



## UNIVERSITY GRANTS COMMISSION

Establishments Circular Letter No.04/2010

20, Ward Place  
Colombo 07  
March 19, 2010

Vice Chancellors of Universities  
Rectors of Campuses  
Directors of Institutes

### **SCHEMES OF RECRUITMENT/PROMOTION FOR ASSOCIATE PROFESSOR/PROFESSOR**

Further to Commission Circular No.916 of 30.09.2009 regarding the above matter.

The following amendments/additions were done to the Marking Scheme (Annexe-I) sent with the said Circular.

1. To delete No.03 under **Method of Promotion/Recruitment** of the Marking Scheme
2. To amend section 2.1.2 as  
    **“ Peer reviewed presentations with evidence at National/International  
    conferences /Symposia”**  
    and increase the marks from 05 to 10 for Section - 2.1.2 (c)  
    **2.1.2 (c) Presented with evidence up to 0.5 point/presentation      10 (maximum)**
3. To include new section as 2.2.7 under **“2.2 - Scholarly Work”** of the Marking Scheme  
    **2.2.7 Monographs – up to 01 point/monograph                              05 (maximum)**

Please substitute the Marking Scheme (**Annexe – I**) of the said Circular with the new Marking Scheme sent herewith.

The provisions of Commission Circular No.916 of 30.09.2009 will remain unchanged subject to the amendments/additions done to the Marking Scheme as mentioned above.

Please take action accordingly.

  
(Prof. Gamini Samaranayake)  
Chairman

Copies to :

1. Chairman's Office/UGC

Contd.,

2. Vice Chairman/UGC
3. Members of the UGC
4. Secretary/UGC
5. Deans of Faculties
6. Registrars of Universities
7. Financial Controller/UGC
8. Bursars of Universities
9. Librarians /SAL/AL of the HEII
10. Deputy Registrars/Snr. Asst. Registrars/Asst. Registrars of  
Campuses/Institutes
11. Deputy Bursars/Snr. Asst. Bursars/Asst. Bursars of Campuses/Institutes
12. Chief Internal Auditor/UGC
13. Govt. Audit Superintendents of Universities
14. Snr. Asst. Int. Auditors/Asst. Int. Auditors of HEII
15. Secretaries of Trade Unions
16. Auditor-General

File No. UGC/HR/02/03/106



**POST AND SALARY CODE:****ASSOCIATE PROFESSOR (ALL FACULTIES) - U-AC 4****Method of Promotion /Recruitment**

- 1) Application for Promotion (Internal) and Interview
- 2) Applications for Advertised Posts (Internal and External) and Interview

**Qualifications**

Internal Applicants - A Senior Lecturer (Grade I/II) in the relevant subject

And

At least the minimum marks laid in the Marking Scheme for Associate Professorship.

External Applicants - Candidates with

The minimum academic qualifications required for a post of Senior Lecturer (by open advertisement) in the relevant field of study in post 4 or 6 of Commission Circular No.721,

And

At least the minimum marks laid in the Marking Scheme for Associate Professorship.

**Method of Application**

An application for a merit promotion or recruitment should be accompanied by -

- a) the Curriculum Vitae of the applicant.
- b) a self-assessment of his/her whole career specifying the contribution to:
  - Teaching and Academic Development
  - Research and Creative Work
  - Dissemination of Knowledge and University and National Development
 as given in the attached marking scheme.
- c) three copies of the publications, research papers and other relevant documents by the candidate. Other relevant documents and materials may also be submitted in three copies in a form that can be evaluated.
- d) titles of three (03) outstanding research papers/publications by the candidate.

These documents shall be sent to the Vice Chancellor by each candidate with a covering letter applying for the position/promotion.



## Method of Evaluation

The Senate shall appoint two (02) experts in the relevant field from outside the Higher Educational Institution concerned to evaluate the applicant's contributions to Research and Creative Work (Sections 2 and 3.1 of the marking Scheme) Both the experts shall be Senior Professors/Professors of a University in Sri Lanka or a recognized University abroad or an expert who has held professorial rank at a recognized University or a professional of equivalent outstanding eminence from outside the University System.

The outside subject experts should not have been teachers/supervisors of the candidate at postgraduate level. Nor should they have been co-authors of papers or books with the candidate or previously at the university concerned in any capacity such as teacher or other staff member, or visiting staff.

The experts should assess the research and creative work of the applicant based on the papers, and other documents submitted by the candidate and they should allocate independent marks based on the Marking Scheme. The experts should be specifically requested to comment on the quality, impact of research on the discipline, profession, industry and wider community based on the papers, publications, reports and other documents submitted by the applicant, with special reference to the three (3) outstanding papers as claimed by the applicant. The same panel and experts shall serve for all applicants whenever possible.

