

recommendations out of the total of four experts, in case the fourth expert has participated in the exercise due to one negative report out of the initially three experts involved in evaluation.

#### EXPLANATION

The requirement of participation in orientation/refresher courses/summer institutes, each of at least 3 or 4 weeks duration, and consistently satisfactory Annual Progress Report and Performance Appraisal Report, shall be mandatory requirement for Career Advancement from Lecturer (Senior Scale) to Lecturer (Selection Grade).

Wherever the requirement of Orientation/ Refresher courses has remained incomplete, the promotion would not be held up but these requirements must be completed by 31-12-2001.

The requirement for completing these courses would be as follows ;

- (i). For Lecturer to Lecturer (Senior Scale) one orientation course would be compulsory for University and College teachers. Those without Ph.D. would be required to do one refresher course in addition.
- (ii). Two refresher courses for Lecturer (Senior Scale) to Lecturer (Selection Grade).
- (iii). The senior teachers like Lecturers (Selection Grade) and Readers may opt to attend two seminars/conferences in their subject areas and

present papers as one aspect of their promotion/selection to higher level or attend refresher courses to be offered by Academic Staff Colleges for this level.

- 11- If the number of years required in a feeder cadre are less than those stipulated here above, thus entailing hardship to those who have completed more than the total number of years in their entire service for eligibility in the cadre,

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

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

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

11.04.21. Associate Professor completing three years of service in stage 4 and possessing a Ph.D. Degree in the relevant discipline shall be eligible to be appointed and designated as Professor and be placed in the next higher grade (stage 5), subject to-

- (a) satisfying the required credit points as per API based PBAS methodology provided in Table I-III of Appendix H stipulated in these statutes, and
- (b) an assessment by a duly constituted selection committee as suggested for the direct recruitment of Professor.

*Provided* that no teacher, other than those with a Ph.D., shall be promoted or appointed as Professor.

11.04.22. Ten percent of the positions of Professors in a university, with a minimum of ten years of teaching and research experience as professor either in the pre-revised scale of

may be placed in the next higher cadre, if found suitable by the Selection Committee after adjusting the total number of years. This is however, not applicable in the case of promotion from Reader to Professor under Career Advancement Scheme.

This situation is likely to arise as, in the earlier scheme of January 1, 1989, the numbers of years required in a feeder cadre were much more than those envisaged under this order.

Counting of past service will be done in the following manner :-

Previous service, without any break as a Lecturer or equivalent, in a university, college, national laboratory, or other scientific organizations, e.g. CSIR, ICAR, DRDO, UGC, ICSSR, ICHR and as a UGC Research Scientist, should be counted for placement of lecturer in Senior Scale/Selection Grade provided that:

- (1) The post was in an equivalent grade/Scale of pay as the post of Lecturer ;
- (2) The qualifications for the post were not lower than the qualifications prescribed by the UGC for the post of Lecturer;
- (3) The candidate who apply for direct recruitment should apply through proper channels ;
- (4) The concerned Lecturers possessed the minimum qualifications prescribed by the UGC for appointment as Lecturer ;
- (5) The post was filled in accordance with the prescribed selection procedure as laid down by the University/State Government/Central Government/Institution's regulations ;
- (6) The appointment was not ad-hoc or in a leave vacancy of less than one year duration. Ad-hoc service of more than one year duration can be counted, provided -

Professor's pay or the revised scale pay will be eligible for promotion to the higher grade of Professorship (stage 6), on satisfying the required API score as per Tables I and II through the PBAS methodology stipulated in these statutes through a duly constituted Expert committee, and such teachers promoted to the higher grade shall continue to be designated as 'Professor'. As this AGP elevation for Professor is applicable to only university departments, additional credentials are to be evidenced by:

- (a) post-doctoral research outputs of high standard;
- (b) awards / honors /and recognitions;
- (c) Additional research degrees like D.Sc. D.Litt., LID, etc.; patents and IPR on products and processes developed / technology transfer achieved in the case of teachers in science and technology.

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

### **STAGES OF PROMOTION UNDER THE CAS FOR LIBRARY CADRE.**

- 11.04.24. Assistant University Librarian / College Librarian in the entry level grade, possessing Ph.D. in Library Science, after completing service of four years in the lowest grade, if otherwise eligible as per API scoring

- a. the ad-hoc service was of more than one year duration ;
- b. the incumbent was appointed on the recommendation of duly constituted Selection Committee ;
- c. the incumbent was selected to the permanent post in continuation to the ad-hoc service, without any break.

