT SCHEME FOR ASSISTANT LIBRARIANS.**

**2.1. Assistant Librarian (Stage 1) to Assistant Librarian (Stage 2)**

2.1.a Assistant Librarian in the entry level grade, possessing Ph.D. in Library Science, after completing service of four years in the lowest grade, if otherwise eligible as per API scoring system and PBAS methodology laid down by the UGC, shall be eligible for the higher grade (stage 2).

2.1.b. Assistant Librarian in the entry level grade, not possessing Ph.D. but only M.Phil. in Library Science, after completing service of five years in the lowest grade, if otherwise eligible as per API scoring system and PBAS methodology laid down by the UGC, shall become eligible for the next higher grade (stage 2).

2.1.c Assistant Librarian in the entry level grade, without the relevant Ph.D. or M.Phil. after completing six years in the lowest grade, if otherwise eligible as per API scoring system and PBAS methodology laid down by the UGC, shall become eligible for the next higher grade (stage 2).

**2.2. Assistant Librarian (Stage 2) to Deputy Librarian (Stage 3)**

2.2.a. On completion of service of five years, Assistant Librarian (Stage 2) shall be eligible for the post of Deputy Librarian/ equivalent posts and being placed in the next higher grade (stage 3), subject to their fulfilling other conditions of eligibility (such as Ph.D. Degree, etc. for Deputy Librarian) as per API scoring system based PBAS methodology laid down by the UGC for CAS promotion. They shall be designated as Deputy Librarian / Assistant Librarian (Selection Grade).

**2.3. Deputy Librarian (Stage 3) to Stage 4**

2.3.a After completing three years in the above grade, Deputy Librarians /equivalent positions shall move to the next higher grade (stage 4), subject to fulfilling other conditions of eligibility as per API scoring system and PBAS methodology laid down by the UGC for CAS promotion.

**SELECTION PROCEDURES:**

**3.1.** The overall selection procedure is transparent, objective and credible methodology to analyze 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 Tables I to VI of Appendix III.

**3.2.** The University has adopted the UGC Regulations in TOTO for the Promotion of incumbent and newly appointed Teachers and equivalent positions in Library.

**3.3.** Besides the indexed publications documented by various discipline-specific databases, a comprehensive list of National /Regional level journals of quality in the concerned subject(s); and a comprehensive list of Indian language journals / periodicals / official publication volumes of language bodies could be considered to grade the quality of publications for appointments/promotions.

**3.4.** The process of selection of Associate Professor shall involve inviting the bio-data with the duly filled Performance Based Appraisal System (PBAS) proforma developed by the universities based on the API criteria provided by UGC.

**3.5.** Three publications (books/articles) shall be required to be submitted for all the three categories mentioned above for consideration of promotion from Assistant Professor to Associate Professor.

**3.6**. The publications shall be provided to the subject experts for assessment before the interview and the evaluation score of the publications provided by the experts shall be factored into the weightage scores while finalizing the outcome of selection by the selection committee.

**3.7**. The process of selection of Professor shall involve inviting the bio-data with duly filled Performance Based Appraisal System (PBAS) proforma developed by the university along with reprints of five major publications of the candidates.

**3.8**. The publications submitted by the candidate for promotion under CAS shall have been published during the period of previous stage.

**3.9**. Such publications shall be provided to the subject experts for assessment before the interview and the evaluation of the publications by the experts shall be factored into the weightage scores while finalizing the outcome of selection.

**3.10.** In the selection process for posts involving different nature of responsibilities in certain disciplines/areas, such as Music and Fine Arts, Visual arts and Performing arts and Library, a separate API based PBAS proforma for both direct recruitment and CAS promotions prepared by Internal Quality Assurance Cell (IQAC) of University may be submitted.

**4.1 While the API:**

1. Tables I, II and III of Appendix III are applicable to the selection of Professors/ Associate Professors /Assistant Professors.
2. Tables IV, V and VI of Appendix III are applicable to Librarians/ Deputy Librarians and Assistant Librarians for both direct recruitment as well as Career Advancement Promotions.

**4.1.1.**. The minimum norms of Selection Committees and Selection Procedures as well as API score requirements for the above cadres, either through direct recruitment or through Career Advancement Schemes Regulations, shall be similar. Table II provide for CAS promotions of teachers in universities.

