

# **Workshop on UGC Norms & Revised Guidelines for Promotion under Career Advancement Scheme (CAS)**

**(Including UGC Regulation dated 18<sup>th</sup> Jul., 2018 ratified by  
the Maharashtra Government on 8 Mar. 2019 & Amendments  
therein vide GR dated 10 May, 2019)**

**Dr. Khushpat S. Jain**

**M.Com., M.A., MBA, SET, NET, Ph.D., D.Litt. (Hon., USA)**

**Head & Associate Professor,  
Department of Commerce,**

**Sydenham College of Commerce & Economics, Mumbai**

**Smt. Nathibai Damodar Thackersey Women's  
University, Churchgate, Mumbai**

**30<sup>th</sup> Sept., 2019**

# Workshops Conducted:

College/Institution	Date
Lala Lajpat Rai College, Mahalaxmi	7 <sup>th</sup> Oct., 2017
Rizvi College, Bandra	14 <sup>th</sup> Feb., 2018
Birla College, Kalyan	10 <sup>th</sup> May, 2018
Ramniranjan Jhunjhunwala College, Ghatkopar	23 <sup>rd</sup> Jun. 2018
Guru Nanak Khalsa College, Matunga	7 <sup>th</sup> July, 2018
Mulund College of Commerce, Mulund	21 <sup>st</sup> July, 2018
K.J. Somaiya College of Commerce and Science	24 <sup>th</sup> Sept. 2018
Dr. BMN College of Home Science	22 Oct. 2018
Rajaram College, Kolhapur	3 Dec. 2018
Sardar Patel University, Vallabh Vidyanagar, Anand	7 <sup>th</sup> Dec., 2018
Mithibai Motiram Kundnani College, Bandra	16 <sup>th</sup> Mar., 2019
SNDT University, Churchgate, Mumbai	25 <sup>th</sup> Mar. 2019

# Workshops Conducted:

College/Institution	Date
KPB Hinduja College of Commerce & Economics, Charni Road	2 <sup>nd</sup> Aug. 2019
Mahatma Night College of Arts & Science, Chembur	27 <sup>th</sup> Aug., 2019
Guru Nanak Khalsa College, Matunga	30 <sup>th</sup> Aug. 2019
Lala Lajpat Rai College, Mahalaxmi	20 <sup>th</sup> Sept. 2019
SNDT University, Churchgate, Mumbai	30 <sup>th</sup> Sept., 2019

# Designation

Colleges	University	Level	Existing Pay Scale	Revised Pay Scale
Assistant Professor	Assistant Professor	10	15600-39100 AGP 6000	57,700
Assistant Professor	Assistant Professor	11	15600-39100 AGP 7000	68,900
Assistant Professor	Assistant Professor	12	15600-39100 AGP 8000	79,800
Associate Professor	Associate Professor	13A	37400-67000 AGP 9000	1,31,400
Professor	Professor	14	37400-67000 AGP 10000	1,44,200
	<b>Senior Professor</b>	<b>15</b>	<b>37400-67000 AGP 12000</b>	<b>1,82,200</b>

# Direct Recruitment

Colleges	University	Level	AGP
Assistant Professor	Assistant Professor	10	6000
	Associate Professor	13A	9000
	Professor	14	10000
	Senior Professor	15	12000

# Conditions for Direct Recruitment

## **Assistant Professor (Level 10) (Colleges & University):**

- Minimum 55% at PG Level or equivalent Grade on Grade Point Scale. (Reserved category candidates 50%)

AND

- National Eligibility Test (NET) or State Level Eligibility Test (SET). (Exempted where NET/SET not conducted)

OR

- Ph.D. as per the UGC (Minimum Standards and Procedures for Award of Ph.D. Degree Regulation), 2009 (Replaced by the revised Notification dated 5<sup>th</sup> May, 2016 & accepted by the University of Mumbai as on 15<sup>th</sup> June 2018)

# Conditions for Direct Recruitment

## Associate Professor (Level 13 A - Only University):

- Good academic record with Ph.D. in concerned/**allied/relevant** discipline.
- Master's Degree with a minimum of 55% or equivalent grade.
- **8 Years of teaching experience.**
- Minimum 7 publications in peer reviewed or UGC Listed journals.
- Research Score = 75.

# Conditions for Direct Recruitment

## Professor (Level 14 – Only University):

- Eminent scholar with Ph.D. in concerned/allied/ relevant discipline and high quality research.
- 10 Years of teaching experience.
- Minimum 10 publications in peer reviewed or UGC Listed journals.
- Research Score = 120.
- Research guide having guided research students.

*(Ph.D. holder with industry experience of 10 years and significant contribution to research is also eligible.)*



# Conditions for Direct Recruitment

**Senior Professor (Level 15 - Only in Universities upto 10% of the sanctioned posts of Professors):**

- High quality research work and publications.
- 10 Years of teaching experience as a Professor.
- 10 best publications in peer reviewed/UGC-listed journals
- Award of Ph.D. Degree to at least 2 students under his/her guidance during the last 10 years.

# Qualifications for the Post of Principal

- Ph.D. Degree.
- 15 years of teaching experience.
- Min. 10 research publications in peer-reviewed or UGC-listed journals.
- A minimum of 110 Research Score.

