CAREER ADVANCEMENT SCHEME (CAS) GUIDELINES

for

Assistant/Associate/Professor/Senior Professor

BIRLA INSTITUTE OF TECHNOLOGY
(A Deemed to be University u/s 3 of UGC Act, 1956)
MESRA, RANCHI - 835 215, JHARKHAND, INDIA

(Effective from January-2018 and Based on UGC guidelines)
In view of the implementation of seventh Central Pay Commission (CPC) and announcement of the new Career Advancement Scheme (CAS) guidelines by the University Grants Commission (UGC), Birla Institute of Technology, Mesra, Ranchi (BIT) promulgates the following Career Advancement Scheme (CAS):

1. **Faculty performance Assessment Criteria:**

1.1 **Teaching:** Commitment to teaching based on following indicators:
   a) Regularity and punctuality in conducting assigned classes/laboratories.
   b) Active participation in remedial teaching.
   c) Prompt clarification of students’ doubts within and outside the class hours.
   d) Counselling and mentoring of students and additional teaching related duties as required.

1.2 **Evaluation:** Participation in examination related activities:
   a) Invigilation, b) paper setting, c) timely evaluation of answer books, d) punctual conduct of internal assessment as scheduled, and e) returning of answer books and discussing the answers in class.

1.3 **Skill Enhancements:** Through participation in
   a) Orientation/Refresher courses, b) MOOCs, c) SWAYAM, d) organizing seminars / conferences / workshops, e) presentation of papers, f) chairing of sessions, g) guiding and carrying out research projects, and h) patenting / publishing of research output in national/international journals etc.

1.4 **Steering of Students’ Co/Extra-Curricular Activities:**
Assisting with critical administrative duties related to all round development of students through their participation in NCC/NSS/Sports/Student Societies/Clubs activities.

2. **Assessment Procedure:**

The following three-step process shall be adopted for assessing the eligibility for promotion under CAS at all levels:

**Step I:**

The faculty member shall submit her/his annual self-appraisal report (ASAR) in the prescribed Proforma (Table-1) fully verified by her/his Head of Department (HOD) to the Office of Dean (Faculty Affairs and Sponsored Research). The report should be
submitted at the end of every academic year, within the stipulated time with the necessary documentary evidence for the achievements claimed in the ASAR.

Step II:

After completion of the required years of experience and fulfilment of other requirements for promotion under the applicable stage of CAS as required, the faculty member shall submit an application with mandated supporting documents to her/his HOD/Director who shall forward this application after due examination by the Departmental/Off Campus CAS Committee, to the Office of Dean (Faculty Affairs and Sponsored Research) in the prescribed Application Proforma.

Step III:

The outcome of CAS applications shall be conveyed by Dean (FA&SR) within shortest possible time required for full assessment of data provided by the applicant and completion of mandated procedures of the institute (preferably within 3 months).

3. Implementation Details:

The steps detailed above shall be overseen by following committees:

3.1 With the Approval of the Vice Chancellor (VC), each Academic Department of BIT Mesra shall constitute a departmental CAS committee, henceforth to be referred as Departmental CAS (DCAS) committee whose composition shall be as under:

i). Head of the Department - Chair
ii). One Professor from the Department - Member
iii). One Associate Professor - Member
iv). One Assistant Professor - Member Secretary

A suitable faculty member may be made member of the CAS committee in case Professor/Associate Professor is not available in the Department.

3.2 With Approval of the VC, each Off Campus of BIT shall constitute an off campus CAS committee, henceforth to be referred as OCCAS committee whose composition shall be as under:

i). Director of Off Campus - Chair
ii). One Professor - Member
iii). One Associate Professor - Member
iv). One Assistant Professor - Member Secretary
4. **Supplementary Details:**

a) The candidates may submit the duly filled application in prescribed proforma at least 3 months in advance of their perceived date of eligibility. However, promotion shall be effective only after fulfilment of all eligibility criteria has been authenticated as per institute norms by the duly constituted Institute CAS Committee.

b) Candidates not succeeding in their first assessment shall be re-assessed only after a minimum cool off period of one year.