**4.1.2**. In order to remedy the difficulties of collecting retrospective information and to facilitate the implementation of these regulations from 31-12-2008 in the CAS Promotion, the API based PBAS will be progressively and prospectively rolled out. Accordingly, the PBAS based on the API scores of categories I and II as mentioned in these tables is to be implemented for one year, initially based on the existing systems in universities for one year only with the minimum annual scores as depicted in Table II for university teachers, or by Librarian cadres as depicted in Table V. This annualized API scores can then be compounded progressively as and when the teacher becomes eligible for CAS promotion to the next cadre. Thus, if a teacher is considered for CAS promotion in 2010, one year API scores for 2009-10 alone will be required for assessment. In case of a teacher being considered for CAS promotion in 2011, two years average of API scores for these categories will be required for assessment and so on leading progressively for the complete assessment period. For Category III (research and academic contributions), API scores for this category will be applied for the entire assessment period. A teacher who wishes to be considered for promotion under CAS may submit in writing to the university, with three months in advance of the due date, that he/she fulfils all qualifications under CAS and submit to the university the Performance Based Appraisal System proforma as evolved by the university duly supported by all credentials as per the API guidelines set out in these Regulations. In order to avoid delays in holding Selection Committee meetings in various positions under CAS, the University should immediately initiate the process of screening/selection, and shall complete the process within six months from the date of application. Further, in order to avoid any hardships, candidates who fulfil all other criteria mentioned in these Regulations, as on 31 December, 2008 and till the date on which this Regulation is notified, can be considered for promotion from the date, on or after 31 December, 2008, on which they fulfil these eligibility conditions.

**4.1.3**. Candidates who do not fulfil the minimum score requirement under the API ScoringSystem proposed as per Table II or V of Appendix III or those who obtain less than 50% in the expert assessment of the selection process will have to be re-assessed only after a minimum period of one year. The date of promotion shall be the date on which he/she has successfully got re-assessed.

**4.1.4.** The Selection Committee specifications as delineated in Clauses 4.1.0 to 4.1.7 of UGC regulations are applicable to all direct recruitments of Faculty Positions and Career Advancement promotions of Assistant Professor to Associate Professor and to that of Associate Professor to Professor.

**4.1.5.** CAS promotions from a lower grade to a higher grade of Assistant Professor shall be conducted by a “**Screening cum Evaluation Committee**” adhering to the criteria laid out as API score in PBAS in the Tables of Appendix-III.

**4.1.6. Selection Committee for the post of Assistant Professor**

a. The Vice Chancellor as the Chairperson of the Selection Committee;

b. The Dean of the concerned Faculty;

c. The Head of the Department (those in the rank of Associate Professor / Professor / Deputy Librarian / Librarian; and

d. One subject expert in the concerned subject nominated by the Vice Chancellor from the University panel of experts.

**4.1.7.** The quorum for these committees shall be three including the one subject expert/ university nominee need to be present.

**4.1.8**. The Screening cum Evaluation Committee on verification/evaluation of API score secured by the candidate through the ‘PBAS’ methodology designed by the respective university based on these Regulations and as per the minimum requirement specified: (a) in Tables II and III for each of the cadre of Assistant Professor; (b) in Tables V and VI for each of the cadre of Librarians shall recommend to the Executive Committee of the University about the suitability for the promotion of the candidate(s) under CAS for implementation.

**4.1.9**. All the selection procedures outlined above, shall be completed on the day of the selection committee meeting, wherein the minutes are recorded along with PBAS scoring proforma and recommendation made on the basis of merit and duly signed by all members of the selection committee in the minutes.

**4.2. Selection Committee for the post of Associate Professor**

1. Vice Chancellor to be the Chairperson of the Selection Committee.
2. Three experts in the concerned subject/field nominated by the Vice Chancellor out of the panel of names approved by the relevant statutory body of the university concerned.
3. Dean of the faculty, wherever applicable.
4. Head of the Department (those in the rank of Associate Professor/Professor).
5. An academician representing SC/ST/OBC/ Minority / Women / Differently-abled categories, if any of candidates representing these categories is the applicant, to be nominated by the Vice Chancellor, if any of the above members of the selection committee do not belong to that category.

At least four members, including two outside subject experts, shall constitute the quorum.

**4.3. Selection Committee for the post of Professor**

**4.3.1**. The composition of the Selection Committee for the post of Professor in the University shall be similar in composition as that for the post of Associate Professor.