(Tenure of 5 years which can be further extended by 5 years on the basis of performance assessment by a committee appointed by the University – Nominee of the Vice-chancellor and Nominee of the Chairman of the UGC)

**(Principals of UG College = Pay Scale of Associate Professor)**

**(Principal of PG College = Pay Scale of Professor)**

**(After completing the tenure of Principal, they will go back to their respective positions with the same pay scale)**

# Conditions for Validity of Ph.D. Degree

- Ph.D. through regular mode with min. duration of 3 years and maximum 6 years.
- Evaluation of Ph.D. Thesis by two external examiners.
- Open Ph.D. viva voce.
- TWO research papers based on Ph.D. Research, of which ONE must be in refereed journal.
- Minimum TWO paper presentation based on Ph.D. Research **in UGC/ICSSR/CSIR or similar such agency** funded Conferences/Seminars.

**Certified by the Registrar/Dean (Academic Affairs) of the University Concerned.**



# **Career Advancement Scheme (CAS)**

# Career Advancement Scheme (CAS) – Meaning

Career Advancement Scheme (CAS) means Career Advancement procedure adopted by the University as per UGC regulations dated 30 June 2010 and ratified by the Maharashtra Government Order dated 15 Feb. 2011.

## **Interpretation:**

CAS means **vertical movement in Designation and Pay Scale** on the basis of twin criteria of (1) **Number of Years of Service** and (2) **Academic Performance Indicators (API) (Including training courses)**.

# 1. No. of Years of Service & Designation & Pay Scale

No. of Years of Service	Designation	Pay Scale
0	Assistant Professor (Stage 1 – L 10)	15600-39100 AGP 6000
6*	Assistant Professor (Stage 2 – L 11)	15600-39100 AGP 7000
11	Assistant Professor (Stage 3 – L 12)	15600-39100 AGP 8000
14	Associate Professor (Stage 4 – L 13A)	37400-67000 AGP 9000
17	Professor (Stage 5 – L 14)	37400-67000 AGP 10000
27	<b>Senior Professor (Stage 6 – L 15)</b>	<b>37400-67000 AGP 12000</b>

*\*4 years for the teachers having Ph.D. at entry level and 5 years for the teachers having M.Phil/PG in Professional Courses at the entry level. (4 years for teachers completing Ph.D. in service)*

## 2. Academic Performance Indicators (API)

<b>Category - I</b>	<b>Teaching, Learning and Evaluation Related Activities</b>
<b>Category - II</b>	<b>Co-curricular, Extension and Professional Development Related Activities</b>
<b>Category - III</b>	<b>Research and Academic Contributions</b>

**There are different criteria for University Teacher and College Teachers.**

# UGC Regulations on CAS and Amendments therein

- Original Regulation dated 30 June 2010.  
(Accepted by the Government of Maharashtra on 15 Feb 2011)
- 1<sup>st</sup> Amendment dated 16 March, 2011. (Not accepted)
- 2<sup>nd</sup> Amendment dated 13 June 2013.  
(Accepted by the Government of Maharashtra on 15 Oct 2016)
- 3<sup>rd</sup> Amendment dated 4 May 2016.  
(Accepted by the Government of Maharashtra on 4 Mar. 2017)
- 4<sup>th</sup> Amendment dated 11 July 2016.  
(Accepted by the Government of Maharashtra on 4 Mar. 2017)
- **Revised Regulation, 2018, dated 18<sup>th</sup> July, 2018**  
(Accepted by the Government of Maharashtra on 8 Mar. 2019  
with Amendments dated 10 May, 2019)



# Effective Period of CAS Circulars

Regulation/ Amendments	Date of UGC Notification	Date of Ratification by GoM	Effective Period	Remark
Original Regulation	30 June 2010	15 Feb., 2011	Feb. 2011-May 2011 to A.Y. 2016-17	–
1 <sup>st</sup> Amendment	16 Mar. 2011	Not accepted	N.A.	-
2 <sup>nd</sup> Amendment	13 June 2013	15 Oct. 2016	N.A.	Confusion over CAP
3 <sup>rd</sup> Amendment	4 May 2016	4 March 2017	2017-18	Appointment of Lecturers & Principals
4 <sup>th</sup> Amendment	11 July 2016	4 March 2017	2017-18	Feedback of Students Category II & III Clubbed
Revised Regulation	18 <sup>th</sup> July, 2018	---	Replaces the UGC Notification, 2010	---



# **Academic Performance Indicators (API)** **(For College Teachers)**

**(OLD SYSTEM valid up to 2018-19)**

# Academic Performance Indicators (API)

(Feb. 2011-May, 2012, to A.Y. 2016-17)

Category	Stage 1 to 2	Stage 2 to 3	Stage 3 to 4	Stage 4 to 5
I	75/Year	75/Year	75/Year	75/Year
II	15/Year	15/Year	15/Year	15/Year
I + II	100/Year	100/Year	100/Year	100/Year
III	5/Year (20/AP)	10/Year (50/AP)	15/Year (45/AP)	20/Year (60/AP)
Expert Assessment System (EAS)	Screening Committee	Screening Committee	Selection Committee	Selection Committee
Marks = 100 (Min. = 50)	Verify API	Verify API	20% - Research 60% - Knowledge 20% - Interview	30% - Research 50% - Knowledge 20% - Interview

