

# University of Mumbai

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**Academic Appointments & Quality Assurance (AAQA)**  
 Fort Campus, M.G. Road, Mumbai - 32

**NAAC Accredited with A++**

**Proforma as per UGC Regulations-2018 dated 18<sup>th</sup> July, 2018 & Government Resolution No. Misc-2018 /C.R.56/18/UN-1 Dt. 8th March 2019 and Corrigendum Dt. 10th May 2019 For CAS promotions From Assistant Professor (Selection Grade/Academic Level-12) to Associate Professor (Academic Level 13A) and Associate Professor (Academic Level 13A) to Professor (Academic Level 14) in University Departments/Institutions for Faculty of Sciences & Technology/ Humanities /Commerce / Interdisciplinary**

## Part A : General Information and Academic Background

1.

Name in full Shri/Smt./Kum. (in BLOCK letters)	Surname																		
	First name																		
	Middle name																		

2.

Name of University Department/ Centre / Institution :-																			

3.

Current postal address (in BLOCK letters)																			
Email ID																			
Mobile No.																			
Tel. No.																			

4.

Current Designation & Grade Pay / Level :-																			

5.

Date of last Promotion :-																			
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6.

Next Position and grade pay are you an applicant under CAS?																			

7.

Date of eligibility for promotion under CAS :-																			
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8.

Research Degree(s)			
Degree	Specialization	University	Date of award
PG			
M. Phil.			
Ph.D			
NET/SET			
D. Sc. / D. Litt			
Other qualifications			

9.

Appointments held						
Sr. No	Designation	Name of Employer	Date of		Reason of leaving, if any	Service on grantable or non-grantable basis
			Joining	leaving		

10. Tick the appropriate stage your promotion (under CAS) and mentioned whether you fulfill the minimum eligibility requirements indicated therein:

Tick mark (✓) the academic level	Stages of promotion of Teachers through CAS	Eligibility	Eligible Yes/No
	Assistant Professor (Stage 3/ AGP Rs. 8000/) to Associate Professor (Stage 4/AGP Rs. 9000/-) or (Selection Grade/Academic Level 12) to Associate Professor (Academic Level 13A)	<ol style="list-style-type: none"> <li>1. Assistant Professor who has completed three years of service in Academic Level 12/ Selection grade.</li> <li>2. A Ph. D. Degree in the subject concerned/allied/ relevant discipline.</li> <li>3. Any one of the following during last three years: completed one course / program from amongst the categories of Refresher Courses/ Research Methodology Workshops/Syllabus Up-gradation Workshop/Teaching-Learning-Evaluation Technology Program/ Faculty Development Program 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/ program of at least two weeks (ten days) duration); or completed one MOOCs course (with e-certification);or contribution towards the development of e-content in 4-quadrant (at least one quadrant) minimum of 10 modules of a course/ contribution towards development of at least 10 modules of MOOCs course/ contribution towards conduct of a MOOCs course during the period of assessment.</li> <li>4. A minimum of seven publications in the peer-reviewed or UGC-listed journals out of which three research papers should have been published during the assessment period.</li> <li>5. Evidence of having guided at least one Ph.D. candidate.</li> </ol> <p><b>Criteria:</b> A teacher shall be promoted if;</p> <ol style="list-style-type: none"> <li>i) He/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 specified in Appendix II, Table 1, and has a research score of at least 70 as per Appendix II, Table 2.</li> <li>ii) The promotion is recommended by a Selection Committee constituted in accordance with these rules.</li> </ol>	
	Associate Professor (Stage 4/ AGP Rs. 9000/- to Professor (Stage 5/AGP Rs. 10000/-) or (Academic Level 13A) to Professor (Academic Level 14)	<ol style="list-style-type: none"> <li>1. An Associate Professor who has completed three years of service in Academic Level 13 A.</li> <li>2. A Ph. D. degree in the subject concerned/allied/ relevant discipline.</li> <li>3. A minimum of ten research publications in the peer- reviewed or UGC-listed journals out of which three research papers should have been published during the assessment period.</li> <li>4. Evidence of having successfully guided doctoral candidate.</li> <li>5. A minimum of 110 Research Score as per Appendix II, Table 2.</li> </ol> <p><b>Criteria:</b> A teacher shall be promoted if;</p> <ol style="list-style-type: none"> <li>i) He/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 per the Appendix II, Table 1, and at least 110 research score as per Appendix II, Table 2.</li> <li>ii) The promotion is recommended by a Selection Committee constituted in accordance with these rules.</li> </ol>	