**4.3.2.** At least five members, including two experts, should constitute the quorum.

**4.3.3**. All the selection procedures of the selection committee shall be completed on the day of the selection committee meeting itself, wherein, minutes are recorded along with the scoring proforma and recommendation made on the basis of merit with the list of selected and waitlisted candidates/Panel of names in order of merit, duly signed by all members of the selection committee.

**4.3.4**. Selection Committees for the posts of Librarians, Deputy Librarians and Assistant Librarians shall be the same as that of Professor, Associate Professor and Assistant Professor respectively, except that the concerned expert in Library administration, practicing Librarian, as the case may be, shall be associated with the Selection Committee as one of the subject experts.

**4.3.5**. CAS promotions being a personal promotion to the incumbent teacher holding a substantive sanctioned post, on superannuation of the individual incumbent, the said post shall revert back to its original cadre.

**4.3.6**. The incumbent teacher must be on the role and active service of the Universities on the date of consideration by the Selection Committee for Selection/CAS Promotion.

**4.3.7.** Candidates shall offer themselves for assessment for promotion, if they fulfil the minimum API scores indicated in the appropriate API system tables by submitting an application and the required PBAS proforma. They can do so three months before the due date if they consider themselves eligible. Candidates who do not consider themselves eligible can also apply at a later date. In any event, the university concerned shall send a general circular twice a year calling for applications for CAS promotions from eligible candidates.

**4.3.8.** In the final assessment, if the candidates do not either fulfil the minimum API scores in the criteria as per PBAS proforma or obtain less than 50% in expert assessment, wherever applicable, such candidates will be reassessed only after a minimum period of one year.

**4.3.9**. If a candidate applies for promotion on completion of the minimum eligibility period and is successful, the date of promotion will be from that of minimum period of eligibility.

**4.3.10**. If, however, the candidates find that he/she fulfils the eligibility conditions at a later date and applies on that date and is successful, his/her promotion will be effected from that date of application fulfiling the criteria.

**4.3.11**. If the candidate does not succeed in the first assessment, but succeeds in the eventual assessment, his/her promotion will be deemed to be from the later date of successful assessment.

**4.4.COUNTING OF PAST SERVICES FOR PROMOTION UNDER CAS**

**4.4.1.** Previous regular service, whether national or international, as Assistant Professor, Associate Professor or Professor or equivalent in a University, College, National Laboratories or other scientific/professional Organizations such as the CSIR, ICAR, DRDO, UGC, ICSSR, ICHR, ICMR, DBT, etc., should be counted for direct recruitment and promotion under CAS of a teacher as Assistant Professor, Associate Professor, Professor or any other nomenclature these posts are described as per Appendix III – Table No. II, provided that:

1. The essential qualifications of the post held were not lower than the qualifications prescribed by the UGC for Assistant Professor, Associate Professor and Professor as the case may be.
2. The post is/was in an equivalent grade or of the pre-revised scale of pay as the post of Assistant Professor (Lecturer) Associate Professor (Reader) and Professor.
3. The candidate for direct recruitment has applied through proper channel only.
4. The concerned Assistant Professor, Associate Professor and Professor should possess the same minimum qualifications as prescribed by the UGC for appointment to the post of Assistant Professor, Associate Professor and Professor, as the case may be.
5. The post was filled in accordance with the prescribed selection procedure as laid down in the Regulations of University/State Government/Central Government/ Concerned Institutions, for such appointments.
6. The previous appointment was not as guest lecturer for any duration, or an ad hoc or in a leave vacancy of less than one year duration. Ad hoc or temporary service of more than one year duration can be counted provided that:
7. The period of service was of more than one year duration;
8. The incumbent was appointed on the recommendation of duly constituted Selection Committee.

**4.5. PERIOD OF PROBATION AND CONFIRMATION**

**4.5.1.** The minimum period of probation shall be one year extendable by a maximum period of one more year in case of unsatisfactory performance.

**4.5.2**. The confirmation at the end of one year shall be automatic, unless extended for another year by a specific order, before expiry of the first year.

**4.5.3.** Subject to this Clause 11 of UGC regulation, it is obligatory on the part of the university/the concerned Institution to issue an order of confirmation to the incumbents within 45 days of completion of probationary period after due process of verification of satisfactory performance.