# Academic Performance Requirements

(Feb. 2011-May, 2012, to A.Y. 2016-17)

Stage 1 to 2	Stage 2 to 3	Stage 3 to 4	Stage 4 to 5
API as stipulated	API as stipulated	API as stipulated	API as stipulated
<b>1 Orientation + 1 Refresher/ Research Methodology Course of 2/3 Week</b>	<b>1 Refresher Course/ Methodology, Workshop, Training, Teaching-learning Evaluation Prog., Soft Skill Development Prog./FDP of 2/3 weeks</b>	<b>1 Refresher Course/ Methodology, Workshop, Training, Teaching-learning Evaluation Prog., Soft Skill Development Prog./FDP of Min. 1 Week</b>	---
Recommended by Screening Committee	Recommended by Screening Committee	Recommended by Selection Committee	Recommended by Selection Committee
		<b>3 Publications in Entire Period as Assistant Professor, 2 for M.Phil. Holder and 1 for Ph.D. Holder</b>	<b>5 Publications during Stage 3 to Stage 4</b>

# Academic Performance Indicators (API)

(Feb. 2011-May, 2012, to A.Y. 2016-17)

Sr. No.	APIs		Points
III A	Research Papers Published	Refereed Journals*	15
		Non-refereed but reputed with ISBN/ISSN No.	10
		Conference Proceedings (No abstract)	10

- Refereed journals can be verified from international database.
- A certificate from the publisher that the Research Paper has been reviewed by the Committee of Experts from the same field.
- In case of Joint Paper – 60% of points to be distributed equally between the First and the Corresponding Authors and the remaining 40% to be distributed equally among the remaining authors.

# Academic Performance Indicators (API)

(Feb. 2011-May, 2012, to A.Y. 2016-17)

Sr. No.	APIs	Impact Factor	Points
III A	Research Papers Published	1 to 2	10
		2 to 5	15
		5 to 10	25

**Note: If a paper presented in Conference is published in Conference Proceedings, then the point should be counted for Publication and not for Presentation.**

# Academic Performance Indicators (API)

(Feb. 2011-May, 2012, to A.Y. 2016-17)

Sr. No.	APIs	Text or Reference Book Published by	Points
III B	Research Publications (Books, Chapters in Books)	International Level Publisher with established Peered Reviewed System	50/Sole Author 10/Chapter in Edited Book
		National Level Publisher, Central or State Level Publications with ISBN/ISSN	25/Sole Author 5/Chapter in Edited Book
		Subject Books by Local Publishers with ISBN/ISSN	15/Sole Author 3/Chapter in Edited Book

**In case of Co-authors – 60% of points to be distributed equally between the First and the Corresponding Authors and the remaining 40% to be distributed equally among the remaining authors.**

# Academic Performance Indicators (API)

(Feb. 2011-May, 2012, to A.Y. 2016-17)

Sr. No.	APIs	Research Grants	Points
III C (i)	Research Projects (Completed /Ongoing)	Major Research Project above 5 Lakhs	20
		Major Research Project between 3 to 5 Lakhs	15
		Minor Research Project from Rs. 25000 to 3 Lakhs	10
III C (ii)	Consultancy Projects (Completed /Ongoing)	Min. Rs. 2 Lakhs	10 for every 2 Lakhs



# Academic Performance Indicators (API)

(Feb. 2011-May, 2012, to A.Y. 2016-17)

Sr. No.	APIs	Research Grants	Points
III D (i)	Research Guidance (M.Phil.)	Ongoing	Nil
		Awarded	3
III D (ii)	Research Guidance (Ph.D.)	Degree Awarded	10
		Thesis Submitted	7

# Academic Performance Indicators (API)

(Feb. 2011-May, 2012, to A.Y. 2016-17)

Sr. No.	APIs	Duration	Points
III E (i)	Refresher Course, Methodology, Workshops, Teaching-learning & Evaluation Technology Programmes, Soft Skill Development Programme, FDP <b>(Max. 30 Marks)</b>	2 Weeks & above	20
		1 Week	10
III E (ii)	Papers Presented in Conference	International	10
		National	7.5
		Regional/State	5
		Local/College	3

# Academic Performance Indicators (API)

(For College Teachers)

(Feb. 2011-May, 2012, to A.Y. 2016-17)

Sr. No.	APIs	Duration	Points
III E (iii)	Invited Lectures/Presentation for Conference & Symposia	International	10
		National	5
		State	3*
		University	2*

\*Introduced in the 3<sup>rd</sup> Amendment (A.Y. 2017-18).

# Explanatory Notes:

- Proforma for PBAS are to be submitted annually to the IQAC along with supporting documents.
- Teachers eligible for promotion have to apply for promotion.
- Teachers can apply 3 months prior to the date of promotion.
- Where candidate fail to qualify for promotion within stipulated period, then the date of qualifications will be considered for promotion.