12- A teacher of the University who is eligible for career Advancement/Promotion shall submit his application in triplicate along with the Annual Academic Progress Report and the performance Appraisal Report containing information about his satisfactory work to the Registrar of the University through the Head of the Department and in the case of teachers of Associated/Affiliated Colleges to the head of the Management/Director Higher Education through the Principal of the College in the proforma given in appendix ( A & B) annexed herewith.

**EXPLANATION-**

Satisfactory work shall mean the work done with reference to the work expected from a teacher of the University under the University statutes, ordinances or regulations.

13- (i) The Selection Committee constituted under section 31 of U.P. State Universities Act for Career Advancement/Promotion shall consider all relevant

material and record required under the Statutes to be placed before it.

(ii) In case of University, the recommendations of Screening/Selection Committee shall be submitted to the Executive Council for decision. If the Executive Council does not agree with the recommendation made by the Screening/Selection Committee, the Executive

system and PBAS methodology, shall be eligible for the higher grade (stage 2).

11.04.25. Assistant Librarian / College Librarian in the entry level grade, not possessing Ph.D. but only M.Phil. in

Library Science, after completing service of five years in the lowest grade, if otherwise eligible as per API scoring system and PBAS methodology, shall become eligible for the next higher grade (stage 2).

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

11.04.27. On completion of service of five years, Assistant Librarian (Sr. Scale) / College Librarian (Sr. Scale) shall be eligible for the post of Deputy Librarian/ equivalent posts and being placed in the next higher grade (stage 3), subject to their fulfilling other conditions of eligibility (such as Ph.D. Degree, etc. for Deputy Librarian) as per API scoring system based PBAS methodology. They shall be designated as Deputy Librarian / Assistant Librarian (Selection Grade) / College Librarian (Selection Grade), as the case may be.

11.04.28. After completing three years in the above grade, Deputy Librarians /equivalent positions shall move to the next higher grade (stage 4), subject to fulfilling other conditions of eligibility as per API scoring system and PBAS methodology.

**Miscellaneous provisions for CAS.**

Council shall refer the matter to the Chancellor along with the reasons of such disagreement and the Chancellor's decision shall be final.

If the Executive Council does not take a decision on the recommendation of the Screening/Selection Committee within a period of 4 months from the date of meeting of such Committee, then also the matter shall stand referred to the Chancellor, and his decision shall be final.

(iii) In case of affiliated or associated colleges (other than College maintained exclusively by State Govt.), the recommendations of the Screening/Selection Committee shall be submitted to the Head of the Management of the College for decision of the Management.

If the Management does not agree with the recommendation made by the Screening/Selection Committee, the management shall refer the matter to the Director, Higher Education along with the reasons of such disagreement and the decision of the Director, Higher Education shall be final. If the Management does not take a decision on the recommendation of the Screening/Selection Committee within a period of four months then also the matter shall stand referred to the Director, Higher Education and his decision shall be final.

(iv) In the cases of Colleges maintained exclusively by the State Govt. the recommendations of the Screening/

Selection Committee shall be submitted to the State Govt. for decision and its decision shall be final.

14- If an incumbent lecturer/lecturer in Senior Scale/ Lecturer in Selection grade/Reader (Promotion) is found suitable and recommended accordingly for promotion to the next higher Senior Scale/Selection Grade/Reader grade/Professor grade by the duly constituted

11.04.29. Members of the Selection Committee shall be given not less than 15 days notice of the meetings reckoned from the date of dispatch of such notice. The notice shall be served either personally or by registered/speed post.

11.04.30. At least 15 days notice reckoned from the date of dispatch shall be given to the candidates prior to the meeting of the Selection Committee. The notice shall be served either personally or by registered/speed post.

11.04.31. The work-load of Assistant Professor placed in Selection Grade or Promoted as Associate Professor or Professor under Career Advancement Scheme shall remain unchanged.



Screening/Selection Committee at the first instance, the next higher grade and designation would be admissible to him from the date of eligibility or 27th of July 1998 whichever is later.

15- In case the incumbent lecturer/lecturer in Senior Scale/Lecturer in Selection grade/Reader is not found suitable for Career Advancement Promotion in the first instance, he may offer himself again for such advancement/promotion after every one year, and he shall be considered by the Screening/Selection Committee alongwith other candidates who have since become eligible. If he is recommended for promotion in the second or subsequent attempts he will be given the grade as well as the designation (if any), from the date of taking over charge as Lecturer in Senior Scale/Lecturer in Selection Grade/Reader (Promotion)/Professor (Promotion), as the case may be.

