

1/328839/2023

GOVERNMENT OF ASSAM
HIGHER EDUCATION DEPARTMENT
DISPUR :: GUWAHATI-6

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EcfNo.391244/9

Dated Dispur, November, 2023

OFFICE MEMORANDUM

Subject : MAINTENANCE OF QUALITY MANDATE IN THE MATTER OF CAS PROMOTION OF FACULTY MEMBERS (ASSISTANT PROFESSOR TO ASSOCIATE PROFESSOR)

With a view to enhancing the Quality of Education across Higher Educational Institutions of the state as per the NEP-2020 mandate and to maintain the Quality of Teaching and Research to develop a positive education ecosystem in the state, the Government of Assam in Higher Education Department is pleased to issue the following guidelines to be followed in the matter of CAS Promotion of faculty members (Assistant Professor to Associate Professor).

The promotion criteria under the Career Advancement Scheme (CAS) laid down under these Guidelines shall be effective from the date of notification of these Guidelines.

1. The overall selection procedure shall incorporate a transparent, objective and credible methodology of analysis of the merits and credentials of the applicants based on the weightage given the candidate's performance in different relevant parameters based on ANNEXURE-I.
2. The candidate shall offer himself or herself for assessment for promotion if he or she fulfils the minimum grading specified in the relevant Assessment Criteria and Methodology. The candidate shall have to submit an application along with the required Assessment Criteria and Methodology Proforma supported by all credentials as per the Assessment Criteria and Methodology guidelines and Annual Performance Assessment report to the concerned College authority for verification and validation.
3. The candidate can submit his or her application three months before the due date of the CAS promotion. The date of promotion shall be counted as:
 - If a candidate applies for promotion on completion of the minimum eligibility period and is successful, the date of promotion shall be from that of the minimum period of eligibility.
 - If, however, the candidate finds that he or she would fulfil the CAS promotion criteria, as defined in ANNEXURE A and B, at a later date and applies on that date and is successful, his or her promotion shall be affected from that date of the candidate fulfilling the eligibility criteria.
 - The candidate who fails in the first assessment shall be re-assessed only after one year. When such a candidate succeeds in the eventual assessment, his or her promotion shall be from the date of successful assessment.
4. To avoid any delay in holding the Screening cum Evaluation or Selection Committee meetings for various positions under the CAS, the College may initiate the process and complete the process within six months from the date of receipt of the application.
5. Further, to avoid any hardship, the candidates who fulfil all other criteria mentioned in these guidelines, as on and till the date on which these guidelines are notified, can be considered

1/328839/2023

for promotion from the date of notification or after the date on which they fulfil these eligibility conditions.

6. The Screening cum Evaluation or Selection Committee specifications, as mentioned in ANNEXURE-B, shall apply to all Career Advancement promotions from Assistant Professor to Associate Professor and for equivalent cadres.
7. The CAS promotion from a lower stage to a higher stage of Assistant Professor shall be conducted through a "Screening-cum-Evaluation Committee", by following the criteria laid down in ANNEXURE-B.
8. The promotion under the CAS being a personal promotion to a faculty holding a substantive sanctioned post, the said post shall revert to its original cadre on his or her superannuation.
9. For the promotion under the CAS, the applicant teacher must be in the role and in active service of the College on the date of consideration by the Selection Committee.
10. The Director of Higher Education, Assam, shall issue an order after obtaining approval of the Department of Higher Education upon recommendation of the Assam College Services Recruitment Board or Departmental Promotion Committee in due concurrence of the related Government rules and notifications issued from time to time. The Assam College Services Recruitment Board or Departmental Promotion Committee shall sit as and when necessary but at least once every quarter.

Regarding CAS promotions of faculty members, the eligibility terms are mentioned in **ANNEXURE-A** and the selection process at **ANNEXURE B**.