(API must be calculated on annual basis and should be rounded off proportionately)

(Before CAS Interview, get your Service Book and API Files verified from a competent person)



# **Academic Performance Indicators (API)**

**(For College Teachers)**

**(A.Y. 2017-18)**

**(Scrapped under the New Guidelines)**

# Academic Performance Indicators (API)

## (A.Y. 2017-18)

Category	Stage 1 to 2	Stage 2 to 3	Stage 3 to 4	Stage 4 to 5
<b>I</b>	<b>80/Year</b>	<b>80/Year</b>	<b>75/Year</b>	<b>70/Year</b>
<b>II</b>	<b>50/A.P.</b>	<b>50/A.P.</b>	<b>50/A.P.</b>	<b>50/A.P.</b>
<b>III</b>	<b>20/A.P.</b>	<b>50/A.P.</b>	<b>75/A.P.</b>	<b>100/A.P.</b>
<b>II + III</b>	<b>90/A.P.</b>	<b>120/A.P.</b>	<b>150/A.P.</b>	<b>180/A.P.</b>
<b>Expert Assessment System (EAS)</b>	<b>Screening Committee</b>	<b>Screening Committee</b>	<b>Selection Committee</b>	<b>Selection Committee</b>
<b>Marks = 100 (Min. = 50)</b>	<b>Verify API</b>	<b>Verify API</b>	<b>30% - Research 50% - Knowledge 20% - Interview</b>	<b>50% - Research 30% - Knowledge 20% - Interview</b>

# Academic Performance Requirements

## (A.Y. 2017-18)

Stage 1 to 2	Stage 2 to 3	Stage 3 to 4	Stage 4 to 5
API as stipulated	API as stipulated	API as stipulated	API as stipulated
1 Orientation + 1 Refresher/ Research Methodology Course of 2/3 Week	1 Refresher Course/ Methodology, Workshop, Training, Teaching-learning Evaluation Prog., Soft Skill Development Prog./FDP of 2/3 weeks	1 Refresher Course/ Methodology, Workshop, Training, Teaching-learning Evaluation Prog., Soft Skill Development Prog./FDP of Min. 1 Week	---
Recommended by Screening Committee	Recommended by Screening Committee	Recommended by Selection Committee	Recommended by Selection Committee
		3 Publications in Entire Period as Assistant Professor, 2 for M.Phil. Holder and 1 for Ph.D. Holder	5 Publications during Stage 3 to Stage 4

# Academic Performance Indicators (API)

## (A.Y. 2017-18)

Sr. No.	APIs		Points
III A	Research Papers Published	Refereed Journals as notified by the UGC	25
		Non-refereed Journal as notified by the UGC	10
		<b>Conference Proceedings</b>	<b>NIL</b>

- In case of Joint Paper – 70% of points to be distributed equally between the First and the Corresponding Authors and the remaining 30% to be distributed equally among the remaining authors.**



# Academic Performance Indicators (API)

## (A.Y. 2017-18)

Sr. No.	APIs	Impact Factor	Points
III A	Research Papers Published	Less than 1	5
		1 to 2	10
		2 to 5	15
		5 to 10	20
		Above 10	25

# Academic Performance Indicators (API)

(A.Y. 2017-18)

Sr. No.	APIs	Text or Reference Book Published by (ISBN/ISSN), Approved by the University and published on its website and notified to the UGC.	Points
III B	Research Publications (Books, Chapters in Books)	International Publisher	30 Sole Author
		National Publisher & State and Central Government	20 Sole Author
		Local Publishers	15 Sole Author
		Chapter in International Book	10 per chapter
		Chapter in National Book	5 per chapter

In case of Co-authors – 70% of points to be distributed equally between the First and the Corresponding Authors and the remaining 30% to be distributed equally among the remaining authors.

# Academic Performance Indicators (API)

## (A.Y. 2017-18)

Sr. No.	APIs	Research Grants	Points
III C (i)	Research Projects (Completed /Ongoing)	Major Research Project above 5 Lakhs	20
		Major Research Project between 3 to 5 Lakhs	15
		Minor Research Project from Rs. 1 to 3 Lakhs	10
III C (ii)	Consultancy Projects (Completed /Ongoing)	Min. Rs. 2 Lakhs	10 for every 2 Lakhs
III C (iii)	Major Policy Document	For International Body/Central/State/Local Body	30/International 20/National 10/State 5/Local

# Academic Performance Indicators (API)

## (A.Y. 2017-18)

Sr. No.	APIs	Research Grants	Points
III D (i)	Research Guidance (M.Phil.)	Ongoing	Nil
		Awarded	5
III D (ii)	Research Guidance (Ph.D.)	Degree Awarded	15
		Thesis Submitted	10

# Academic Performance Indicators (API)

## (For College Teachers)

### (A.Y. 2017-18)

Sr. No.	APIs	Duration	Points
III E	Refresher Course, Methodology, Workshops, Teaching-learning & Evaluation Technology Programmes, Soft Skill Development Programme, FDP (Max. 30 Marks)	2 Weeks & above	20
		1 Week	10

DELETED

# Academic Performance Indicators (API)

(A.Y. 2017-18)