**4.5.4**. Probation and confirmation rules are applicable only at the initial stage of recruitment, issued from time to time, by Central Government.

**4.5.5**. All other Central Government rules on probation and confirmation shall be applicable mutatis mutandis.

**4.6. Repeal and Saving clause:**

When the revised statute comes into effect, the earlier statute governing CAS promotions and its amendments are hereby repealed. Those who are eligible as per the existing statutes, if not promoted before the new statute comes in to effect, shall be promoted as per the statutes applicable during that period.

**4.6 (a).** As and when there are any modifications in CAS promotions by UGC it is deemed to be adopted.

**4.7. Removal of difficulties:**

Any other issue(s) not envisaged above shall be resolved by the syndicate, which shall be final and binding. Tables and Appendix referred in the statute are as shown in the UGC regulations No F.N3-1/2009 dated 28 June 2010 and also as published in the Gazette of India, Part III, Sector 4.

|  |  |
| --- | --- |
| **Registrar**  Kannada University, Hampi | **Vice Chancellor**  Kannada University, Hampi |

**APPENDIX – III TABLE – I**

**PROPOSED SCORES FOR ACADEMIC PERFORMANCE INDICATORS (APIs) IN RECRUITMENTS AND CAREER ADVANCEMENT SCHEME (CAS) PROMOTIONS OF UNIVERSITY 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 | Research works, Lectures, seminars, tutorials, practicals, contact hours undertaken taken as percentage of lectures allocateda. | 50 |
| 2 | Examination duties (Invigilation; question paper setting, evaluation/assessment of answer scripts) as per allotment. | 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 | Consultancy, Extension, Innovative activities and other academic activities. | 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.

**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 scores 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** |

**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.** |  | **Languages/Arts/Humanities/Social Sciences/History of Sciences/Library/** | **Max. points for University teacher position** |
| **III A** | Research Papers  published in: | Refereed Journals\* | 15 / publication |
|  |  | 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) | 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 | 50 /sole author; 10 /chapter in an edited book |
|  |  | 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. | 15 / sole author, and 3 / chapter in edited books |
|  |  | Chapters contributed to edited knowledge based volumes published by International Publishers | 10 /Chapter |
|  |  | 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 (C) RESEARCH PROJECTS**

|  |  |  |  |
| --- | --- | --- | --- |
| **III (C) (i)** | Sponsored Projects carried out/ ongoing | 1. Major Projects amount mobilized with grants above 30.0 lakhs 2. Major Projects amount mobilized with grants above 5.0 lakhs up to 30.00 lakhs 3. Minor Projects (Amount mobilized with grants above Rs. 50,000 up to Rs. 5 lakh) | 20 /each Project  15 /each Project  10/each Project |
| **III (C) (ii)** | Consultancy Projects  carried out / ongoing | Rs.10.0 lakhs and Rs.2.0 lakhs, respectively | 10/each Project |
| **III (C) (iii)** | Completed projects : Quality Evaluation | Completed project report (Accepted by funding agency) | 20 /each major project and 10 / each minor project |
| **III (C) (iv)** | Projects Outcome / Outputs | 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 | 3 /each candidate |
| **III (D) (ii)** | Ph.D | Degree awarded | 10 /each candidate |
|  |  | 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 | 20 / each |
|  |  | (b) One week duration | 10 / each |
| **III(E) (ii)** | Papers in Conferences/ Seminars/ workshops etc.\*\* | Participation and Presentation of research papers (oral/poster) in |  |
| a) International conference | 10 / each |
|  | b) National | 7.5 / each |
|  |  | c) Regional/State level | 5 / each |
|  |  | d) Local –University/College level | 3 / each |
| **III(E) (iv)** | Invited lectures or presentations for conferences / symposia | 1. International 2. National level | 10 /each  5 / each |

* 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 under (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 III B. Till such time, screening/selection committees will assess and verify the categorization and scores of publications.

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.