c) The Ph.D. degree shall be a mandatory qualification for appointment and promotion to all academic positions in the institute.

d) All promotions shall be processed only if candidates’ ASAR qualifies for being considered as Good during all years of the assessment period.

e) The period of time taken by candidates to acquire M.Phil. and/or Ph.D. degree shall not be considered as teaching/ research experience to be claimed for appointment to the teaching positions. The period of active service spent on pursuing Research Degree simultaneously with teaching assignment without taking any kind of leave shall be counted as teaching experience for the purpose of direct recruitment/ promotion. The period of leave taken for pursuing Research Degree i.e., for acquiring Ph.D. degree shall not be counted as teaching experience for the purpose of promotion.

f) The date of eligibility for CAS promotion from Academic Level (AL) 10 to AL 11 and from AL 11 to AL 12 shall be the date of submission of the CAS application by the candidate in the Department/ Off–Campus or the date, on which the candidate is found to fulfill the required eligibility criteria, whichever is later.

g) The promotion to the post of Associate Professor (AL 13A) /Professor (AL 14) /Senior Professor (AL15) shall be governed by the recommendations of the Selection Committee.

h) Counting of past experience will be at the discretion of the Selection Committee at the time of initial appointment at BIT. The benefit of past experience which was not recognized by the Selection Committee at the time of initial appointment will not be considered for subsequent appointments/ promotions at BIT.

i) The experience accumulated during Post-Doctoral Fellowship (PDF) prior to joining BIT as Assistant Professor / Associate Professor / Professor will not be considered for fulfillment of total years of experience required for the next higher grade. However, faculty members sent for BIT approved PDF programs shall have this experience considered towards the total experience to move from AL 10 to AL 11.

j) Services as Associate Lecturer, Research Fellow, Research Associate, Teaching Assistant, Teaching cum Research Fellow etc. shall not be counted as past experience for promotion under CAS. Also, past services except those as regular Lecturer/Assistant
Professor/Associate Professor/Professor or in any equivalent grade (earlier PB III or above) shall not be counted.

5. Faculty Performance Assessment Criteria (Table 1)

<table>
<thead>
<tr>
<th>S.N.</th>
<th>Activity</th>
<th>Grading Criteria</th>
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<tbody>
<tr>
<td>i).</td>
<td>Teaching: (Number of classes taught/total classes assigned): 100% (Classes taught includes sessions on tutorials, lab and other teaching related activities).</td>
<td><strong>Good:</strong> 85% &amp; above. <strong>Satisfactory:</strong> Below 85% but 70% &amp; above. <strong>Not satisfactory:</strong> Less than 70%.</td>
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<td></td>
<td>a) Administrative responsibilities such as Head, Chairperson/Dean/Director/Co-coordinator, Warden etc.</td>
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<td></td>
<td>b) Examination and evaluation duties assigned by the institute.</td>
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<td></td>
<td>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.</td>
<td><strong>Good:</strong> Involved in at least 3 activities. <strong>Satisfactory:</strong> 1-2 activities. <strong>Not-satisfactory:</strong> Not involved /undertaken any of the activities. <strong>Note:</strong> Number of activities can be within or across the broad categories of activities.</td>
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<td>ii).</td>
<td>d) Organization of seminars/conferences/workshops, other institute activities.</td>
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<td></td>
<td>e) Evidence of actively involved in guiding Ph.D students.</td>
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<td></td>
<td>f) Conducting minor or major research projects sponsored by national or international agencies.</td>
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<td></td>
<td>g) At least one research publication in SCI/SCIE/SSCI/AHCI/non-paid Scopus indexed journals.</td>
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</table>
### 6. Academic and Research Performance Assessment Criteria (Table-2)