Sr. No.	APIs	Duration	Points
III E (i)	Fellowship/Awards from Academic Bodies	International	15
		National	10
		State	5
III E (ii)	Invited Lectures/Paper Presentation <b>(Max. Cap 20% of Total Required API for each stage)</b>	International	7 Lecture/ 5 Paper
		National	5 Lecture/ 3 Paper
		State/University	2 Lecture/ 2 Paper
III E (iii)	Development of e-learning delivery process material		10 per module

# API in Category – II

## (A.Y. 2017-18)

No.	Nature of Activity
(a)	<p>Student related co-curricular, extension and field based activities.</p> <p>(i) Discipline related co-curricular activities (e.g. remedial classes, career counselling, study visit, student seminar and other events.)</p> <p>(ii) Other co-curricular activities (Cultural, Sports, NSS, NCC etc.)</p> <p>(iii) Extension and dissemination activities (public/popular lectures/talks/ seminars etc.) <b>(Actual Hrs. Per Academic Year / 10 subject to max. 15 points)</b></p>
(b)	<p>Contribution to corporate life and management of the department and institution through participation in academic and administrative committees and responsibilities. <b>(Actual Hrs. Per Academic Year / 10 subject to max. 15 points)</b></p> <p>i) Administrative responsibility (including as Dean/Principal/Chairperson /Convener/Teacher-in-charge/similar other duties that require regular office hrs for its discharge)</p> <p>(ii). Participation in Board of Studies, Academic &amp; Administrative Committees</p>
(c)	<p>Professional Development activities (such as participation in seminars, conferences, short term training courses, industrial experience, talks, lectures in refresher / faculty development courses, dissemination and general articles and any other contribution) <b>(Actual Hrs. Per Academic Year / 10 subject to max. 15 points)</b></p>

# Calculation of Posts of Professors at College Level

**No. of Associate Professors as on  
1 January 2006**



**10% as Professors  
(Rounded off to integer)**



**75% to be Filled by CAS Promotion  
25% to be Filled by Direct Recruitment  
(Rounded off to integer)**



# **Career Advancement Scheme**

**(Promulgated on 18<sup>th</sup> July, 2018)**

**(Replaces the UGC Notification of 2010)**

**(Accepted by the Government of Maharashtra on  
8<sup>th</sup> March, 2019 & Amended on 10 May, 2019)**

**(Subject to acceptance by the Concerned University)**

# Date of Implementation

The date of implementation shall be the date of notification, i.e. 8<sup>th</sup> March 2019.

For all financial matters, the date of implementation shall be 1 Jan., 2016

# Mandatory Requirement of Ph.D. Degree

Ph.D. shall be a mandatory qualification for:

- Promotion to the post of Associate Professor and Professor in colleges.
- Promotion to the post of Assistant Professor (Selection Grade/Academic Level 12) in Universities.
- Direct recruitment to the post of Assistant Professor in Universities with effect from 1<sup>st</sup> July, 2021.
- M.Phil. and Ph.D. increments are to be given as specified as per UGC Notification but not accepted by the Government of Maharashtra.

*(Ph.D. degree from a foreign university/institution with a ranking among top 500 in the World University Ranking is valid.)*

# Transition from Old to New CAS System

## Clause 6.3

1. New CAS System to be effective from the date of notification of these Regulations (8<sup>th</sup> March, 2019).
2. Faculty members who have already qualified or are likely to qualify shortly have been given **three years**, i.e. **up to A.Y. 2020-21 (2021-22 in Maharashtra)** to exercise an option to go for CAS as per the NEW REGULATION or the OLD REGULATION (7.3, Pg. 29).
3. Time to complete Orientation and Refresher courses is up to 31<sup>st</sup> December, 2018. **(This provision has not been accepted by the Government of Maharashtra as per Amendment dated 10 May, 2019)**

# Academic Performance Indicators (API)

(Pending CAS for University Teachers)

	Stage 1 to 2	Stage 2 to 3	Stage 3 to 4	Stage 4 to 5
AGP	6000 to 7000	7000 to 8000	8000 to 9000	9000 to 10000
Category III	40/A.P.	100/A.P.	90/A.P.	120/A.P.
Expert Assessment System (EAS)	Screening Committee	Screening Committee	Selection Committee	Selection Committee
Marks = 100 (Min. = 50)	Verify API	Verify API	30% - Research 50% - Knowledge 20% - Interview	50% - Research 30% - Knowledge 20% - Interview

**Completion of training courses as specified.**

# Academic Performance Indicators (API)

(Pending CAS for College Teachers)

	Stage 1 to 2	Stage 2 to 3	Stage 3 to 4	Stage 4 to 5
AGP	6000 to 7000	7000 to 8000	8000 to 9000	9000 to 10000
Category III	20/A.P.	50/A.P.	45/A.P.	60/A.P.
Expert Assessment System (EAS)	Screening Committee	Screening Committee	Selection Committee	Selection Committee
Marks = 100 (Min. = 50)	Verify API	Verify API	30% - Research 50% - Knowledge 20% - Interview	50% - Research 30% - Knowledge 20% - Interview

**Completion of training courses as specified.**

# Some Take Away

- The candidate who does not succeed in the first assessment, he/she shall have to be re-assessed only after one year. When such a candidate succeeds in the eventual assessment, his/her promotion shall be deemed to be one year from the date of rejection.
- An induction programme of one month shall be introduced for all newly-recruited Assistant Professors in the universities/colleges/institutions ideally before the starting of their teaching work, but definitely within one year of the recruitment of the new faculty member.

