**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)**

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|  | Application for the promotion of (please 🗸) |  | ⬜ Assistant Professor Stage-II (AL-10 to 11)⬜ Assistant Professor Stage-III (AL-11 to 12)⬜ Associate Professor Stage-IV (AL-12 to 13A)⬜ 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 *(Date is Considered as displayed on degree or Approved by EC of University, Proof to be attached)**Ph.D. is and essential qualification for promotion in Academic Level 13A (Page 81 of UGC regulation 2018)* |  | Professional degree:M.Phil: Ph.D:  |
| 17 | Date and Place of Birth  | : | …………Place of Birth:……..  |
| 18 | Sex  | : | Male ⬜ Female ⬜ |
| 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)** :  |
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| 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 |  |  |  |  |  |
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| 25 | **Research Degree(s):**  |
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| --- | --- | --- | --- |
| Degrees | **Title** | **Date of Award** | **University** |
| M.Phil.  |  |  |  |
| Ph.D. / D.Phil.  |  |  |  |
| D.Sc. / D.Litt.  |  |  |  |
| Others (Please Specify) |  |  |  |
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| 26 | **Particulars of NET/JRF/SLET/GATE etc** |
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| **Name of the Test** | **Name of the test conducting body** | **Month****and Year** | **Roll No.** | **Subject** | **Score, where****applicable** |
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| **27** | **Service Record**: (Attaché all the transfer orders and joining relieving certificates)  |
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| Sr. No. | Post/ Designation | Name of Employer | Date of | Pay Scale/ Pay Band & AGP | Reason of leaving | Major achievement |
| Joining | Leaving |
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| 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)

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| Stage**-I** | ***Assistant Professor (Academic Level 10) to Assistant Professor (Senior Scale/Academic Level 11)*** | *Proof page no* |
| 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 least3/4/5 of the last 4/5/6 years of the assessment period as the case may be, as specified in Appendix II, Table 1, | Part-III |
|  | (ii) *The promotion is recommended by a screening-cum-evaluation committee.* |  |
| Stage**-II** | ***Assistant Professor (Senior Scale/Academic Level 11) to Assistant Professor (Selection Grade/Academic Level 12)*** | *Proof page no* |
| 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 | Part-III |
|  | (ii) *The promotion is recommended by a screening-cum-evaluation committee.* |  |
| Stage**-III** | ***Assistant Professor (Selection Grade/Academic Level 12) to Associate Professor (Academic Level 13A)*** | *Proof page no* |
| 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 followingRC/ 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 | Part-III |
|  | (ii) The promotion is recommended by a selection committee in accordance with these Regulations. |  |
| Stage**-IV** | ***Associate Professor (Academic Level 13A) to Professor (Academic Level 14)*** | *Proof**page no* |  |
| Eligibility | (i) completed Three years of service in (Academic Level 13A) |  |
| (ii) **A Ph.D. degree in subject relevant /allied/relevant discipline** |  |
| 1. 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.
2. A minimum of 110 research score as per Appendix II, Table 2
 |  |
| CAS PromotionCriteria | (i) The teacher gets 'satisfactory' or 'good' grade in the annual performance assessment reports of at least 2 ofthe 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 | Part-III |
|  | (ii) The promotion is recommended by the selection committee constituted in accordance with theseRegulations. |  |

**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)* |
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| Serial number | Nature of activity | Grading Criteria | Assessment period : …………. to ……………… |  Annexure No |  Page No |
| Proof required | AcademicYear | AcademicYear | AcademicYear | AcademicYear  | 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.) |
|  | *Teaching: (Number of classes taught/total classes assigned) x100%**(Classes taught includes sessions on tutorials, lab and other teaching related activities)* | * 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 ***name of activities*** (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** | ***Administrative responsibilities*** such as Head, Chairperson/ Dean/ Director/ Co-ordinator, Warden etc. | Good - Involved in at least 3 activitiesSatisfactory - 1-2 activitiesNot-satisfactory - Not involved / undertaken anyof 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** | *Examination and evaluation*duties assigned by the college / university or attending the examination paper *evaluation.* | Certified copy of duties assigned and work done in each year |  |  |  |  |  |  |  |  |
| **C** | *Student related**co-curricular, extension and field based activities such as student clubs, career counselling, study visits, student seminars and other events, cultural, sports, NCC, NSS and community services.**Sudent Seminar, Roves, Sports etc* | Certified copy of duty assigned and work done in each year |  |  |  |  |  |  |  |  |
| **D** | Organisingseminars/ conferences/ workshops, other college/university activities. | Certified copy of duty proof of orgaisisng 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 |

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| ***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.

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| **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 e valuation 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.