<table>
<thead>
<tr>
<th>S.N.</th>
<th>Academic/Research Activity</th>
<th>Research Score (Science/Engineering/Pharmaceutical Sciences &amp; Engg/Bio-Engineering etc)</th>
<th>Research Score (Language/Humanities/Social Science/Library/Physical Education/Management &amp; other related discipline)</th>
</tr>
</thead>
<tbody>
<tr>
<td>i).</td>
<td>Research Papers published in peer Reviewed SCI/non-paid Scopus journals.</td>
<td>Please see 7.1</td>
<td>Please see 7.1</td>
</tr>
<tr>
<td></td>
<td>Citations in Researcher ID</td>
<td>1/per 25 citations</td>
<td>1/per 25 citations</td>
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<tr>
<td>ii).</td>
<td>Books/e-Books authored which are published by International publishers.</td>
<td>10</td>
<td>10</td>
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<tr>
<td></td>
<td>National publishers</td>
<td>07</td>
<td>07</td>
</tr>
<tr>
<td></td>
<td>Chapter in Edited Book /Editor of Book by International Publisher.</td>
<td>10</td>
<td>10</td>
</tr>
<tr>
<td></td>
<td>Editor of Book by National Publisher</td>
<td>08</td>
<td>08</td>
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<tr>
<td>iii).</td>
<td><strong>Research Projects</strong></td>
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<tr>
<td></td>
<td><em>(a) Completed:</em></td>
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<td></td>
<td>More than Rs. 35 lakhs</td>
<td>15</td>
<td>15</td>
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<tr>
<td></td>
<td>More than Rs. 25 lakhs but less than Rs.35 Lakhs</td>
<td>12</td>
<td>12</td>
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<tr>
<td></td>
<td>More than Rs. 10 Lakhs but less than Rs. 25 lakhs</td>
<td>10</td>
<td>10</td>
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<tr>
<td></td>
<td>More than Rs. 5 Lakhs but less than Rs. 10 lakhs</td>
<td>05</td>
<td>05</td>
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<td></td>
<td>Less than Rs. 5 lakhs</td>
<td>02</td>
<td>02</td>
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<td></td>
<td><em>(b) Ongoing:</em></td>
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<td></td>
<td>Above 35 lakhs</td>
<td>10</td>
<td></td>
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<tr>
<td></td>
<td>More than Rs. 25 Lakhs but less than Rs. 35 lakhs</td>
<td>07</td>
<td>10</td>
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<tr>
<td></td>
<td>More than Rs. 10 Lakhs but less than Rs. 25 lakhs</td>
<td>05</td>
<td>05</td>
</tr>
<tr>
<td></td>
<td>More than Rs. 5 Lakhs but less than Rs. 10 lakhs</td>
<td>02</td>
<td>02</td>
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<tr>
<td></td>
<td>Less than Rs. 5 Lakhs</td>
<td>01</td>
<td>01</td>
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<td></td>
<td><strong>Consultancy:</strong></td>
<td>05/10 lakhs</td>
<td>05/10 lakhs</td>
</tr>
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</table>
iv). **Patents**

<table>
<thead>
<tr>
<th>International</th>
<th>National</th>
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<tbody>
<tr>
<td>10</td>
<td>10</td>
</tr>
<tr>
<td>07</td>
<td>07</td>
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</table>

**Policy Document**

<table>
<thead>
<tr>
<th>International</th>
<th>National</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
<td>10</td>
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<tr>
<td>07</td>
<td>07</td>
</tr>
<tr>
<td>State</td>
<td>04</td>
</tr>
</tbody>
</table>

v). **Research Guidance**

<table>
<thead>
<tr>
<th>Ph.D.</th>
<th>10/per degree awarded, 05/thesis submitted</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>10/per degree awarded 05/thesis submitted</td>
</tr>
<tr>
<td>M.Phil./PG dissertation</td>
<td>02/degree awarded</td>
</tr>
<tr>
<td></td>
<td>02/degree awarded</td>
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</tbody>
</table>

vi). **Invited lectures / Resource Person/paper presentation**

<table>
<thead>
<tr>
<th>International (Abroad)</th>
<th>07</th>
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</thead>
<tbody>
<tr>
<td>International (within country)</td>
<td>04</td>
</tr>
<tr>
<td>National</td>
<td>03</td>
</tr>
</tbody>
</table>