The Senate shall appoint a Panel of three (3) Senior Professors/Professors with specialty in the relevant field and the Dean of the relevant Faculty to evaluate the Educational Activities and Dissemination of Knowledge & Contribution to University and National Development (Sections 1, 3.2 and 3.3 of the Marking Scheme). Whenever possible this panel should include at least one person from outside the Institution and one from within the Institution, but outside the Faculty. The Dean of the Faculty shall chair the Panel. However, if the Dean of a Faculty is the applicant, an additional Senior Professor /Professor shall be appointed to the panel and a suitable Chairman shall be elected in his place by the members of the panel. Where the relevant Department Head is not the candidate and is not appointed to the panel, he shall be an observer. This Senate appointed Panel while allocating marks should submit a report to the Selection Committee regarding the applicant's teaching ability, service to the University, profession, industry, national development, community etc., and leadership qualities. The Panel shall request the applicant to make a presentation on a topic chosen by the applicant to assess the teaching and overall communication abilities of the candidate.

The Vice Chancellor shall announce the candidatures of all applicants to the academic community of the University. The self-assessment, publications and other supporting documents of each candidate shall be made available through the relevant Dean for a period of 30 days and shall be open to written comment addressed to the Selection Committee through the Vice Chancellor from Senior Professors, Professors, Associate Professors and Heads of the relevant Faculty.

Where the assessment cannot be completed within the year and a half limit of Commission Circular No.846 of 14 July 2004 for advertised positions, steps shall be taken immediately upon the expiry of the period to re-advertise the post. Assessments made under previous advertisements may be continued but the final selection cannot be made until all applicants, both past and new, have been assessed.



## Method of Selection

Candidates with the required qualifications shall be requested to appear before a Selection Committee. The Selection Committee shall consist of as stipulated in Selection 6(2) of Commission Circular No.166 of 06 April 1982.

- The Principal Executive Officer who shall be Chairman
- Two nominees appointed by the Commission
- Two nominees of the University Council who were appointed to the Council by the Commission
- The Dean of the relevant Faculty
- The Head of the relevant Department
- Two Senior Professors/Professors appointed by the Senate from among its members with knowledge of the subject at least at degree level

Provided:

- Where the Head of the Department of Study concerned is himself an applicant for the post, or where the Department of Study has no permanent Head, the Senate or the Academic Syndicate as the case may be, shall appoint from among its members a person with knowledge of the subject of study concerned in lieu of such Head of Department.
- Where the Dean is a candidate, the Senate will appoint another suitable person in such Dean's place.
- Where the Vice Chancellor is the candidate, such Vice Chancellor shall withdraw from all relevant meetings of the Senate and the Council and these bodies shall decide on matters under their purview under a *pro tem* chairman appointed for the relevant meeting. A Chairman of the Selection Committee from outside the Institution concerned shall be nominated by the Commission in addition to the two nominees of the Commission.

Every applicant shall appear before the Selection Committee and make a presentation on his/her main area of research or creative work. Audio visual, multimedia facilities etc., may be provided for the presentation. This may be followed by a discussion with the Selection Committee. The Selection Committee shall arrive at a score on a scale of 10 for a candidate's presentation skills.

The Establishments Division of the University shall handle the processing of applications. Where one of the two outside subject experts gives marks above the minimum threshold to a candidate and the other does not according to the table given in Section 4.0 of this Circular, the Registrar or other person from the Establishments Division processing applications shall arrange for a discussion (in person or electronic) between the two subject experts with a view to reaching a consensus. Failing a consensus being arrived at, a third subject expert shall be appointed by the Senate. Whether a candidate is above or below the threshold shall be decided by whether the third subject expert gave marks above or below the threshold as in the table in Section 4.0 of this Circular. The final marks of a candidate shall be the average of the total and component marks given by the two Subject Experts and Panel or, where a third Subject Expert had to be appointed, of the third Subject Expert and that Subject Expert of the first two Subject Experts who assigned the highest total marks to the candidate, and the Panel.



Where there are more than one candidate obtaining the minimum threshold marks as defined in the table at the end, the final selection will be made by the Selection Committee from among those reaching that minimum threshold. This shall be done based on the final marks from the marks submitted by outside subject experts and the Senate appointed Panel, and on the presentations made by the applicant, with 90% weight for the combined marks from the subject expert and panel assessments (90 being assigned to the candidate with the highest marks as assessed by the subject experts and panel and the other candidates' marks being scaled accordingly) and 10% for the assessment of presentation skills by the Selection Committee.

Appointment on merit promotion will be made on 'personal-to-the-holder' basis.

A candidate whose application is rejected by the Selection Committee could apply again for merit promotion only after the expiry of two (2) years from the date of his/her earlier application.

## **POST AND SALARY CODE :**

### **PROFESSOR (ALL FACULTIES) - U-AC 5(II)**

#### **Method of Promotion/Recruitment -**

##### **1) Application for Promotion (Internal)**

###### **Qualifications**

A Senior Lecturer/Associate Professor may be considered for promotion to the grade of Professor if he/she has obtained at least the required minimum mark as specified in the Marking Scheme.

