

**Academic Performance Indicators
(API) Guidelines for
Career Advancement Scheme (CAS)
(A journey from 2010 to the date)**

Compiled

By

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1. Conditions for Entry in Teaching Profession:

- Minimum 55% for Open Category (50% for Reserved Category) candidate at PG Level or equivalent Grade on Grade Point Scale.

AND

- National Eligibility Test (NET) or State Level Eligibility Test (SET).

OR

- Ph.D. as per the UGC (Minimum Standards and Procedures for Award of Ph.D. Degree Regulation), 2009 (Replaced by revised Notification dated 5th May, 2016)

2. Conditions for Validity of Ph.D. Degree:

- Ph.D. through regular mode with duration of minimum 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 presentations in Conferences/Seminars based on Ph.D. Research Work.

3. Career Advancement Scheme (CAS):

Career Advancement Scheme (CAS) means Career Advancement procedure adopted by the University as per the UGC Regulations dated 30 June 2010 and consequently 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:

- Number of Years of Service and
- Academic Performance Indicators (API).

4. Criteria for Career Advancement Scheme (CAS) (Number of Years of Services):

Number of Years of Service	Designation	Pay Scale
0-6*	Assistant Professor (Stage 1)	15600-39100 AGP 6000
6-11	Assistant Professor (Stage 2)	15600-39100 AGP 7000
11-14	Assistant Professor (Stage 3)	15600-39100 AGP 8000
14-17	Associate Professor (Stage 4)	37400-67000 AGP 9000
17-27**	Professor (Stage 5)	37400-67000 AGP 10000
27 onwards***	Professor (Stage 6)	37400-67000 AGP 12000

*4 years for the teachers having Ph.D. at entry level.

*5 years for the teachers having M.Phil. at the entry level.

**Ph.D. is an essential requirement for Professor.

***Only teachers in University are eligible for Professor (Stage 6) designation.

5. Criteria for Career Advancement Scheme (CAS) (Academic Performance Indicators - API):

A Performance Indicator is a measure of performance of which usually define the success factor. The Academic Performance Indicator (API) indicates the performance of a faculty/researcher in academics and research.

Academic Performance Indicators for promotion under CAS are classified into three difference categories as under:

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

6. UGC Regulations on CAS and their Ratification by the Government of Maharashtra:

- Original Regulation dated 30 June 2010. (Accepted by the Government of Maharashtra on 15 Feb 2011)
- 1st Amendment dated 16 March, 2011. (Not accepted)

- 2nd Amendment dated 13 June 2013. (Accepted by the Government of Maharashtra on 15 Oct 2016)
- 3rd Amendment dated 4 May 2016. (Accepted by the Government of Maharashtra on 4 Mar. 2017)
- 4th Amendment dated 11 July 2016. (Accepted by the Government of Maharashtra on 4 Mar. 2017)
- Revised Regulation, 2018, dated February 2018. (Proposed)

7. Effectiveness of various CAS Regulations:

Regulation/ Amendments	Date of UGC Notification	Date of Ratification by GoM	Effective Period	Remark
Phase - I				
Original Regulation	30 June 2010	15 Feb., 2011	Feb.2011-May 2011, 2011-12, 2012-13, 2013-14, 2014-15, 2015-16 & 2016-17	
1st Amendment	16 Mar. 2011	Not accepted	N.A.	Not Accepted
2nd Amendment	13 June 2013	15 Oct. 2016	N.A.	Confusion over CAP, therefore not considered
Phase - II				
3rd Amendment	4 May 2016	4 March 2017	2017-18	Appointment of Lecturers and Principals
4th Amendment	11 July 2016	4 March 2017	2017-18	Feedback of Students & Category II and III Clubbed together
Phase - III				
Revised Regulation	Proposed February 2018	---	2018-19	Proposed

Academic Performance Indicators

Phase – I

(Applicable from Feb., 2011 to A.Y. 2016-17)

1. Required API for CAS during Phase – I (From Feb. 2011 to A.Y. 2016-17):

Category	Stage 1 to 2	Stage 2 to 3	Stage 3 to 4	Stage 4 to 5
AGP (000)	6 to 7	7 to 8	8 to 9	9 to 10
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
Total Marks = 100 (Min. Marks = 50)	Verify API	Verify API	20% - Research 60% - Knowledge 20% - Interview	30% - Research 50% - Knowledge 20% - Interview

2. Academic Performance Requirements for Phase – I (From Feb. 2011 to A.Y. 2016-17):

Stage 1 to 2	Stage 2 to 3	Stage 3 to 4	Stage 4 to 5
AGP 6000 to 7000	AGP 7000 to 8000	AGP 8000 to 9000	AGP 9000 to 10000
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