Upon attainment of the promotion threshold (Level-13A), maintaining the level of Associate Professorship will be subject to fulfilment of certain conditions based on the Annual Performance Appraisal Index (APAI), as provided below, which will be subject to review by the Govt. and Assam College Teachers Recruitment Board. APAI will be assessed based on certain quantifiable performance indicators provided below:

1. Annual Academic Performance Audit and Research Output.
2. Annual Teaching-Learning and Mentorship report with feedback from stakeholders.
3. Annual participation in the corporate life of the college.
4. Annual Community Outreach with a quantifiable outcome or results.
5. Annual participation and successful completion of at least one Capacity Building programme or Professional Development Programme by UGC-HRDC or ARPIT (Annual Refresher Programme in Teaching) or Teaching Learning Centers or Faculty Development Centers under Pandit Madan Mohan Malviya National Mission on Teachers Training scheme.

In case of non-fulfilment of the above-mentioned conditions and receipt of non-satisfactory performance analysis, their position as Associate Professor may be reconsidered for further review. Accordingly, the matter will be placed before the Assam College Services Recruitment Board for necessary follow-up procedures, as decided by the Govt. from time to time.

Henceforth, the system of Annual Performance Appraisal Index (APAI) will apply to all the Associate Professors of all Provincialised or Govt. Model Degree Colleges or PDUAMs of Assam.

~~1/328837/2023~~

This Office Memorandum is issued in cancellation of Office Memorandum No. AHE.162/2012/Pt/47 dated 13-11-2013 and comes into force immediately.

This Office Memorandum will be applicable for Govt. Colleges also.

(Narayan Konwar, IAS)
Secretary to the Govt. of Assam
Higher Education Department

Memo No.391244/9-A

Dated Dispur, November, 2023

Copy to:

- 1) All Vice Chancellors of the Universities of Assam.
- 2) The Director of Higher Education, Assam, Guwahati-19 for information and follow-up action.
- 3) P.S to Hon'ble Minister, Education, Assam, Dispur, Guwahati-06
- 4) P.S to Hon'ble Adviser, Education, Assam, Dispur, Guwahati-06
- 5) P.S. to Secretary to the Govt. of Assam, Higher Education Department, Assam, Dispur, Guwahati-06
- 6) All Registrars of Universities of Assam.

By order etc.

Joint Secretary to the Govt. of Assam
Higher Education Department

ANNEXURE-A**Table 1****ELIGIBILITY****I. Assistant Professor(Academic Level 10) to Assistant Professor (Senior Scale/Academic Level 11)**

A	<p>Assistant Professors who have completed –</p> <ol style="list-style-type: none"> 1. four years of service and have a Ph.D. degree. <li style="text-align: center;">or 2. Five years of service and have an M.Phil. <li style="text-align: center;">or 3. Have PG Degree in Professional Courses, such as LLM, M.Tech., M.V.Sc., M.D. <li style="text-align: center;">or 4. Six years of service without a Ph.D. or M.Phil. or PG Degree in Professional courses.
B	<ol style="list-style-type: none"> 1. Attended one Orientation course of 21 days duration on teaching methodology or Faculty Induction Programme of 28 days; and
C	<ol style="list-style-type: none"> 1. Must complete a course or programme from any one of the following categories: <ul style="list-style-type: none"> • Completed one Refresher or Research Methodology Course • Any two of the following: Workshop or Syllabus Up-gradation Workshop or Training Teaching-Learning – Evaluation or Technology Programmes or Faculty Development Programmes of at least one week (5 days) duration • Any one of the following: MOOCs course (with e-certification) or development of e-contents in four quadrants or MOOCs course during the assessment period.