**Additional Score:**

i). Faculty members entrusted with the responsibilities of Associate Dean/Deputy Controller/Assistant Controller/In-Charge or Associate In-Charge of various institute facilities or services and served in any these positions for at least two years during the assessment period shall be entitled to get 15% additional score over the total score against 1 to 6 after capping.

ii). Faculty members entrusted with the responsibilities of Hostel Warden/Assistant Warden and served at least for two years during the assessment period shall be entitled to get 7.5% additional score over the total score against 1 to 6 after capping.

iii). Faculty members entrusted with the responsibilities of faculty Coordinators/Advisors of Club and societies/NSS coordinator and served at least for two years during the assessment period shall be entitled to get 5% additional score over the total score against 1 to 6 after capping. In addition, PI/Co-PI/Coordinator etc., appointed by the institute/departmental Head/Director of Off Campus to execute project(s) shall also get 5% additional score. If there is overlapping of more than one institutional responsibility, additional score shall be available only for one responsibility.

**Note:** Assessment shall be based on evidence provided by the teacher such as copy of publications, project sanction letter, and utilization and completion certificates issued by the institute and acknowledgements for patent filing and approval letters, students Ph.D. award letter, etc.
## 7. Computation of Research Score:

### 7.1 Research Score for publications in Peer reviewed journals:

<table>
<thead>
<tr>
<th>S. No</th>
<th>Description</th>
<th>Research Score (RS)</th>
</tr>
</thead>
<tbody>
<tr>
<td>i).</td>
<td>Research Paper in non-paid Scopus journals without impact factor</td>
<td>6 Points</td>
</tr>
<tr>
<td>ii).</td>
<td>SCI/SCIE/SSCI/AHCI indexed Research Paper with Thomson Reuters (TR) impact factor between 0 and 0.5</td>
<td>10 Points</td>
</tr>
<tr>
<td>iii).</td>
<td>SCI/SCIE/SSCI/AHCI indexed Research Paper with Thomson Reuters (TR) impact factor between 0.5 and 1</td>
<td>18 Points</td>
</tr>
<tr>
<td>iv).</td>
<td>SCI/SCIE/SSCI/AHCI indexed Research Paper with TR impact factor between 1 and 2</td>
<td>23 Points</td>
</tr>
<tr>
<td>v).</td>
<td>SCI/SCIE/SSCI/AHCI indexed Research Paper with TR impact factor between 2 and 5</td>
<td>28 Points</td>
</tr>
<tr>
<td>vi).</td>
<td>SCI/SCIE/SSCI/AHCI indexed Research Paper with TR impact factor between 5 and 10</td>
<td>38 Points</td>
</tr>
<tr>
<td>vii).</td>
<td>SCI/SCIE/SSCI/AHCI indexed Research Paper with TR impact factor &gt;10</td>
<td>43 Points</td>
</tr>
</tbody>
</table>

- Research paper with complete citation i.e., with Volume, Page No. & Year, or as per format of the journal shall be entitled to get research score. Accepted paper without Volume, Page No. & Year shall receive no Research Score.
- The Impact Factor (IF) of the journal in the year of submission of Application for Promotion shall be considered.

### 7.2 Research Score (RS) for Projects:

i) R&D Project under Institute SEED Money Scheme shall carry no score.

ii) MODROB/DST-FIST/TEQIP/UGC-SAP or any other institutional and departmental project shall carry no score.

iii) PI/Co-PI/Coordinator etc., appointed directly by the funding agency shall be entitled to get score against valid document and there shall be no score if such person(s) is/are appointed by the institute/departmental Head/Director of Off Campus/PI of existing project etc. In addition, PI/Co-PI appointed by funding agency due to resignation of PI/Co-PI to whom the project was initially sanctioned shall get only 30% of the stipulated score recommended in 7.5 & 7.6.

iv) Research Score shall be admissible for R&D project(s)/Consultancy Project(s) only if the grant to the applicant is received in any of the campuses of BIT in India.
7.3 Research Score for Invited Talks:

i) International (Abroad): Eligible to get score only if the invited talk is delivered at an institution/University which is within top 500 in the World University ranking (at any time) by Quacquarelli Symonds (QS).

ii) International (within country) and National: Eligible to get score only if the invited talk is delivered at an institution/University whose NIRF ranking is within 100 in the University/Engineering/Management/Overall category or within 15 in the Pharmacy/Architecture category at the time of talk. There shall be no score if invited talk is delivered at Workshop/Conference/Symposium/Seminar etc., which is organized by non-NIRF ranked organization irrespective of the location.

iii) Score can be claimed only against valid certificate showing delivery of invited talk and there shall be no score if the talk is delivered in the home institution.