3. Calculation of Academic Performance Indicators – Category – III for Phase – I (From Feb. 2011 to A.Y. 2016-17):

Sr. No	API		Points
III A	Research Papers Published	Referee Journal*	15 per paper
		Non-refereed but reputed journal with ISBN/ISSN No.	10 per paper
		Conference Proceedings (Not for abstract)	10 per paper

- 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.
- The API score in refereed journal would be further augmented as follows:
 - (1) Indexed journals by 5 points.
(Indexed journals are the high quality scientific research journals)
 - (2) Impact factor between 1 and 2 by 10 points.
 - (3) Impact factor between 2 and 5 by 15 points.
 - (4) Impact factor between 5 and 10 by 25 points.
(The impact factor is a measure of the frequency with which the average article in a journal has been cited in a particular year.)
- In case of Joint Paper – 60% of points for the First Author and the remaining 40% to be distributed equally to remaining authors.
- If a paper presented in Conference is published in Conference Proceedings, then the point should be counted for Publication and not for Presentation.

Sr. No	API		Points
III B	Research Publications (Books and chapters in a book)	International Publisher with established Peered Reviewed System	50/Sole Author 10/Chapter in Edited Book
		National Publisher, Central or State Level Publications with ISBN/ISSN	25/Sole Author 5/Chapter in Edited Book
		Subject Books by Local Publisher with ISBN/ISSN	15/Sole Author 3/Chapter in Edited Book

- In case of Co-authors – 60% of points for the First Author and the remaining 40% to be distributed equally among the remaining authors.

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

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

Sr. No	API		Points
III E	Training Courses and Seminar/Conference/ Workshop		
III E (i)	Refresher Course, Methodology, Workshops, Teaching-learning & Evaluation Technology Programmes, Soft Skill Development Programme, FDP (Max. 30 Marks)	Not less than 2 weeks duration	20 marks
		One week duration	10 marks
III E (ii)	Participation and Papers/Poster Presented in Conference/Workshop	International	10 per paper
		National	7.5 per paper
		State/Regional	5 per paper
		Local/University/College	3 per paper

III E (iii)	Invited Lectures/ Presentation for Conference/Symposia	International	10 each
		National	5 each
		State*	3 each
		University*	2 each

- Introduced during the IIIrd Amendment and can therefore be claimed from the A.Y. 2017-18.

4. 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 as per the above stated guidelines within the stipulated period, then the date of qualifications will be considered for promotion.

Most Important:

- API must be calculated on annual basis and should be rounded off proportionately.
 - Before CAS Interview, get your service book and all files verified from a competent person.
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Academic Performance Indicators

Phase – II

(Applicable for A.Y. 2017-18)

1. Required API for CAS during Phase – II (For A.Y. 2017-18):

Category	Stage 1 to 2	Stage 2 to 3	Stage 3 to 4	Stage 4 to 5	Stage 5 to 6*
AGP (000)	6 to 7	7 to 8	8 to 9	9 to 10	10 to 12
I	80/Year	80/Year	75/Year	70/Year	70/Year
II	50/A.P.	50/A.P.	50/A.P.	50/A.P.	100/A.P.
III	20/A.P.	50/A.P.	75/A.P.	100/A.P.	400/A.P.
II + III	90/A.P.	120/A.P.	150/A.P.	180/A.P.	600/A.P.
Expert Assessment System (EAS)	Screening Committee	Screening Committee	Selection Committee	Selection Committee	Expert Committee
Total Marks = 100 (Min. Marks = 50)	Verify API	Verify API	30% - Research 50% - Knowledge 20% - Interview	50% - Research 30% - Knowledge 20% - Interview	50% - Research 50% - Performance Evaluation

*Applicable only to the University teachers.

2. Academic Performance Requirements for Phase – II (For A.Y. 2017-18):

Stage 1 to 2	Stage 2 to 3	Stage 3 to 4	Stage 4 to 5	Stage 5 to 6*
(6000 to 7000)	(7000 to 8000)	(8000 to 9000)	(9000 to 10000)	(10000 to 12000)
API as stipulated	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 Dev. 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	---	(a) post-doctoral research of high standard, (b) awards/honours/recognitions/patents and IPR, and (c) Additional research degrees like D.Sc., D.Litt., LL.D., etc.
Recommended by Screening Committee	Recommended by Screening Committee	Recommended by Selection Committee	Recommended by Selection Committee	Recommended by Expert 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	