II. Assistant Professor (Senior Scale/Academic Level 11) to Assistant Professor (Selection Grade/Academic Level 12)

- 1) Assistant Professors who have completed five years of service in Academic Level 11 or Senior Scale.
- 2) Must have completed courses or programmes from any two of the following categories in the last five years of Academic Level-11 or Senior Scale:
 - Refresher Courses

1/328839/2023

- Research Methodology course
- Workshops
- Syllabus Up Gradation Workshop
- Teaching-Learning-Evaluation
- Technology Programmes
- Faculty Development Programme
- 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 or programme of at least two weeks (ten days) duration
- MOOCs course in the relevant subject (with e-certification)
- Contribution towards development of e-content in 4-quadrant (at least one quadrant) minimum of 10 modules of a course
- Contribution towards conducting of a MOOCs course during the period of assessment.

III. Assistant Professor (Selection Grade/Academic Level 12) to Associate Professor (Academic Level 13A)

- 1) Assistant Professor who has completed three years of service in Academic Level 12/ Selection-Grade.
- 2) A Ph.D. degree in subject relevant/allied/relevant discipline.
- 3) Must completed any one course or programme amongst the following categories during the last three years:
 - Refreshercourses
 - Methodology courses
 - Workshop
 - Syllabus Up-gradation Workshop
 - Teaching-Learning-Evaluation
 - Technology Programme
 - Faculty Development Programme of at least two weeks (ten days) duration (or completed two courses of at least one week (five days) duration in lieu of every singlecourse
 - Completed one MOOC course (with e-certification)
 - Contribution towards development of e-contents in 4-quadrant (at least one quadrant) minimum of 10 modules of a course
 - Contribution towards the conduct of a MOOC course during the period of assessment.

1/328839/2023

- 4) He/she gets a minimum 'satisfactory' grade in the annual performance assessment reports of at least two of the last three years of the assessment period, as mentioned in **Annexure A** (Table 2)

NOTE: Any of the above-mentioned Capacity Building Programmes/Professional Development Programmes can be done either at UGC-HRDC or ARPIT(Annual Refresher Programme in Teaching) or Teaching Learning Centers/Faculty Development Centers under Pandit Madan Mohan Malviya National Mission on Teachers Training scheme.

Table-2

ASSESSMENT CRITERIA AND METHODOLOGY**(For grading based on Annual Performance Assessment Report)**

S.No.	Activity	GradingCriteria
1.	Teaching: (Number of classes taught/total classes assigned) x 100% (Classes taught include sessions on tutorials, lab and other teaching related activities)	80% & above – Good 70% to 80% – Satisfactory Less than 70% – Not satisfactory
2.	Involvement in the University or College students related activities or research activities:	Involved in at least 3 activities – Good 1 or 2 activities – Satisfactory. Not involved in any activities – Not satisfactory. Note: The number of activities can be within or across the broad categories of activities
	<ul style="list-style-type: none"> Administrative responsibilities such as Head or Chairperson or Dean or Director or Co-Ordinator or Warden etc. 	
	<ul style="list-style-type: none"> Examination and evaluation duties assigned by the college or university or attending the examination paper evaluation. 	
	<ul style="list-style-type: none"> <i>Student-related</i> co-curricular, extension and field-based activities such as student clubs, career counseling, study visits, student seminars and other events, cultural, sports, NCC, NSS and community services. 	
	<ul style="list-style-type: none"> Organizing seminars or conferences or workshops, other college or university activities. 	
	<ul style="list-style-type: none"> Evidence of being actively involved in guiding Ph.D students. 	
	<ul style="list-style-type: none"> Conducting minor or major research projects sponsored by national or international agencies. 	
	<ul style="list-style-type: none"> At least one single or joint publication in a peer-reviewed or UGC list of Journals. 	

Overall Grading:**Good:** Good in teaching and satisfactory or good in activity at Sl.No.2.Or**Satisfactory:** Satisfactory in teaching and good or satisfactory in activity at Sl.No.2.**Not Satisfactory:** If neither good nor satisfactory in overall grading

Note: For the purpose of assessing the grading of Activity at Serial No. 1 and Serial No. 2, all such periods of duration which the teacher has spent 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

1/328839/2023

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 or her absence from his or her teaching responsibilities subject to the condition that such leave or 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 and government.