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| **I : Research papers (Journals, etc)** |
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| S.No. | Title withpage 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 | APIScore Claimed | API Score approved by IQAC | Annexure No | Page No | API Score approved by Screening Committee |
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| **II (a) Publications other than journal articles (books, chapters in books)** |
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| S.N. | Title of Book or chapter with page no. | Publisher Detail | Published by International/ National/localPublishers | Year | ISSN/ISBN No. | Total No of authors | Whether you are the mainauthor | API Score Claimed | API Score approved by IQAC | Annexure No | Page No | API Score approved by Screening Committee |
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| **II (b) Translation works in Indian and Foreign Languages** |
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| S.N. | Title of Book or chapter withpage no. | Publisher Detail | Published by International/ National/localPublishers | ISSN/ISBN No. | Total No of authors | Whether you are the mainauthor | API Score Claimed | API Score approved by IQAC | Annexure No | Page No | API Score approved by Screening Committee |
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**III: Creation of ICT mediated Teaching Learning pedagogy and content and development of new and innovative courses and curricula**

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| **III (a) Development of Innovative pedogogy** |
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| S.N. | Name of Innovative pedogogy | Hyperlink of Innovative pedogogy | API Score Claimed | API Score approved by IQAC | Annexure No | Page No | API Score approved by Screening Committee |
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|  | Total API |  |  |  |  |  |  |

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| **III (b) Design of new curricula and courses** |
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| *S.N.* | Name of new curricula andcourses | Hyperlink of thecurricula or course | API Score Claimed | API Score approved by IQAC | Annexure No | Page No | API Score approved by Screening Committee |  |
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| **III (c) Development of MOOCs** |
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| *S.N.* | Title of MOOC | Developed MOOC in 4 quadrents (4 credit) course/lesser credit/per module/content writer/subject matter expert/course cordinator | Hyperlink of MOOCs | API Score Claimed | API Score approved by IQAC | Annexure No | Page No | API Score approved by Screening Committee |  |
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| **III (d) Development of E-Content** |
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| *S.N.* | Title of E-Content/E- Book | Developed E-Content in 4 quadrents/ per module/ Contributor/ Editor for complete course, paper or e-book. | Hyperlink of E- Content/E-Book | API Score Claimed | API Score approved by IQAC | Annexure No | Page No | API Score approved by Screening Committee |  |
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| **IV(a). Research Guidance** |
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| *S.N.* |  | Number Enrolled (Attach the detail) | API Score Claimed | API Score approved by IQAC | Annexure No | Page No | API Score approved by Screening Committee |  |
| 1. | Ph. D. *(Degree Awarded)* |  |  |  |  |  |  |
| 2. | Ph. D. *(Thesis Submitted)* |  |  |  |  |  |  |
| 3. | M.Phil./P.G.dissertation*(Degree Awarded)* |  |  |  |  |  |  |
|  |  |  **Total API**  |  |  |  |  |

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| **IV (b) Research Projects completed** |
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| *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 |  |
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| **IV (c) Research Projects Ongoing** |
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| *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 |  |
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| **IV (d) Consultancy Project** |
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| *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 |  |
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| **V (a) Patents** |
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| *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 |  |
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| **V (b) Policy Document (Submitted to an International body/organization like UNO/UNESCO/World Bank/IMF etc. Or Central Government or State Government)** |
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| *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 |  |
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| **V (c) Fellowships/ Awards** |
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| *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 |  |
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|  |  |  |  |  **Total API :**  |  |  |  |  |

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| **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)* |
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| *S.N.* | Title of the Invited lectures / papers | Title of Conference/ Seminar/workshop etcPage No | *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 |  |
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| ***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:-*** |
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| Sub-Category | APIScore Claimed | API Scoreapproved by IQAC | API Score approvedby 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 pedogogy |  |  |  |
| 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 |  |  |  |
| VI. Invited lectures /Resource Person/ paper presentation in seminars/Conferences/Proceedings*(combined research score from V(b) and VI Shall have an upper capping of 30% of the total score)* |  |  |  |
| **TOTAL** |  |  |  |

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| 34 | **OTHER RELEVANT INFORMATION**Please give details of any other credential, significant contributions, awards received etc. not mentioned earlier. |
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| 35 | **LIST OF ENCLOSURES:** **(**Please attach the self-attested, copies of certificates, sanction orders, papers etc. wherever necessary**)** |
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| **Sr.****No.** | **Enclosure detail** | **Annexure No** | **Page** **No** |
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| 36 | ***Declaration by the applicant:***I certify that the information provided is correct as per records available with the University/College and/or and documents enclosed along with this duly filled CAS Performa. |
|  | Signature of faculty:……..………………………… NameDesignation:  |
| 37 | ***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. |
|  | 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: |
|  | ***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.*** |
| 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 PrincipalName 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**