**APPENDIX – III TABLE – II**

**MINIMUM APIS AS PROVIDED IN APPENDIX – III TABLE I TO BE APPLIED FOR THE PROMOTION OF TEACHERS UNDER CAREERADVANCEMENT SCHEME (CAS) IN UNIVERSITY DEPARTMENTS, AND WEIGHTAGES FOR EXPERT ASSESSMENT**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  | **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)** |
| I | Teaching-learning, Evaluation Related Activities (category I) | 75/Year | 75/year | 75/year | 75/year | 75/year |
| II | Co-curricular, Extension and Profession related activities (Category II) | 15/Year | 15/Year | 15/Year | 15/Year | 15/Year |
| III | Minimum total average annual Score under Categories I and II\* | 100/Year | 100/Year | 100/Year | 100/Year | 100/Year |
| IV | Research and Academic Contribution (Category III) – | 10/Year  (40/assessment  period) | 20/Year  (100/assessment  Period) | 30/Year  (90/assessment  period) | 40/Year  (120/assessment  period) | 50/Year  (500/assessment  period) |
|  | Expert Assessment System | Screening Committee | Screening Committee | Selection Committee | Selection Committee | Expert Committee |
| V | Percentage Distribution of Weightage Points in the Expert Assessment (Total weightage = 100. Minimum required for promotion is 50) | No separate points. Screening committee to verify API scores | No separate points. Screening committee to verify API scores | 30% - Contribution to  Research  50% - Assessment of  domain knowledge  and teaching practices.  20 % - Interview  performance | 50% - Contribution to  Research.  30 % - Assessment of  domain knowledge and  teaching practices. 20 % - Interview  performance | 50% - research. 50 % - Performance evaluation and other credential by referral procedure |

1. \*Teachers may score 10 points from either Category I or Category II to achieve the minimum score required under Category I + II.
2. **Note:** For universities for which Sixth PRC Awards (vide Appendix 2) are applicable, Stages 1, 2, 3, 4, 5 and 6 correspond to scales with AGP of Rs. 6000, 7000, 8000, 9000, and 10000 respectively. Pay Band-4 (37400-67000) with grade pay of Rs.12000 is replaced by the new HAG scale of Rs.67000 -79000 with Annual increment at 3% with no grade pay.

**Explanatory note for Table II**

1. All universities will set up verifiable systems for the API related information required in thise table within THREE months of notification of these regulations. They will have to be documented and collated annually by the Internal Quality Assurance Cell (IQACs) of the universities for follow up by the universities authorities. In order to facilitate this process, all teachers shall submit the duly filled-in Performance Based Appraisal System (PBAS) proforma to the IQAC annually.
2. However, in order to remedy the difficulties of collecting retrospective information and to facilitate the implementation of these regulations from 31-12-2008 in the CAS Promotion, the API based PBAS will be progressively and prospectively rolled out.
3. Accordingly, the PBAS based on the API scores of Categories I and II as mentioned in thise table is to be implemented for one year, initially based on the existing systems in universities for one year only with the minimum average scores as depicted in Table II in rows I to III. This annualized API scores can then be compounded progressively as and when the teacher becomes eligible for CAS promotion to the next cadre. Thus, if a teacher is considered for CAS promotion in 2010, one year API scores for 2009-10 alone will be required for assessment. In case of a teacher being considered for CAS promotion in 2011, two years average of API scores for these categories will be required for assessment and so on leading progressively for the complete assessment period.
4. As shown in Table II, the aggregate minimum API score required (given in row III) can be earned from any of the two broad categories, subject to the minimum prescribed in each category. This will provide for due weightage to teachers who contribute additionally through any of the components given in Categories I and II also for the differing nature of contributions possible in different institutional settings.
5. For Category III (research and academic contributions), maintenance of past record is done on a normal basis by teachers and hence no difficulty is envisaged in applying the API scores for this category for the entire assessment period. In this category, an aggregate minimum score is required for promotion over each stage. Alternatively, a teacher should acquire the required minimum aggregate score over two previous stages, taken together. In the case of promotion to Professor, the publication requirement shall be met over the two previous stages.
6. Candidates should offer themselves for assessment for promotion, if they fulfil the minimum API scores indicated in Tables I and II, by submitting an application and the required proforma. They can do so three months before the due date if they consider themselves eligible. Candidates who do not consider themselves eligible, can also apply at a later date.
7. If however, on final assessment, candidates do not either fulfil the minimum criteria under Rows III and IV of Tables II or obtain less than 50% in the expert assessment, they will be reassessed only after a minimum period of one year.

(a) If a candidate applies for promotion on completion of the minimum eligibility period and is successful, the date of promotion will be deemed to be the minimum period of eligibility.