The Annual Performance Assessment report of College teachers for the CAS promotion is based on the following criteria:

- I. Teaching-Learning and Evaluation:** The commitment to teaching based on observable indicators such as being regular to class, punctuality to class, remedial teaching and clarifying doubts within and outside the class hours, counselling and mentoring, additional teaching to support the college/university as and when the need arises, etc. Examination and evaluation activities like performing of examination supervision duties, question-papers setting for university or college examinations, participation in the evaluation of examination answer scripts, and conducting examinations for internal assessment as per the schedule to be announced by the institution at the beginning of each Academic Session and returning and discussing the answers in the class.
- II. Personal Capacity Development related to Teaching and Research Activities:** Attending orientation or refresher or methodology or Faculty Induction courses, Faculty Development Courses, Professional Development Courses, development of e-contents and MOOC, organising seminars or conferences or workshops or presentation of papers and chairing of sessions or guiding and carrying out research projects and publishing the research output in national and international journals etc.
- III. Administrative Support and Participation in Students' Co-curricular and Extra-curricular Activities.**

Table-3

(Minimum API requirement for the promotion of teachers under CAS in colleges (UG&PG))

S.No.		Assistant Professor (Level-10 to Level-11)	Assistant Professor (Level-11 to Level-12)	Assistant Professor (Level-12) to Associate Professor (Level-13A)
1	Research and Academic contribution (Category-III)	20 per assessment period	50 per assessment period	45 per assessment period
2	Expert assessment system	Screening cum Evaluation Committee and Departmental Promotion Committee	Screening cum Evaluation Committee and Departmental Promotion Committee	Selection Committee and Departmental Promotion Committee

METHODOLOGY FOR CALCULATING ACADEMIC/RESEARCH SCOPE

(Assessment must be based on evidence produced by the teacher such as – a copy of publications, project sanction letter, utilisation and completion certificates issued by the University and acknowledgements for patent filing and approval letters, student's Ph.D. award letter, etc.,)

S.N.	Academic/ResearchActivity	Faculty of Sciences, Engineering, Agriculture, Medical, Veterinary Sciences	Faculty of Languages, Humanities, Arts, Social Sciences, Library, Education, Physical Education, Commerce, Management & other related disciplines
1.	Research Papers in Peer-Reviewed or UGC-CARE listed or SCOPUS INDEXED Journals	08 per paper	10 per paper
2.	Publications (other than Research papers)		
	(a)Books authored which are published y;		
	International Publishers	12	12
	National Publishers	10	10
	Chapter in Edited Book	05	05
	Editor of Book by International Publisher	10	10
	Editor of Book by National Publisher	08	08
	(b)Translation works in Indian and Foreign Languages by qualified faculties		
	Chapter or Research paper	03	03
	Book	08	08
3.	Creation of ICT mediated Teaching Learning pedagogy and content and development of new and innovative courses and curricula		

1/328839/2023

	(a) Development of Innovative pedagogy	05	05
	(b) Design of new curricula and courses	02 per curricula per course	02 per curricula per course
	(c) MOOCs		
	Development of complete MOOCs in 4 quadrants (4 credit course) (In case of MOOCs of lesser credits 05 marks per credit)	20	20
	MOOCs (developed in 4 quadrant) per module per lecture	05	05
	Content writer per subject matter expert for each module of MOOCs (at least one quadrant)	02	02
	Course Coordinator for MOOCs (4 credit course) (in case of MOOCs of lesser credits 02 marks per credit)	08	08
	(d) E-Content		
	Development of e-content in 4 quadrants for a complete course per e-book	12	12
	e-Content (developed in 4 quadrants) per module	05	05
	Contribution to development of e-content module incomplete course per paper per e-book (at least one quadrant)	02	02
	Editor of e-content for complete course or paper or e-book	10	10
4	(a) Research guidance		
	Ph.D.	10 per degree awarded (05 per thesis submitted)	10 per degree awarded (05 per thesis submitted)
	M.Phil. or P.G or U.G. dissertation	02 per degree awarded	02 per degree awarded
	(b) Research Projects Completed		
	Grant of More than Rs. 10lakhs	10	10
	Grant of Less than Rs. 10lakhs	05	05
	(c) Research Projects Ongoing:		
	Grant of More than Rs.10lakhs	05	05
	Grant of Less than Rs. 10lakhs	02	02
	(c) Consultancy	03	03
5	(a) Patents		
	International	10	10
	National	07	07
	(b)*Policy Document (Submitted to an International body/ organization like UNO, UNESCO, World Bank, International Monetary Fund etc. or Central Government or State Government)		
	International	10	10
	National	07	07
	State	04	04
	(c) Awards/Fellowship		
	International	07	07
	National	05	05