3. Calculation of Academic Performance Indicators – Category – II for Phase – II (For A.Y. 2017-18):

No.	Nature of Activity	Points
(a)	<p>Student related co-curricular, extension and field based activities.</p> <ul style="list-style-type: none"> • Discipline related co-curricular activities (e.g. remedial classes, career counselling, study visit, student seminar and other events.) • Other co-curricular activities (Cultural, Sports, NSS, NCC etc.) • Extension and dissemination activities (public/popular lectures/talks/ seminars etc.) 	<p>Actual Hrs. Per Academic Year / 10 (subject to max. 15 points)</p>
(b)	<p>Contribution to corporate life and management of the department and institution through participation in academic and administrative committees and responsibilities.</p> <ul style="list-style-type: none"> • Administrative responsibility (including as Dean/Principal/Chairperson /Convener/Teacher-in-charge/similar other duties that require regular office hrs for its discharge) • Participation in Board of Studies, Academic & Administrative Committees 	<p>Actual Hrs. Per Academic Year / 10 (subject to max. 15 points)</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)</p>	<p>Actual Hrs. Per Academic Year / 10 (subject to max. 15 points)</p>

4. Calculation of Academic Performance Indicators – Category – III for Phase – II (For A.Y. 2017-18):

Sr. No	API		Points
III A	Research Papers Published	Referee Journal as notified by the UGC	25 per paper
		Non-refereed Journal as notified by the UGC	10 per paper
		Conference Proceedings	Nil

- The API score in refereed journal would be further augmented as follows:
 - (1) Impact factor less than 1 by 5 points.
 - (2) Impact factor between 1 and 2 by 10 points.

- (3) Impact factor between 2 and 5 by 15 points.
- (4) Impact factor between 5 and 10 by 20 points.
- (5) Impact factor more than 10 by 25 points.

- In case of Joint Paper – 70% of points for the First Author and the remaining 30% to be distributed equally to remaining authors.

Sr. No	API	Text/Reference Book with ISBN/ISSN approved by the University and posted on its website & notified to the UGC	Points
III B	Research Publications (Books and chapters in a book)	International Publisher	30/Sole Author 10/Chapter in Edited Book
		National Publisher, Central or State Level Publisher	20/Sole Author 5/Chapter in Edited Book
		Subject Books by Local Publisher	15/Sole Author

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

Sr. No	API	Research Grant	Points
III C	Research Projects		
III C (i)	Research Projects (Completed/Ongoing)	Major Research Project above Rs. 5 Lakhs	20 per project
		Major Research Project between Rs. 3 to Rs. 5 Lakhs	15 per project
		Minor Research Project between Rs. 1 to 3 Lakhs	10 per project
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

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

Sr. No	API		Points
III E	Award/Fellowship/Invited Lectures Delivered/Paper Presented in Conference/Seminar		
III E (i)	Award/Fellowship	International Award/Fellowship from Academic Body/Association	15 per award/fellowship
		National Award/Fellowship from Academic Body/Association	10 per award/fellowship
		State/University Award/Fellowship Academic Body/Association	5 per award/fellowship
III E (ii)	Participation and Papers/Poster Presented in Conference/Workshop	International	5 per paper
		National	3 per paper
		State/University	2 per paper
	Invited Lectures/Presentation for Conference/Symposia	International	7 per lecture
		National	5 per lecture
		State/University	3 per lecture
Note: The score under <u>sub-category III (E) (ii)</u> shall be restricted to <u>20% of the minimum fixed for Category III for any assessment period.</u>			
III E (iii)	Development of e-learning delivery process material	International	10 per module

5. Calculation of post of Professors at the College Level:

10 % of the number of Associate Professors as on 1 January 2006 (Rounded off to integer) of which 75% to be Filled by CAS Promotion and 25% to be Filled by Direct Recruitment.

Academic Performance Indicators

Phase – III

(As Proposed from the A.Y. 2018-19)

1. Career Advancement Scheme from A.Y. 2018-19 (Phase – III):

No. of Years of Service	Designation	Academic Level
0	Assistant Professor	10
6*	Assistant Professor (Senior Scale)	11
11**	Assistant Professor (Selection Scale)	12
14	Associate Professor	13A
17	Professor	14
27	Professor (Only for University)	15

- (1) * 4 years for the teachers having Ph.D. at entry level.
 (2) 5 years for the teachers having M.Phil. at the entry level.
 (3) **Ph.D. is an essential requirement for any Promotion after Senior Scale from 1 July 2020 (pg. 32) and 1 July 2021 (pg.5).