11. Orientation / Refresher/ Research Methodology Course/ Workshop/ Syllabus Up-gradation Workshop/Training Teaching-Learning-Evaluation, Technology Programs'/ Faculty Development Programs of at least one week (5 days) duration, or taken one MOOCs course (with e-certification) or development of e-contents in four-quadrants / MOOC's course

Sr. No	Name of the Course	Place	Duration	Sponsoring Agency

### Part B: Assessment Criteria as per Appendix – II Table - 1

#### ASSESSMENT CRITERIA: TEACHING, LEARNING AND EVALUATION RELATED ACTIVITIES

(Since all the activities are based on objectively verifiable records, evidences must be provided to the committee)

Sr. No.	Nature of Activity	Grading Criterion	Assessment Years					
			20 - 20	20 - 20	20 - 20	20 - 20	20 - 20	20 - 20
1	Teaching $\left(\frac{\text{Number of classes taught}}{\text{total classes assigned}} \times 100\%\right)$	80% & above – “ <b>Good</b> ” Below 80% but 70% & above- “ <b>Satisfactory</b> ” Less than 70% - “ <b>Not satisfactory</b> ”						
2	Involvement in the University/ College students related activities/research activities	“ <b>Good</b> ” - Involved in at least 3 activities.  “ <b>Satisfactory</b> ”- 1-2 activities.  “ <b>Not- satisfactory</b> ” - Not involved / undertaken any of the activities						
	a) Administrative responsibilities such as Head, Chairperson/ Dean/ Director/ Co- ordinator, Warden etc.							
	b) Examination and evaluation duties assigned by the college / university or attending the examination paper evaluation.							
	c) Student related 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.							
	d) Organizing seminars/ conferences/ workshops, other college/university activities.							
	e) Evidence of actively involved in guiding Ph.D. students							

f) Conducting minor or major research project sponsored by national or international agencies.								
g) At least one single or joint publication in peer reviewed or UGC list of Journals.								
h) Any other								
<b>Overall Grading</b>								

**Note:** Candidate should get 'satisfactory' or 'good' grade in the assessment criterion of at least three/four/five of the last four/five/six years of the assessment period as the case may be.

**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 have been spent by the teacher on different kinds of paid leaves such as Maternity Leave, Child Care Leave, Study Leave, Medical Leave, Extraordinary Leave and Deputation shall be excluded from the grading assessment. The teacher shall be assessed for the remaining period of duration and the same shall be extrapolated for the entire period of assessment to arrive at the grading of the teacher. The teacher on such leaves or deputation as mentioned above shall not be put to any disadvantage for promotion under CAS due to his/her absence from his/her teaching responsibilities subject to the condition that such leave/deputation was undertaken with the prior approval of the competent authority following all procedures laid down in these regulations and as per the acts, statutes and ordinances of the parent institution.

**Date of Ph. D. Degree Awarded** : 

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**Number of Publications** : 

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1) **During Assessment Period** : 

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2) **Entire Period** : 

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**No. of Ph. D. students Awarded** : 

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**Part C: Methodology for calculating Academic/Research Score**

- ❖ Assessment must be based on evidence produced by the teacher such as: copy of publications, project sanction letter, utilization and completion certificates issued by the University and acknowledgements for patent filing and approval letters, students' Ph.D. award letter, etc.,
- ❖ The candidate is qualified only if the research score is acquired in **minimum of three categories out of following six categories/activities.**

## Academic/Research Activities:

### (1) Research Papers in Peer-Reviewed or UGC listed Journals

- per paper-08 (for **Faculty of Sciences & Technology/ Humanities /Commerce / Interdisciplinary**)
- per paper-10 (for **Faculty of Sciences & Technology/ Humanities /Commerce / Interdisciplinary**)

**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) :

- 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
- i) Paper with impact factor between 2 and 5 - 20 Points
- ii) Paper with impact factor between 5 and 10 - 25 Points
- iii) Paper with impact factor >10 - 30 Points.

No	Title of the paper with page Nos.	Journal name with ISBN/ISSN No	Peer-Reviewed or UGC listed Journals	Impact Factor, if any (to be determined as per Thomson Reuters list)	Number of total authors	First/Principal/Corresponding author	Self-appraisal ACADEMIC/RESEARCH SCORE	Verified ACADEMIC / RESEARCH SCORE by Committee
<b>Total of (1)</b>								

**Note:** If peer-reviewed, write the name of reviewer agency and review number.

**Note:** (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.

### (2) Publications (other than Research papers)


**(a) Books authored which are published**

- International publishers- 12; National Publishers- 10; Chapter in Edited Book -05; Editor of Book by International Publisher- 10; Editor of Book by National Publisher- 08.