1. If however, the candidate finds that she / he fulfils the eligibility conditions at a later date and applies on that date and is successful, her / his promotion will be deemed to be from that date of application.
2. If the candidate does not succeed in the first assessment, but succeeds in an eventual assessment, her / his promotion will be deemed to be from the later date.

**APPENDIX-III - TABLE: III**

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

|  |  |  |  |
| --- | --- | --- | --- |
| **S. No.** | **Promotion of Teachers through CAS** | **Service requirement** | **Minimum Academic Performance Requirements and Screening/Selection Criteria** |
| 1 | Assistant Professor/ equivalent cadres from Stage 1 to Stage 2 | Assistant Professor in Stage 1 and completed four years of service with Ph.D. or five years of service with M.Phil or six years of service without Ph.D/M.Phil. | (i) Minimum API scores using PBAS scoring proforma developed by the concerned university as per the norms provided in Table II of Appendix III.  (ii) One Orientation and one Refresher/Research Methodology Course of 2/3 weeks duration.  (iii) Screening cum Verification process for recommending promotion. |
| 2. | Assistant Professor/ equivalent cadres from Stage 2 to Stage 3 | Assistant Professor with completed service of five years in Stage 2. | (i) Minimum API scores using the PBAS scoring proforma developed by the concerned university as per the norms provided in Table II of Appendix III  (ii) One course / programme from among the categories of refresher courses, methodology workshops, Training, Teaching-Learning-Evaluation Technology Programmes, Soft Skills development Programmes and Faculty Development Programmes of 2/3 week duration.  (iii) Screening cum Verification process for recommending promotion. |
| 3. | Assistant Professor (Stage 3) to Associate Professor (Stage 4) | Assistant Professors with three years of completed service in Stage 3. | 1. Minimum API scores using the PBAS scoring proforma developed by the concerned university as per the norms provided in Table II of Appendix III. 2. At least three publications in the entire period as Assistant Professor (twelve years). 3. 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. A selection committee process as stipulated in this regulation and in Tables II of Appendix III. |
| 4. | Associate Professor to (Stage 4) Professor / equivalent cadres (Stage 5) | Associate Professor with three years of completed service in Stage 4. | 1. Minimum yearly /cumulative API scores using the PBAS scoring proforma developed by the concerned university as per the norms provided in Table II of Appendix III. Teachers may combine two assessment periods (in Stages 2 and 3) to achieve minimum API scores, if required. 2. A minimum of five publications since the period that the teacher is placed in Stage 3. 3. A selection committee process as stipulated in this regulation and in Tables II of Appendix III. |
| 5. | Professor (Stage 5) to Professor (Stage 6) . | Professor with ten years of completed service (universities only) | 1. Minimum yearly /cumulative API scores for the assessment period as per the norms provided in Table II of Appendix III 2. Additional credentials are to be evidenced by: (a) post­doctoral research outputs of high standard/publications; (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., etc., 3. A review process by an Expert Committee as stipulated in this regulation and in Table II of Appendix III. |

* For teachers seeking promotion under CAS to Associate Professor, for those who on the date of this notification are Assistant Professors in Stage 2, the requirement of publications may be adjusted pro rata. For all others who enter Stage 2, subsequent to this notification, the requirement of three publications, as defined in these regulations, will be applicable.

**Note:** For universities for which Sixth PRC Awards (vide Appendix 2) are applicable, Stages 1, 2, 3, 4, and 5 correspond to scales with AGP of Rs. 6000, 7000, 8000, 9000, and 10000 respectively. Pay Band-4 (37400-67000) with grade pay of Rs.12000 is replaced by the new HAG scale of Rs.67000 -79000 with Annual increment at 3% with no grade pay.

**APPENDIX – III: TABLE –IV**

**ACADEMIC PERFORMANCE INDICATORS (APIs) AND PROPOSED SCORES DEVELOPED BY UGC FOR ADOPTION OF PERFORMANCE BASED APPRAISAL SYSTEM (PBAS) FOR DIRECT APPOINTMENT/CAREER ADVANCEMENT SCHEME (CAS) PROMOTIONS APPLICABLE TO UNIVERSITY LIBRARIAN, DEPUTY LIBRARIAN AND ASST. LIBRARIAN.**