16- The posts of Reader or Professor to which promotion is made, shall be deemed to be in addition to the cadre of Reader or Professor as the case may be upto the date of retirement of the incumbent, and thereafter the post will revert back to its original.

17- No selection of any teacher of the University under the then existing statutes through the duly constituted Selection Committee for making appointment/promotions to teaching post by direct recruitment or by personal promotion or by Career Advancement prior to the coming into force of the present statutes, having had the then requisite minimum qualification as was prescribed at that time shall be affected by the present statutes.

18- (i) Subject experts and the nominee (if any) for the Screening/Selection Committee be nominated for each Calendar year by the Vice-Chancellors/the Director, Higher Education well in time to facilitate the Member Conveners to initiate the process of convening the

meetings of the Committee, constituted under Career Advancement Scheme. The Screening/Selection Committee shall usually meet within six months and in all cases be definitely convened within a year of the date, a teacher is eligible for promotion.

- (ii) Screening/Selection Committee shall meet at the head quarters of the University in the case of the teachers of the University and it's Affiliated/Associated Colleges (other than Colleges maintained exclusively by the State Govt.). In the case of teachers of colleges maintained exclusively by the State Govt. the Committee shall meet in the office of the Director, Higher Education, U.P.
  - (iii) The majority of the total membership of the Screening/Selection Committee shall form the quorum of the Committee but the presence of the Chairman and at least one expert shall be necessary.
  - (iv) No recommendation made by the Screening /Selection Committee shall be considered to be valid unless one of the experts have agreed to the selection.
- 19- Members of the Selection Committee shall be given not less than 15 days notice of the meetings reckoned from the date of dispatch of such notice. The notice shall be served either personally or by registered post.
- 20- At least 15 days notice reckoned from the date of dispatch shall be given to the candidates prior to the meeting of the Selection Committee. The notice shall be served either personally or by registered post.
- 21- The work load of Lecturer placed in Selection Grade or Promoted as Reader or Professor under Career Advancement Scheme shall remain unchanged.

### PART-III

## 11.06 ACADEMIC PERFORMANCE INDICATORS (new)

11.06.01. The overall selection procedure shall incorporate transparent, objective and credible methodology of analysis of the merits and credentials of the applicants based on weightages given to the performance of the candidate in different relevant dimensions and his/her performance on a scoring system proforma, based on the Academic Performance Indicators (API) as provided in Tables I to IX of Appendix H.

In order to make the selection procedure more credible, institutions may assess the ability for teaching and/or research aptitude through a seminar or lecture in a class room situation or discussion on the capacity to use latest technology in teaching and research at the interview stage. These procedures can be followed for both direct recruitment and CAS promotions wherever selection committees are prescribed.

11.06.02 The Universities shall adopt these statutes for selection committees and selection procedures through their respective statutory bodies incorporating the Academic Performance Indicator (API) based Performance Based Appraisal System (PBAS) at the institutional level for University Departments and their Constituent colleges/ affiliated colleges (Government/Government-aided/Autonomous/ Private Colleges) to be followed transparently in all the selection processes. An indicative PBAS template proforma for direct recruitment and for Career Advancement Schemes (CAS) based on API based PBAS shall also be sent separately by the UGC to the universities. The universities may adopt the template proforma or may devise their own self-assessment cum performance appraisal forms for teachers in strict adherence to the API criteria based PBAS prescribed in these Regulations.

11.06.03(i) Besides the indexed publications documented by various discipline-specific databases, the University shall draw through committee(s) of subject experts and ISBN / ISSN experts: (a) a comprehensive list of National /Regional level journals of quality in the concerned subject(s); and (b) a comprehensive list of Indian language journals / periodicals / official publication volumes of language bodies and upload them on the University website which are to be updated periodically.

(ii) In respect of Indian language publications, equivalence in quality shall be prescribed by a Co-ordination Committee of experts to be constituted by the Chancellor.

(iii) At the time of assessing the quality of publications of the candidates during their appointments/promotions, the selection committees shall have to be provided with the above two lists which could be considered by the selection committees alongwith the other discipline-specific databases.

11.06.04 The process of selection of Associate Professor should involve inviting the bio-data with the duly filled Performance Based Appraisal System ( PBAS) proforma developed by the university based on the API criteria provided in these Statutes and template separately provided. Without prejudice, to the requirements provided for selection of Associate Professor under these Statutes, the prescription of research publications for promotion from the post of Assistant Professor to Associate Professor in colleges shall be as follows:

(a) for those who possess a Ph.D. Degree, a minimum of one publication made during the period of service as Assistant Professor;

(b) for those with a M.Phil. Degree, a minimum of two publications made during the period of service as Assistant Professor; and

(c) for those without Ph.D. or M.Phil. degree, at least three publications during the period of service as Assistant Professor.