# Some Take Away

- All short-term and long-duration capacity-building programmes for teachers/faculty ranging from one week to one month as well as seminars, workshops in different pedagogic and discipline-specific areas being conducted by centers under the PMMMNMTT scheme shall be taken into consideration for fulfillment of the requirements as laid down in Career Advancement Scheme.
- Promotion to the post of **Associate Professor** and Professor shall be considered from the date of selection/promotion and not the date of eligibility.
- **For promotion, the eligible teacher should be on roll and in active service.**



# Career Advancement Scheme (CAS) – Meaning

Career Advancement Scheme (CAS) means Career Advancement procedure adopted by the University as per UGC regulations dated 30 June 2010 and ratified by the Maharashtra Government Order dated 15 Feb. 2011.

## Interpretation:

CAS means **vertical movement in Designation and Pay Scale** on the basis of triple criteria of:

- (1) **Number of Years of Service,**
- (2) **Annual Assessment Report (AAR) and**
- (3) **Research Score (Including training courses).**



# **Criteria – I**

## **Number of Years of Service**

# 1. No. of Years of Service

No. of Years of Service	Designation	Academic Level
0	Assistant Professor	Stage 1 = 10
6*	Assistant Professor (Senior Scale)	Stage 2 = 11
11	Assistant Professor (Selection Scale)	Stage 3 = 12
14**	Associate Professor	Stage 4 = 13A
17**	Professor	Stage 5 = 14
27	<b>Senior Professor</b>	<b>Stage 6 = 15</b>

*\* 4 years for the teachers having Ph.D. at entry level, 5 years for the teachers having M.Phil./PG in Professional Courses at the entry level. (4 years for those completing Ph.D. in service)*



# **Criteria – II**

## **Annual Assessment Report**

## 2. Annual Assessment Report (AAR)

CAS under old system	Academic Level	Annual Assessment Remark
Stage 1 to 2 (AGP 6000 to 7000)	AL 10 to AL 11	Satisfactory/Good in at least 3/4/5 out of 4/5/6 preceding years
Stage 2 to 3 (AGP 7000 to 8000)	AL 11 to AL 12	Satisfactory/Good in at least 4 out of 5 preceding years
Stage 3 to 4 (AGP 8000 to 9000)	AL 12 to AL 13A	Satisfactory/Good in at least 2 out of 3 preceding years
Stage 4 to 5 (AGP 9000 to 10000)	AL 13A to AL 14	Satisfactory/Good in at least 2 out of 3 preceding years

*Ph.D. is an essential requirement for Promotion to the post of Associate Professor and Professor.*

# Annual Assessment Report

Sr. No.	Activity	Grading
1.	Teaching: (Classes taught includes sessions on tutorials, lab and other teaching related activities) <b>(Number of classes taught/total classes assigned X 100)</b>	80%> = Good 70-80% = Satisfactory <70% = Unsatisfactory
2.	Involvement in the College students related activities/research activities: <b>(List Attached)</b>	3 or More = Good 1-2 = Satisfactory Nil = Unsatisfactory

# Students/Research Related Activities

Sr. No.	Activity
1.	Administrative responsibilities such as Head, Chairperson/ Dean/ Director/ Co-ordinator, Warden etc.
2.	Examination and evaluation duties assigned by the college / university or attending the examination paper evaluation.
3.	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.
4.	Organising seminars/conferences/workshops, other college/university activities.
5.	Evidence of actively involved in guiding Ph.D. students.
6.	Conducting minor or major research project sponsored by national or international agencies.
7.	At least one single or joint publication in peer reviewed/UGC list of Journals.

# Overall Grading

Sr. No.	Category-wise Grading		Overall Grading
	Teaching	Other Activities	
1.	Good	Good	Good
2.	Good	Satisfactory	Good
3.	Satisfactory	Good	Satisfactory
4.	Satisfactory	Satisfactory	Satisfactory
5.	Unsatisfactory in either of the TWO		Unsatisfactory

- **All permitted leave periods are to be exempted from assessment.**
- **Head of Department to verify the Claims** in Annual Assessment Report.
- **IQAC should prepare format for Annual Assessment Report and maintain record** for each teacher on annual basis.





**Criteria – III**  
**Research Score**  
**(Including Training Courses)**

**Assistant Professor (Senior Scale/Academic Level 11)  
(AGP 6000 to 7000)**

**1 Orientation (21 days)**

**+**

**1 Refresher Course/Research Methodology Course (14 days)**

**OR**

**Any 2**

**Workshops, Syllabus Upgradation Workshops/ Training in Teaching Learning and Evaluation/FDP (Min. 5 days)**

**OR**

**One MOOCs Course with e-certification/E-content Development in Four Quadrants**

**Satisfactory/Good in Annual Performance Assessment Report in at least 3/4/5 out of 4/5/6 preceding years**

**Recommended by Screening -cum-evaluation Committee**

**Note: (Only for University Teachers)**

**• Min. 1 Publication in Peer Reviewed/UGC-Listed Journal)**

**Assistant Professor (Selection Grade/Academic Level 12)  
(AGP 7000 to 8000)**

**Refresher Courses/Research Methodology/ Workshops/Syllabus  
Upgradation Workshop/ Teaching-Learning-Evaluation/ Technology  
Programmes/ FDP (Any 2 of Min. 10 days)**