2. Academic Performance Requirements for CAS from A.Y. 2018-19 (Phase – III):

Assistant Professor (Senior Scale/Academic Level 11)	Assistant Professor (Selection Grade/Academic Level 12)
1 Orientation + 1 Refresher/Research Methodology Course 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	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 of a course)
----	Ph.D. from 1 July 2020/2021
Satisfactory/Good in Annual Performance Assessment Report in at least 3 out of 4 preceding years	Satisfactory/Good in Annual Performance Assessment Report in at least 4 out of 5 preceding years
Recommended by Screening –cum- evaluation Committee	Recommended by Screening –cum- evaluation Committee

Associate Professor (Academic Level 13A)	Professor (Academic Level 14)
<p>Refresher Courses/Research Methodology/ Workshops/Syllabus Upgradation Workshop/ Teaching-Learning-Evaluation/ Technology Programmes/ FDP (Any 1 of Min. 10 days)</p> <p>OR</p> <p>Workshops, Syllabus upgradation workshops/ Training in Teaching Learning and Evaluation/FDP (Any 2 of Min. 5 days)</p> <p>OR</p> <p>One MOOCs Course in relevant subject with e-certification/E-content Development in Four Quadrants (Min. 10 modules of a course)</p>	---
Ph.D. in Relevant/Allied Subject	Ph.D. in Relevant/Allied Subject
Min. 7 Publications in Peered Reviewed/UGC Listed Journals of which Min. 3 should be in Assessment Period	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	Satisfactory/Good in Annual Performance Assessment Report in at least 2 out of 3 preceding years
Research Score of Min. 70 during the Assessment Period	Research Score of Min. 110 during the Assessment Period
Recommended by Selection Committee	Recommended by Selection Committee

Professor (Academic Level 15)
Ph.D. in Relevant/Allied Subject
A minimum of ten publications in the peer reviewed / UGC listed journals and two Ph.D. successfully awarded under his/her supervision during this period.
Recommended by Selection Committee

3. Annual Assessment Report for CAS from A.Y. 2018-19 (Phase – III):

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

4. Research Score Sheet for CAS from A.Y. 2018-19 (Phase – III):

Sr. No.	Activity	Points
1.	Research Papers Published in Peer Reviewed/UGC listed Journals	10 per paper
2,	Books/ e-books authored which are published by: <ul style="list-style-type: none"> • International publishers • National publishers • Chapter in Edited Book 	10 8 5

	<ul style="list-style-type: none"> • Editor of Book by International Publisher • Editor of Book by National Publisher • E-content (developed in 4 quadrants) per module • MOOCs (developed) per module/lecture 	<p>10</p> <p>8</p> <p>5</p> <p>5</p>
3.	<p>Research Projects (Completed):</p> <ul style="list-style-type: none"> • More than 10 lakhs • Less than 10 lakhs <p>Research Projects (Ongoing):</p> <ul style="list-style-type: none"> • More than 10 lakhs • Less than 10 lakhs <p>Consultancy:</p>	<p>10</p> <p>5</p> <p>5</p> <p>2</p> <p>3</p>
4.	<p>Patents:</p> <ul style="list-style-type: none"> • International • National <p>Policy Document:</p> <ul style="list-style-type: none"> • International • National • State 	<p>10</p> <p>7</p> <p>10</p> <p>7</p> <p>4</p>
5.	<p>Research Guidance:</p> <ul style="list-style-type: none"> • Ph.D. (Awarded) • Ph.D. (Submitted) • M.Phil./PG dissertation (Awarded) 	<p>10</p> <p>5</p> <p>2</p>
6.	<p>Invited lectures/Resource Person/Paper Presentation:</p> <ul style="list-style-type: none"> • International (Abroad) • International (within country) • National • State / University 	<p>7</p> <p>5</p> <p>3</p> <p>2</p>

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.

Explanatory Notes:

(1) The Research Score for papers would be augmented as follows (Peer reviewed/UGC listed journals):

- Paper in referred journals without impact factor - 5 Points
- Paper with impact factor less than 1 - 10 Points
- Paper with impact factor between 1 and 2 - 15 Points
- Paper with impact factor between 2 and 5 - 20 Points
- Paper with impact factor between 5 and 10 - 25 Points
- Paper with impact factor >10 - 30 Points

(2) Joint Publication:

- Two authors: 50% of total value of publication for each author
- 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.

(3) Joint Projects: Principal Investigator and Co-investigator would get 50% each.

5. Workload of Teachers:

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

Notes:

- (1) A relaxation of two hours in the workload may, however, be given to Professors and Associate Professors who are actively involved in extension activities and administration.
- (2) 40 hours a week for 30 working weeks in an academic year.
- (3) At least 7 Hours presence in College daily.
- (4) At least 2 hours for mentoring (Min. 15 students per coordinator) for Community Development/Extra Curricular Activities/library consultation in case of UG Courses.
- (5) At least 2 hours for research in case of PG courses, for which necessary space and infrastructure should be provided by the College.