**Category – I : Procurement, organisation, and delivery of knowledge and information through Library services**

|  |  |  |
| --- | --- | --- |
| **S.No** | **Nature of Activity** | **Maximum Score** |
| 1. | Library resources organisation and maintenance of books, journals, reports; Provision of library reader- services, literature retrieval services to researchers and analysis of reports; Provision of assistance to the departments of University/College with the required inputs for preparing reports, manuals and related documents; Assistance towards updating institutional website with activity related information and for bringing out institutional Newsletters, etc. | 40 |
| 2. | ICT and other new technologies’ application for upgradation of library services such as automation of catalogue, learning resources procurement functions, circulation operations including membership records, serial subscription system, reference and information services, library security (technology based methods such as RFID, CCTV), development of library management tools (software), Intranet management. | 30 |
| 3. | Development, organisation and management of e-resources including their accessibility over Intranet/Internet, digitization of library resources, e-delivery of information, etc. | 25 |
| 4 | User awareness and instruction programmes (Orientation lectures, users’ training in the use of library services as e-resources, OPAC; knowledge resources user promotion programmes like organizing book exhibitions, other interactive latest learning resources, etc. | 20 |
| 5. | Additional services such as extending library facilities on holidays, shelf order maintenance, library user manual, building and extending institutional library facilities to outsiders through external membership norms | 10 |
| **Total Score** | | **125** |
| **Minimum API score required** | | **75** |

C**ategory- II – CO-CURRICULAR, EXTENSION AND PROFESSIONAL DEVELOPMENT RELATED ACTIVITIES.**

|  |  |  |
| --- | --- | --- |
| **S. No.** | **Nature of Activity** | **Maximum Score** |
| 1 | Student related co-curricular, extension and field based activities (such Cultural exchange and Library service Programmes (various level of extramural and intramural programmes); extension, library-literary work through different channels, | 20 |
| 2 | Contribution to Corporate life and management of the library units and institution through participation in library and administrative committees and responsibilities. | 15 |
| 3 | Professional Development activities (such as participation in seminars, conferences, short term, e-library training courses, workshops and events, talks, lectures, membership of associations, dissemination and general articles, not covered in Category III below) | 15 |
|  | **Minimum API Score Required** | **15** |

**Category – III – Research and academic contributions**

|  |  |  |  |
| --- | --- | --- | --- |
| **S No.** | **APIs** | **Activity** | **Maximum Point** |
| **III A** | Research Papers published in: | Refereed Journals | 15 / publication |
| 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) | 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 | 50 /sole author; 10 / chapter in an edited book |

**III (C) Projects**

|  |  |  |  |
| --- | --- | --- | --- |
| **III (C) (i)** | Sponsored Projects carried out/ ongoing | (d) Major Projects amount mobilized with grants above 30.0 lakhs | 20 /each Project |
| (e) Major Projects amount mobilized with grants above 5.0 lakhs up to 30.00 lakhs | 15 /each Project |
| (f) Minor Projects (Amount mobilized with grants above Rs. 50,000 up to Rs. 5.0 lakh) | 10/each Project |
| **III (C) (ii)** | Consultancy Projects carried out / ongoing | Amount mobilized with minimum of Rs.10.00 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) | 20 /each major project and 10 / each minor project |
| **III (C) (iv)** | Projects Outcome / Outputs | Patent/Technology transfer/ Product/Process | 30 / each national level output or patent /50 /each for International level, |
| **III (D)** |  |  |  |
| **III (D) (i)** | M.Phil. | Degree awarded only | 3 /each candidate |
| **III (D) (ii)** | Ph.D | Degree awarded | 10 /each candidate |
|  |  | Thesis submitted | 7 /each candidate |

**III(E)Seminars / Workshops etc.**

|  |  |  |  |
| --- | --- | --- | --- |
| **III(E) (i)** | Refresher courses, Methodology workshops, Training, Teaching-Learning-Evaluation Technology Programmes, Soft Skills development Programmes, Faculty Development Programmes (Max: 30 points) | Not less than two weeks duration | 20/each |
| One week duration | 10/each |
| **III(E) (ii)** | Papers in Conferences/ Seminars/ workshops etc. \* | Participation and Presentation of research papers (oral/poster) in | |
| 1. International conference | 10 / each |
| 1. National | 7.5 / each |
| 1. Regional/State level | 5/each |
| Local –University/College level | 3 / each |
| **III(E) (iii)** | Invited lectures or presentations for conferences/ / symposia | International  National level | 10 /each  5 / each |

\* 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. 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.