7.4 Research Score for Joint Publication:

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

ii) More than two authors: 50% of total value of publication for the First/Corresponding/principal author and 30% of total value of publication for each of the other authors.

7.5 Research Score for Joint Project: Principal Investigator and Co-investigator shall get 60 and 40%, respectively. In case of more than one Co-PI the share of points shall be 60:20:20.

7.6 Research Score for Consultancy Project: Principal Investigator and Co-investigator shall get 60 and 40%, respectively. In case of more than one Co-PI the share of points shall be 60:20:20. (However, testing works shall be outside Research Score).

7.7 Research Score for Joint PhD/PG Supervision: For joint supervision of research students the formula shall be 70/30. Guide/Supervisor shall get 7 marks and co-guide/co-supervisor 3 marks.

7.8 Research Score for Researcher ID Citation: To be considered only for citations during assessment period against valid Researcher ID document.
8. Additional Clarifying Notes:

8.1 For the purpose of calculating research score, 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.

8.2 The research score shall be from the minimum of 3 categories out of 6 categories.

8.3 A Paper presented if part of edited book or proceeding then it can be claimed only once.

8.4 Minimum service of one year at BIT is essential for promotion to next stage.
9. CAS PROMOTION NORMS FOR VARIOUS LEVELS

9.1 Academic Level 10 to Academic Level 11
(From Basic Pay of Rs 57,700/ to Basic Pay of Rs 68,900/)

Assistant Professor (AL 10) to Assistant Professor (Senior Scale/AL 11)

Eligibility:

i). Assistant Professors who have completed four years of service with Ph.D. and satisfy the following conditions.

ii). Attended one Orientation Course of 21 days duration on teaching methodology.

iii). Three research publications in SCI/SCIE/SSCI/AHCI indexed journals or five research publications in non-paid Scopus journals during the assessment period.

iv). Any one of the following: Completed 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 should have completed one MOOC course (with e-certification).

CAS Promotion Criteria:

A teacher shall be eligible for promotion only if,

i). The teacher obtains “Good” grade in the ASAR (as prescribed in Table 1) for all four years of the assessment period, and,

ii). The promotion is recommended by the Institute CAS committee.
9.2 Academic Level 11 to Academic Level 12
(From Basic Pay of Rs 68,900/ to Basic Pay of Rs 79,800/)

Assistant Professor (Senior Scale/AL 11) to Assistant Professor (Selection Grade/AL 12)

Eligibility:

i). Senior Assistant Professors who have completed five years of service in AL 11.

ii). Ph.D. degree in the concerned subject.

iii). Four research publications in SCI/SCIE/SSCI/AHCI indexed journals or eight research publications in non-paid Scopus journals during assessment period.

iv). Obtained at least one sponsored R&D project of value Rs. 10 lakhs or more as PI.

v). For faculty members of Architecture/HMCT/Management, cumulative earning worth Rs. 5.0 lakhs or more from Training Activities/Consultancy /FDP/EDP etc. may also be admissible.

vi). Any two of the following in the last five years of AL 11:

   Completed course/program from among 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 (5 days) duration in lieu of every single course/program of at least two weeks (ten days) duration) or completed MOOC course in the relevant subject (with e-certification).

CAS Promotion Criteria: A teacher shall be eligible for promotion, only if

i). The teacher obtains “Good” grade in the ASAR (as prescribed in Table 1) for all five years of the assessment period and

ii). The promotion is recommended by the Institute CAS committee.
9.3 Academic Level 12 to Academic Level 13A
(Basic Pay of Rs 79,800/ to Basic Pay of Rs 1,314,000/)

Assistant Professor (Selection Grade/AL 12) to Associate Professor (AL 13A).