1/328839/2023

6.	*Invited lectures, Resource Person, paper presentation in Seminars or Conferences or full paper in Conference Proceedings (Paper presented in Seminars, Conferences and also published as fullpaper in Conference Proceedings will be counted only once)		
	International (Abroad)	07	07
	International (within country)	05	05
	National	03	03
	State/University	02	02

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

Peer-Reviewed or UGC-CARE listed Journals (Impact factor to be determined as per Thomson Reuters list):

i)	Paper in refereed journals without impact factor	- 5 Points
ii)	Paper with impact factor less than 1	10 Points
iii)	Paper with impact factor between 1 and 2	15 Points
iv)	Paper with impact factor between 2 and 5	20 Points
v)	Paper with impact factor between 5 and 10	- 25 Points
vi)	Paper with impact factor > 10	- 30 Points

- (a) Two authors: 70% of the total value of publication for each author.
- (b) More than two authors: 70% of the total value of publication or the First or Principal or Corresponding author and 30% of the total value of publication for each of the joint authors.

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

Note:

- If the paper presented is part of an edited book or proceeding, it can be claimed only once.
- Publications submitted by the candidate for assessment shall have been published during that assessment period.
- For joint supervision of research students, the formula shall be 70% of the total score for the Supervisor and Co-supervisor. The supervisor and Co-supervisor both shall get 7 marks each.
- *For the purpose of calculating the research score of the teacher, the combined research score from categories 5(b) and 6 above shall have an upper capping of thirty per cent of the total research score of the teacher concerned.
- The research score shall be from a minimum of three categories out of six categories.

TABLE-A**(CONSTITUTION OF COMMITTEES)****1. THE “SCREENING–cum-EVALUATION COMMITTEE” FOR CAS PROMOTION OF ASSISTANT PROFESSOR OR EQUIVALENT CADRES IN LIBRARIANS OR PHYSICAL EDUCATION AND SPORTS FROM ONE LEVEL TO THE OTHER HIGHEST LEVEL (LEVEL10, 11, 12) SHALL CONSIST OF:**

- i) The Principal of the college;
- ii) Head or Teacher-in-charge of the Department concerned from the college;
- iii) Two subject experts in the subject concerned, nominated by the Vice-Chancellor from the university panel of experts;

NOTE: The quorum for the meeting shall be three, including one subject expert or a University nominee.

2. SELECTION COMMITTEE FOR CAS PROMOTION FROM ASSISTANT PROFESSOR (Level-12) to ASSOCIATE PROFESSOR (Level-13A) at the College Level shall consist of the following persons:

- i) The Chairperson of the Governing Body or his or her nominee, from amongst the members of the Governing body, shall be the Chairperson of the Selection Committee.
- ii) The Principal of the College.
- iii) The Head of the Department or Teacher in-charge of the concerned subject from the college.
- iv) Two University representatives nominated by the Vice-Chancellor, one of whom shall be the Dean of College Development Council or equivalent position in the University, and the other must be an expert in the concerned subject. In case of Colleges notified or declared as minority educational institutions, two nominees of the Chairperson of the College from out of a panel of five names, preferably from minority communities, recommended by the Vice-Chancellor of the affiliating university from the list of experts suggested by the relevant statutory body of the college of whom one should be a subject expert.
- v) Two subject experts not connected with the college are to be nominated by the Chairperson of the Governing Body of the College out of a panel of five names recommended by the Vice Chancellor from the list of subject experts approved by the relevant statutory body of the university concerned. In case of colleges notified or declared as minority educational Institutions, two subject experts not connected with the University nominated by the Chairperson of the College Governing Body out of the panel of five names, preferably from minority communities, recommended by the Vice Chancellor from the list of subject experts approved by the relevant statutory body.
- vi) An academician belonging to the SC or ST or OBC or Minority or Women or Differently-abled categories, if any of the candidates belonging to these categories is the applicant, to be nominated by the Vice Chancellor if any of the above members of the selection committee does not belong to that category.

NOTE: The quorum for the meeting shall be five, including two subject experts.

TABLE-B**(PROMOTION PROCEDURE)****1. FOR ASSISTANT PROFESSOR and equivalent cadres of Librarian or Physical**

Education and Sports (LEVEL-10, 11, 12)

Stage 1: The Screening-cum-Evaluation Committee on verification or evaluation of grades secured by the candidate through the Assessment Criteria, as per Annexure-A (Table 1), shall recommend to the Governing Body of the College about the suitability for the promotion of the candidate(s) under CAS for implementation.

Stage 2: The recommendation shall be forwarded by the Governing Body through the Principal within two weeks to the Government for verification of procedures of the constitution of Screening-cum-Evaluation Committee and evaluation process by the DEPARTMENTAL PROMOTION COMMITTEE, constituted by the Department of Higher Education to proceed for notification.

2. FOR ASSOCIATE PROFESSOR (LEVEL- 12 to LEVEL-13A)

Stage 1: The Selection Committee on verification/evaluation of grades secured by the candidate through the Assessment Criteria, as per Annexure-A (Table 1), shall recommend to the Governing Body of the College about the suitability for the promotion of the candidate under CAS for implementation.

Stage 2: The recommendation shall be forwarded by the Governing Body through the Principal within two weeks to the Government for verification of procedures of the constitution of the Selection Committee and selection process by the DEPARTMENTAL PROMOTION COMMITTEE, constituted by the Department of Higher Education to proceed for notification.

TABLE-C**(CAS PROMOTION CRITERIA)****I. Assistant Professor (Academic Level 10) to Assistant Professor (Senior Scale/Academic Level 11)**

A teacher shall be promoted if;

- i) He or she gets a 'satisfactory' grade in the annual performance assessment reports of at least three or four or five of the last four or five or six years of the assessment period, as the case may be, as specified in Annexure-A (Table 1, 2, 3), and;
- ii) The promotion is recommended by the screening-cum-evaluation committee in accordance with these guidelines and approved by the Departmental Promotion Committee.

II. Assistant Professor (Senior Scale/Academic Level 11) to Assistant Professor (Selection Grade/Academic Level-12)

A teacher shall be promoted if;

- i. He/she gets a 'satisfactory' grade in the annual performance assessment reports of at least four of the last five assessment periods, as specified in Annexure-A (Table 1, 2, 3), and;
- ii. The promotion is recommended by the screening-cum-evaluation committee in accordance with these guidelines and approved by the Departmental Promotion Committee.

III. Assistant Professor (Selection Grade/Academic Level 12) to Associate Professor (Academic Level 13A)

A teacher shall be promoted if;

- i) He or she gets a 'satisfactory' or 'good' grade in the annual performance assessment reports of at least two of the last three years of the assessment period as prescribed in Annexure-A (Table 1, 2, 3), and

~~1/328839/2023~~

ii) The promotion to the post of Associate Professor is recommended by the selection committee in accordance with these guidelines and approved by the Departmental Promotion Committee.