**APPENDIX – III TABLE – V**

**Minimum APIs as provided in Appendix III Table IV to be applied for the Promotion of Librarians of different cadres of universities and Weightages for Expert Assessment**

**UNDER CAREER ADVANCEMENT SCHEME (CAS)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **Assistant Librarian to Assistant Librarian (senior scale) (Stage 1 to Stage 2)** | **Assistant Librarian to Deputy Librarian (Stage 2 to Stage 3)** | **Deputy Librarian**  **(From Stage 3 to Stage 4)** |
| I | Procurement, organisation and delivery of knowledge and information thro’ library services (category I) | 75 / Year | 75 / Year | 75 / year |
| II | Extension and Profession related activities (Category II) | 15 / Year | 15 / Year | 15 / Year |
| III | Minimum total average annual Score under Categories I and II\* | 100 / Year | 100 / Year | 100 / Year |
| IV | Research and Academic Contribution (Category III) – Minimum Annual Score Required – to be assessed cumulatively | 10 / Year  (40 / assessment  period) | 20 / Year  (100 / assessment  period) | 40 / Year  (120 / assessment  period) |
|  | Expert Assessment System | Screening Committee | Screening Committee | Screening Committee |
| V | Percentage Distribution of Weightage Points in the Expert Assessment (Total weightage = 100. Minimum required 50)) | No separate points. Screening committee to verify API scores | No separate points. Screening committee to verify API scores | 30% Library publication works. 50% Assessment of domain knowledge on Library automation and organizational skills. 20% Interview performance |

\* Candidates may score 10 points from either Category I or Category II to achieve the minimum score required under Category I + II.

**Note:** For universities/colleges for which Sixth PRC Awards (vide Appendix 2) are applicable, Stages 1, 2, 3, 4 and 5 correspond to scales as given with AGP of Rs. 6000, 7000, 8000, 9000 and 10000 respectively

**APPENDIX – III: TABLE – VI**

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **S. No** | **Promotion of Librarian cadres through CAS** | **Service (as prescribed by the MHRD Notification) requirement** | | **Minimum Academic Performance Requirements and Screening/Selection Criteria** | |
| 1. | Assistant University Librarian to Assistant Librarian (Senior Scale) / College Librarian (Senior Scale) (Stage 1 to Stage 2) | Assistant University Librarian (Stage 1) completed four years of service with Ph. D. or five years of service who are with  M. Phil or six years of service who are without Ph. D./M.Phil. | | (i) Minimum API scores using PBAS scoring proforma developed by the university as per the norms provided in Table V of Appendix III for Librarian cadres in universities.  (ii) One Orientation and one Refresher Course of 3/4 weeks duration  (iii) No separate interview points for the Screening cum Verification process of recommending promotion. | |
| 2. | Assistant university Librarian (Senior Scale) / college Librarian (senior scale) to Assistant university Librarian (Selection Grade (Stage 2 to Stage 3) | Assistant university Librarian (Senior Scale) with completed service of five years in Stage 2 | | 1. Minimum API scores using the PBAS scoring proforma developed by University as per the norms provided in Table V of Appendix III for Librarian Cadres in universities 2. Additionally, two refresher courses, for a minimum period of 3 to 4 week duration to have been undergone during the assessment period.   (iii) No separate interview points for the Screening cum Verification process of recommending promotion. | |
| 3. | Deputy university Librarian / Assistant university Librarian (Selection Grade) (Stage 3 to Stage 4) | | Assistant university Librarian (Selection Grade) with three years of completed service in Stage 3. | | (i) Minimum API scores using the PBAS scoring proforma developed by university as per the norms provided in Table V of Appendix III for Librarian cadres in universities  (ii) Three publications over twelve years.  (iii) Additionally one course/training under the categories of Library automation / Analytical tool Development for academic documentation.  (iv) A selection committee process as stipulated in the Regulation and in Table V of Appendix III for university. . | |

Note: The explanatory note provided for Tables II for CAS for teachers is also applicable for the librarian cadres as per the API score specified for this cadre.

Note: For universities for which Sixtsh PRC Awards (vide Appendix 2) are applicable, Stages 1, 2, 3, 4 and 5 correspond to scales as provided and AGP of Rs. 6000, 7000, 8000, 9000, 10000 respectively.

|  |  |
| --- | --- |
| **Registrar**  Kannada University, Hampi | **Vice Chancellor**  Kannada University, Hampi |