Eligibility:

i). Selection Grade Assistant Professors who have completed three years of service in AL 12.

ii). Ph.D. degree in the concerned subject.

iii). A minimum of ten publications in SCI/SCIE/SSCI/AHCI journals out of which at least four research publications shall be published during the assessment period.

   OR

Twenty research papers in non-paid Scopus listed journals out of which at least eight research papers shall be during the assessment period.

iv). Obtained at least one sponsored R&D project of value Rs. 15 lakhs or more as PI

v). For faculty members of Architecture/HMCT/Management, cumulative earning worth Rs. 7.5 lakhs or more from Training Activities/Consultancy / FDP/ EDP etc. may also be admissible.

vi). Guided at least one PhD independently.

vii). A minimum Research Score (RS) of 80 as per Table 2.

viii). Any one of the following during last three years:

   Completed one course / program from among the categories of Refresher Courses/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 (5 days) duration in lieu of every single course/program of at least two weeks (ten days) duration) or completed one MOOC course (with e-certification).

CAS Promotion Criteria:

A teacher shall be eligible for promotion, only if

i) The teacher obtains “Good” grade in ASAR (as prescribed in Table 1) for all three years of the assessment period.

ii) The promotion to the post of Associate Professor is recommended only through a duly constituted selection committee as per institute norms.
9.4 Academic Level 13A to Academic Level 14
(Basic Pay of Rs 1,31,400/ to Basic Pay of Rs 1,44,200)

Associate Professor (AL 13A) to Professor(AL 14)

Eligibility:

i). Associate Professors who have completed three years of service in that grade with a minimum of 10 years of total service as Assistant Professor or above.

ii). Ph.D. degree in concerned subject.

iii). A minimum of 14 publications in SCI/SCIE/SSCI/AHCI indexed journals out of which at least five research papers shall be published during the assessment period or 28 research publications in non-paid Scopus listed journals out of which at least 10 research publications shall be published during the assessment period.

iv). Obtained at least one sponsored R&D project of value Rs. 20 lakhs or more as PI.

v). For faculty members of Architecture/HMCT/Management, cumulative earning worth Rs. 10.0 lakhs or more from Training Activities/Consultancy /FDP/EDP etc. may also be admissible.

vi). Guided at least two PhD independently.

vii). A minimum Research Score of 125 as per Table 2.

CAS Promotion Criteria:

A teacher shall be eligible for promotion, only if

i). The teacher obtains “Good” grade in the ASAR (as per Table 1) for all three years of the assessment period.

ii). The promotion to the post of Professor is recommended only through duly constituted selection committee as per institute norms.
9.5 Academic Level 14 to Academic Level 15
(Basic Pay of Rs 1,44,200/ to Basic Pay of Rs 1,82,200/)

Professor (AL 14) to Senior Professor (AL 15)

Eligibility:

i). An eminent scholar with sustained and proven excellence in teaching, research and sponsored R&D activities/ industrial consultancies.

ii). Served a minimum of ten years as a Professor.

iii). Guided at least 4 PhD independently after becoming professor.

iv). A minimum of 20 publications in SCI/SCIE/SSCI/AHCI indexed journals during the assessment period out of which at least ten research papers shall be published either as solitary author or coauthored only with their own UG/PG/PhD students.

v). Obtained at least two sponsored R&D projects of total worth Rs. 30 lakhs independently after becoming Professor.

vi). For faculty members of Architecture/HMCT/Management, cumulative earning worth Rs. 15 lakhs or more from at least two Training Activities/Consultancy /FDP/EDP etc. may also be admissible.

vii). Favorable review from three eminent subject experts who are not less than the rank of a Senior Professor or a Professor of at least ten years of experience.

CAS Promotion Criteria:

The selection shall be based on above and evaluation by a duly constituted selection committee as per institute norms.

*At the most 10% of total serving Professors may be promoted to the Academic Level 15.*