**OR**

**Workshops, Syllabus upgradation workshops/ Training in Teaching  
Learning and Evaluation/FDP (Any 2 in lieu of 1 of Min. 5 days)**

**OR**

**One MOOCs Course in relevant subject with e-certification/E-  
content Development in Four Quadrants  
(Min. 10 modules in at least one quadrant)**

**Satisfactory/Good in Annual Performance Assessment Report in at  
least 4 out of 5 preceding years**

**Recommended by Screening -cum-evaluation Committee**

**Note: (Only for University Teachers)**

- Ph.D. Degree is mandatory**
- 3 Publication in Peer Reviewed/UGC-Listed Journal)**

**Associate Professor (Academic Level 13A) (AGP 8000 to 9000)**

**Note: Date of interview to be the date of Promotion & not the date of Eligibility.**

**Refresher Courses/Research Methodology/ Workshops/Syllabus Upgradation Workshop/ Teaching-Learning-Evaluation/ Technology Programmes/ FDP (Any 1 of Min. 10 days)**

**OR**

**Workshops, Syllabus upgradation workshops/ Training in Teaching Learning and Evaluation/FDP (Any 2 of Min. 5 days)**

**OR**

**One MOOCs Course in relevant subject with e-certification/E-content Development in Four Quadrants (Min. 10 modules in at least one quadrant)**

**Ph.D. in Relevant/Allied Subject**

**Satisfactory/Good in Annual Performance Assessment Report in at least 2 out of 3 preceding years**

**Recommended by Selection Committee**

**Note: (Only for University Teachers)**

- 7 Publication in Peer Reviewed/UGC-Listed Journal (3 during AP)**
- Research Score = 70**
- Evidence of having guided a min. 1 Ph.D. student.**

**Professor (Academic Level 14)**

**(AGP 9000 to 10000)**

**Note: Date of interview to be the date of Promotion & not the date of Eligibility.**

**Ph.D. in Relevant/Allied Subject**

**Min. 10 Publications in Peered Reviewed/UGC Listed Journals of which Min. 3 should be in Assessment Period**

**Satisfactory/Good in Annual Performance Assessment Report in at least 2 out of 3 preceding years**

**Research Score of Min. 110 during the Assessment Period**

**Recommended by Selection Committee**

**Note: (Only for University Teachers)**

- Evidence of having successfully guided Ph.D. student.**

**Senior Professor (Academic Level 15)**

**(AGP 1000 to 12000)**

**Only for University Teachers**

**10 Best Publications during the Last 10 years**

**Recommended by Committee of 3 Subject Experts who should not be below the rank of Senior Professor or Professor having 10 years of teaching experience**

**Evidence of having successfully guided Min. 2 Ph.D. student.**

# Research Score Sheet

**(Applicable for the Post of Professor – 110 Score)**

Sr. No.	Science	Commerce
<b>1. Research Papers in Peer Reviewed/UGC listed Journals</b>	<b>8 per paper</b>	<b>10 per paper</b>
<b>2. Publications (Other than Research Papers)</b>		
<b>(a) Books Published by:</b>		
• International publishers	12	12
• National publishers	10	10
• Chapter in Edited Book	5	5
• Editor of Book by International publishers	10	10
• Editor of Book by National publishers	8	8
<b>(b) Translation by Qualified Faculties</b>		
• Chapter or Research Paper	3	3
• Book	8	8

# Research Score Sheet

**(Applicable for the Post of Professor – 110 Score)**

**The Research score for research papers would be augmented as follows :**

Peer-Reviewed or UGC-listed Journals

(Impact factor to be determined as per **Thomson Reuters list**) :

1. Paper in refereed journals without impact factor - 5 Points
2. Paper with impact factor less than 1 - 10 Points
3. Paper with impact factor between 1 and 2 - 15 Points
4. Paper with impact factor between 2 and 5 - 20 Points
5. Paper with impact factor between 5 and 10 - 25 Points
6. Paper with impact factor >10 - 30 Points

**(a) Two authors: 70% of total value of publication for each author.**

**(b) More than two authors:**

**70% of total value of publication for the First/Principal/Corresponding author and 30% of total value of publication for each of the joint authors.**



# Research Score Sheet

**(Applicable for the Post of Professor – 110 Score)**

Sr. No.	Science	Commerce
<b>3. Creation of ICT mediated Teaching-learning pedagogy and content and development of new and innovative courses and curricula</b>		
<b>(a) Development of Innovative pedagogy:</b>	5	5
<b>(b) Design of new curricula and courses:</b>	2	2
<b>(c) Massive Open Online Courses (MOOCs):</b>		
• Development of complete MOOCs in 4 quadrants (4 credit course) (For lesser credits 5 marks/credit)	20	20
• MOOCs (developed in 4 quadrant) per module/lecture	5	5
• Content writer/subject matter expert for each module of MOOCs (at least one quadrant)	2	2
• Course Coordinator for MOOCs (4 credit course)(In case of lesser credits 02 marks/credit)	8	8