Sr. No	Title of the Book	Name of the Publisher with address	International/National/Chapter in edited book/ of Book by International Publisher/ Editor of Book by National Publisher	Self - appraisal ACADEMIC/ RESEARCH SCORE *	Verified ACADEMIC/ RESEARCH SCORE by Committee*
<b>Sub Total of 2(a)</b>					

**(b) Translation works in Indian and Foreign Languages by qualified faculties**

- Chapter or Research paper- 03; Book -08.

Sr. No	Title of the Book / Research paper	No of authors	Self - appraisal ACADEMIC/RESEARCH SCORE*	Verified ACADEMIC/RESEARCH SCORE by Committee*
<b>Sub Total of 2(b)</b>				
<b>Total of (2) ((a) + (b))</b>				

**(3) Creation of ICT mediated Teaching Learning pedagogy and content and development of new and innovative courses and curricula**

**a) Development of Innovative pedagogy**

Sr. No	Innovative pedagogy	Course for which it is applied	No of authors	Self - appraisal ACADEMIC / RESEARCH SCORE *	Verified ACADEMIC/ RESEARCH SCORE by Committee*
<b>Sub Total of (3) (a)</b>					

**b) Design of new curricular and courses**

Sr. No	Title of curricula and courses designed	Name of the program	Self - appraisal ACADEMIC/ RESEARCH SCORE *	Verified ACADEMIC/ RESEARCH SCORE by Committee*
Sub Total of 3(b)				

**C) MOOCs**

- Development of complete MOOCs in 4 quadrants (4credit course)(In case of MOOCs of lesser credits 05 marks/credit)-20
- MOOCs (developed in 4 quadrant) per module/lecture- 05
- Content writer/subject matter expert for each module of MOOCs (at least one quadrant)-02
- Course Coordinatorfor MOOCs (4 credit course)(In case of MOOCs of lesser credits 02 marks/credit)-08

Sr. No	Title of the Massive open online Course(s)	No of credits	No of quadrants	Co-Coordinator/ SME/Writer/ Content Presenter	No of Modules	Self appraisal ACADEMIC/ RESEARCH SCORE *	Verified ACADEMIC/ RESEARCH SCORE by Committee*
Sub Total of 3 (c)							

**\* MOOC Quadrants means: Quadrant 1: Video Lectures; Quadrant 2: E-content (supporting material like PPT, Pdf, animation etc); Quadrant 3: Discussion Forum (with Learners); Quadrant 4: Assessment (Objective/Descriptive tests, Quizzes etc)**

**d) E-Content (E-Books/courses under E-PG-pathshala/animated courses etc)**

- Development of e-Content in 4 quadrants for a complete course/e-book- 12
- e-Content (developed in 4 quadrants) per module 05
- Contribution to development of e-content module in complete course/subject/e-book (at least one quadrant)- 02
- Editor of e-content for complete course/ paper /e-book 10

Sr. No.	Title of the e-Content (s) /subject/e-book(s)	No of quadrants /complete courses	Writer/ Editor	No. of Modules	Self appraisal ACADEMIC/ RESEARCH SCORE *	Verified ACADEMIC/RESEARCH SCORE by Committee*
Sub Total of 3 (d)						
Total of 3 ((a) to (d))						



**(4) a) Research guidance**

- Ph. D. awarded per candidate 10; Ph. D. submitted per candidate 05; and M. Phil./P. G. dissertation 02 per degree awarded.
- For joint supervision of research students, the formula shall be 70% of the total score for Supervisor and Co-supervisor. Supervisor and Co-supervisor, both shall get 7 marks each.

Sr.No.	Ph.D. / M.Phil./ P.G dissertation	Degree awarded/ Thesis submitted	Guide/ co-guide	Self appraisal ACADEMIC/ RESEARCH SCORE *	Verified ACADEMIC/RESEARCH SCORE by Committee*
<b>Sub Total of 4 (a)</b>					

**b) Research Projects Completed**

- More than 10 lakhs -10; Less than 10 lakhs- 05.
- Joint Projects: Principal Investigator and Co-investigator would get 50% each.

Sr. No.	Title of Project	Name of Sponsoring Agency	Period	Grant /Amount in Lakhs	Self appraisal ACADEMIC/RESEARCH SCORE	Verified ACADEMIC/RESEARCH SCORE by Committee
<b>Sub Total of 4 (b)</b>						

**c) Research Projects Ongoing**

- More than 10 lakhs - 05; Less than 10 lakhs- 02
- Joint Projects: Principal Investigator and Co-investigator would get 50% each.