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

**11.06.05** The process of selection of Professor shall involve inviting the bio-data with duly filled Performance Based Appraisal System (PBAS) proforma developed by the respective universities based on the API criteria based PBAS set out in these statutes and reprints of five major publications of the candidates.

*Provided* that such publications submitted by the candidate shall have been published subsequent to the period from which the teacher was placed in the Assistant Professor stage-II.

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

**11.06.06.** In the case of selection of Professors who are from outside the academic stream and are considered under Clause 11.03.02 (d), the university's statutory bodies must lay down clear and transparent criteria and procedures so that only outstanding professionals who can contribute substantially to the university knowledge system are selected in any discipline as per the requirements.

**11.06.07** The Academic Performance Indicator (API) scoring system in the process of selection of Principal shall be similar to that of directly recruited Professors. In addition, the selection committee shall assess the following dimensions with the weightages given below:

- (i). Assessment of aptitude for teaching, research and administration (20%);
- (ii). Ability to communicate clearly and effectively (10%);
- (iii). Ability to plan institutional programmes, analyze and discuss curriculum development and delivery, research support and college development/administration (20%);
- (iv). Ability to deliver lecture programmes to be assessed by requiring the candidate to participate in a group discussion or exposure to a class room situation by a lecture (10%); and
- (v). Analysis of the merits and credentials of the candidates on the basis of the Performance Based Appraisal System (PBAS) proforma developed by the University based on these Statutes (deduced to 40% of the total API score)

**11.06.08.** In the selection process for posts involving different nature of responsibilities in certain disciplines/areas, such as Music and Fine Arts, Visual arts, Performing arts and Physical education, greater emphasis may be laid on the nature of deliverables indicated against each of the posts which need to be taken up by the concerned institution while developing API based PBAS proforma for both direct recruitment and CAS promotions.

**11.06.09** The Internal Quality Assurance Cell (IQAC) shall be established in the University/Colleges as per the UGC/ National Assessment Accreditation Council (NAAC) guidelines with the Vice Chancellor, as Chairperson (in the case of University), and the Principal, as Chairperson (in case of colleges). The IQAC shall act as the documentation and record-keeping Cell for the institution including assistance in the development of the API criteria based PBAS proforma using the indicative template as





prescribed. The IQAC may also introduce, wherever feasible, the student feedback system as per the NAAC guidelines on institutional parameters without incorporating the component of students' assessment of individual teachers in the PBAS.

11.06.10. While the Academic Performance Indicators (API):

Tables I and III of Appendix H are applicable to the selection of Professors/Associate Professors/Assistant Professors in University and colleges, the ratio / percentage of minimum requirement of category-wise API Score to each of the cadres shall vary from those for university teachers and for UG/PG College teachers, as given in Tables of Appendix-H.

11.06.11 The minimum norms of Selection Committees and Selection Procedures as well as API score requirements for the above cadres, either through direct recruitment or through Career Advancement Schemes statutes, shall be similar. However, since teachers recruited directly can be from different backgrounds and institutions, Table II (c) of Appendix H provides norms for direct recruitment of teachers to different cadres, while Tables II (a) and Table II (b) provide for CAS promotions of teachers in University and colleges respectively, which accommodate these differences.

## CHAPTER-XV PART-I

### CONDITIONS OF SERVICE OF TEACHERS OF THE UNIVERSITY

Existing Provisions	Provisions hereby substituted
15.02 A teacher of the University shall at all times maintain absolute integrity and devotion to duty and shall observe the Code of Conduct as set out in Appendix C, which shall form part of the agreement to be signed by the teacher at the time of appointment.	15.02 A teacher of the University shall at all times maintain absolute integrity and devotion to duty and shall observe the Code of Professional Ethics mentioned in statute 15.34 and the Code of Conduct as set out in Appendix C, which shall form part of the agreement to be signed by the teacher at the time of appointment.
15.03. A breach of any of the provisions of the Code of Conduct as set out in Appendix C shall be deemed to be a misconduct within the meaning of Statute 15.04.(1)	15.03. A breach of any of the provisions of the Code of Professional Ethics mentioned in statute 15.34 and the Code of Conduct as set out in Appendix C shall be deemed to be a misconduct within the meaning of Statute 15.04.(1)
15.05. The original contract of appointment referred to in Section 32 shall be lodged with the Registrar for registration within three	15.05. The original contract of appointment referred to in section 32 shall be lodged with the Registrar for registration within