# Research Score Sheet

**(Applicable for the Post of Professor – 110 Score)**

Sr. No.	Science	Commerce
<b>(d) E-content:</b>		
• Development of e-Content in 4 quadrants for a complete course/e-book	12	12
• e-Content (developed in 4 quadrants) per module	5	5
• Contribution to development of e-content module in complete course/paper/e-book (at least one quadrant)	2	2
• Editor of e-content for complete course/ paper /e-book	10	10

# Research Score Sheet

**(Applicable for the Post of Professor – 110 Score)**

Sr. No.	Science	Commerce
<b>4. Research and Consultancy:</b>		
<b>(a) Research Guidance:</b>		
• Ph.D. Awarded	10	10
• Ph.D. Thesis Submitted	5	5
• M.Phil./P.G. Dissertation (Degree Awarded)	2	2
<b>(b) Research Projects:</b>		
• Research Project Completed		
- More than 10 Lakhs	10	10
- Less than 10 Lakhs	5	5
• Research Project Ongoing		
- More than 10 Lakhs	5	5
- Less than 10 Lakhs	2	2
<b>(c) Consultancy:</b>	3	3

**Joint Projects: Principal Investigator and Co-investigator would get 50% each.**

**Joint supervision: Supervisor and Co-supervisor both get 70% of the marks each.**

# Research Score Sheet

**(Applicable for the Post of Professor – 110 Score)**

Sr. No.	Science	Commerce
<b>5. Patents, Policy Documents and Fellowship:</b>		
<b>(a) Patents:</b>		
• International	10	10
• National	7	7
<b>(b) Policy Documents (Submitted to an International bodies or Central or State Government):</b>		
• International	10	10
• National	7	7
• State	4	4
<b>(c) Awards/Fellowships:</b>		
• International	7	7
• National	5	5

# Research Score Sheet

**(Applicable for the Post of Professor – 110 Score)**

Sr. No.	Science	Commerce
<b>6. Invited lectures / Resource Person/ Paper Presentation in Seminars/ Conferences/full paper in Conference Proceedings (Paper presented in Seminars/Conferences and also published as full paper in Conference Proceedings will be counted only once):</b>		
• International (Abroad)	7	7
• International (Within Country)	5	5
• National	3	3
• State/University	2	2

# Capping on Scores

1. The combined research score from the categories of **Policy Document and Invited lectures/Resource Person/paper presentation shall have an upper capping of 30% of the total research score of the person.**
2. The research score shall be from the minimum of 3 categories out of 6 categories.
3. If paper presented is also published as a part of Conference Proceedings, then the score can be claimed in only ONE Category.

# Work Load of Teachers

Sr. No.	Designation	Direct Teaching Hours Per Week
1.	Assistant Professor	16 Hours
2.	Associate Professor	14 Hours
3.	Professor	14 Hours

A relaxation of two hours in the workload may, however, be given to Faculty Members who are actively involved in administration/Extension activities.

- 40 hours a week for 30 working weeks in an academic year.
- At least 5 Hours presence in College daily.
- At least 2 hours for mentoring (Min. 15 students per coordinator) for Community Development/Extra-Curricular Activities/Research/library consultation in case of UG Courses.
- At least 2 hours for research in case of PG courses, for which necessary space and infrastructure should be provided by the College.

# **Career Advancement Scheme**

**(Amendments to the Maharashtra Government  
Resolution dated 8<sup>th</sup> March, 2019  
as declared as on 10 May, 2019)**

**(Subject to acceptance by the University of Mumbai)**



# Date of Promotion

<b>CAS under old system</b>	<b>Academic Level</b>	<b>Date of Promotion</b>
<b>Stage 1 to 2 (AGP 6000 to 7000)</b>	<b>AL 10 to AL 11</b>	<b>Date of Qualification</b>
<b>Stage 2 to 3 (AGP 7000 to 8000)</b>	<b>AL 11 to AL 12</b>	<b>Date of Qualification</b>
<b>Stage 3 to 4 (AGP 8000 to 9000)</b>	<b>AL 12 to AL 13A</b>	<b>Date of Selection</b>
<b>Stage 4 to 5 (AGP 9000 to 10000)</b>	<b>AL 13A to AL 14</b>	<b>Date of Selection</b>
<b>Stage 5 to 6 (AGP 10000 to 12000)</b>	<b>AL 14 to AL 15</b>	<b>Date of Selection</b>

*Ph.D. is an essential requirement for Promotion to the post of Associate Professor and Professor.*

# Exemption from Training Courses

Sr. No.	UGC Notification dated 18 July, 2018	Government of Maharashtra Notification – 10 May, 2019
1.	Training Courses exempted upto 31 Dec. 2018	No Such Exemption (Old exemption till 31 Dec. 2013)

# No Increments for Ph.D. & M.Phil.

Sr. No.	UGC Notification dated 18 July, 2018	Government of Maharashtra Notification – 10 May, 2019
1.	No increments for Ph.D. & M.Phil. Post 1 Jan., 2016	



Thank You

Queries:

[ksjain2002@yahoo.com](mailto:ksjain2002@yahoo.com)

9867 79 97 97