Sr. No.	Title of Project	Name of Sponsoring Agency	Period	Grant/Amount in Lakhs	Self appraisal ACADEMIC/ RESEARCH SCORE *	Verified ACADEMIC/ RESEARCH SCORE by Committee*
<b>Sub Total of 4 (c)</b>						

d) **Consultancy- 03**

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

Sr. No.	Type of consultancy	Name of consultancy seeking agency	Period	Self appraisal ACADEMIC/ RESEARCH SCORE *	Verified ACADEMIC/RESEARCH SCORE by Committee*
<b>Sub Total of 3 (d)</b>					
<b>Total of 4 ( (a) to (d))</b>					

(5) a) **Patents**

- International-10; National- 07

Sr. No.	Title of Patent	International/National	Year	Patent/Technology Transfers	Self appraisal ACADEMIC/ RESEARCH SCORE *	Verified ACADEMIC/RESEARCH SCORE by Committee*
<b>Sub Total of 5 (a)</b>						

b) **Awards/Fellowship**

- International -07; National -05

Sr. No.	Name of the award /Fellowship	Name of the Academic Body/ Society/Association	International /National	Self appraisal ACADEMIC/ RESEARCH SCORE *	Verified ACADEMIC/RESEARCH SCORE by Committee*
<b>Sub Total of 5 (b)</b>					
<b>Sub Total of 5 ((a) to(b))</b>					

Total research score of activities (1) to (5)									
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(6) (a) \*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; National -07; State -04

Sr. No.	Title of Document	International body/Central Government/State Government	Year	Self appraisal ACADEMIC/ RESEARCH SCORE *	Verified ACADEMIC/RESEARCH SCORE by Committee*
Sub Total of 6 (a)					

(b) \* Invited lectures / Resource Person/ paper presentation in Seminars/ Conferences/full paper in Conference Proceedings (Note: Paper presented in Seminars/Conferences and also published as full paper in Conference Proceedings will be counted only once)

- International (Abroad) -07; International (within country) -05; National -03; State/University -02

Sr. No.	Title of the Invited lecture/paper presentations/ full paper in Conference Proceedings	Title of Conference/seminar	Organized by	Level International/ National/State / University	Self appraisal ACADEMIC/ RESEARCH SCORE *	Verified ACADEMIC/ RESEARCH SCORE by Committee*
Sub Total of 6 (b)						
Total of 6 ((a) to (b))						

**Note:** Paper presented if part of edited book or proceeding then it can be claimed only once.

\* For the purpose of calculating research score of the teacher, the combined research score from the categories of 6(a) Policy Document and 6(b). Invited lectures/Resource Person/Paper presentation shall have an **upper capping of thirty percent** of the total research score of the teacher concerned.

❖ Note that the candidate is qualified only if the research score is acquired in minimum of three categories out of six categories/activities.

- ❖ Minimum ACADEMIC/RESEARCH SCORE requirement for the promotion of teachers under CAS in university departments is as given in following table:

Sr. No	Category	Assistant Professor (Stage 1/AGP Rs.6000/- to Stage 2/AGP Rs.7000/-)	Assistant Professor (Stage 2/AGP Rs.7000/- to Stage 3/AGP Rs.8000/-)	Assistant Professor (Stage 3/AGP Rs.8000/-) to Associate Professor (Stage 4/AGP Rs.9000/-)	Associate Professor (Stage 4/ AGP Rs.9000/- to Professor (Stage 5/AGP Rs.10000/-)	Associate Professor (Stage 5/ AGP Rs.10000/- to Professor (Stage 6/AGP Rs.12000/-)
1	Academic/ Research Score	-	-	70	110	-

**Academic/ Research Score for Direct recruitment:**

Assistant Professor (Stage 3/AGP Rs.8000/-) to Associate Professor (Stage 4/AGP Rs.9000/-) : 75  
 Associate Professor (Stage 4/ AGP Rs.9000/- to Professor (Stage 5/AGP Rs.10000/-) : 120

I certify that the information provided is correct as per records available with the college/university Department and/or documents enclosed along with the duly filled proforma.

Name & Signature of the teacher

Forwarded through:

Head/Director/Principal

-----Only for office Use-----

**Academic/Research Score:**

I	Total research score form activities (1) to (6)	
II	30% of score in (I)	
III	Total score of activity (6)	
IV	minimum of score (in (II) and in (III))	
V	Total research score of activities (1) to (5)	
Final research score: score in (IV) + (V)		

Whether the score is acquired in minimum of 3 categories or not yes/No.: -----

**Academic/ Research Score Summery**

Score Approved by Academic/Research Score Verification Committee

Sr.	Name of Member	Designation	Sign
1		Chairman	
2		Member	
3		Member	
4		Member	
5		Member	
6		Member	
7		Member	
8		Member	
9		Member	
10		Member	