##### **2) Applications for Advertised Posts (Internal and External)**

###### **Qualifications**

Qualifications to be Senior Lecturer Gr. II in the relevant subject

And

Fifteen (15) years after obtaining the qualifications for Lecturer (Probationary) as laid down in Commission Circular No. 721

And

At least the minimum marks laid in the Marking Scheme for Professorship

#### **Method of Application**

An application for a merit promotion or recruitment should be accompanied by -

- a) the Curriculum Vitae of the Applicant
- b) a self-assessment of his/her whole career specifying the contribution to
  - Teaching and Academic Development
  - Research and Creative Work
  - Dissemination of Knowledge and University and National Development

as given in the attached marking scheme.



- c) three copies of the publications, research papers and other relevant documents by the candidate. Other relevant documents and materials may also be submitted in three copies in a form that can be evaluated.

- d) titles of five(5) outstanding research papers/publications by the candidate.

These documents shall be sent to the Vice Chancellor by each candidate with a covering letter applying for the position/promotion.

### Method of Evaluation

Exactly the same as for Associate Professor except that the outside subject experts will have 5 papers instead of 3 to address as defined in subsection (d) under Method of Application.

### Method of Selection

Exactly as specified for the post of Associate Professor, except that the required threshold marks are deferent as given in the table at the end.

## MARKING SCHEME FOR APPOINTMENT/PROMOTION TO THE POSTS OF ASSOCIATE PROFESSOR/PROFESSOR

Note: In using the term "up to" in the sections that follow, what is implied is that the best possible item in a category in terms of quality and relevance get the highest limit. Experts ought not to assign the highest marks routinely to every item.

<b>1.0 TEACHING, SCHOLARSHIP AND ACADEMIC DEVELOPMENT</b>	<b>Maximum</b>
<b>1.1 Academic/Professional Preparation</b>	
Service after being promoted as a Senior Lecturer Gr. II or service in equivalent teaching position or relevant professional experience in other organizations.	
1 point/year	16
<b>1.2 Qualifications for Teaching</b>	
1.2.1 Doctorate or equivalent higher degree	04
1.2.2 Fellowship of a Professional Body	02
1.2.3 Masters degrees (M.Phil/M.Sc./M.A.) of two years duration with a research component (dissertation or thesis)	02
<b>1.3 Extra Teaching Load</b>	
1.3.1 Outside the Discipline	
Teaching officially in areas other than a staff member's specialty. For example:	
a) Teaching Sinhalese to non-Sinhalese speaking and Tamil to non-Tamil speaking students, by a teacher in the Faculty of Science	
b) Teaching Professional Ethics or Management by Science or Engineering Lecturers	
c) Teaching English to undergraduates etc.,	
0.5 point/year	01



**1.3.2 Excess Load**

Carrying a teaching load of more than 25% above the norm on the basis of the approved cadre

0.5 point/year

04

**1.4 Postgraduate Supervision (Max. For Section 1.4 is 12 points)**

Supervision of Ph.D., M.Phil, or other postgraduate theses and dissertations (Only for each candidate who has successfully completed the degree)

**1.4.1 Ph.D., D.M.**

4 points/thesis

No Limit

**1.4.2 M.Phil. (Two-year full-time research degree)**

2 points/thesis

08

**1.4.3 Two year full-time postgraduate degree (M.Sc., M.A. etc.)**

1 point/dissertation

04

**1.4.4 M.Sc., M.A.. M.D. or other postgraduate degrees of less than 2 years' duration (postgraduate reports to be excluded)**

0.5 point /dissertation

04

Note: For joint supervision in section 1.4, the marks should be appropriately apportioned.

**1.5 Participation in Continuing Professional Development (CPD) Programmes****/Extension Courses/Short Courses**

As a resource person in Seminars / Workshops / Staff Development Programmes / CPD Programmes / Extension Courses / Short Courses

1 point/Activity

10

**1.6 Institutional Development**

- a) Introduction of new courses/new degree programmes
- b) Curriculum planning and development
- c) Development of new material for existing courses (both Undergraduate and Postgraduate)
- d) Laboratory planning and development
- e) Strengthening research capacity in the particular HEI as well as in other HEIs
- f) Inter-faculty teaching

A detailed report prepared by the applicant should be submitted for evaluation by the Panel of the Senate along with the recommendations and observations of the Head of the Department and the Dean of the Faculty.

20

**1.7 Transitioning to Dual Delivery of Lessons**

Preparation and use of audio and video material and Computer-Aided Instructional Software for or in Preparation of dual delivery of lessons, particularly with a view to distance education needs

Up to 1 point/item

08



## 2.0 RESEARCH, SCHOLARSHIP AND CREATIVE WORK

Maximum

**Note - 1 :** In the case of papers/publications with joint authorship, applicants should indicate their actual contribution to the work published and marks should be allocated accordingly.

**Note - 2 :** In evaluating and assigning marks to papers, the Selection Committee and Outside Experts should bear in mind and strictly enforce the following well, widely and long understood definitions:

(i) **A Journal Paper** : A fully scripted essay of academic significance in a serial publication in numbered volumes to which articles may be submitted at any time and are published only if they pass peer review.

**A Conference Paper:** A fully scripted essay reported in the bound report of the proceedings or transactions of a meeting of academic significance, which is circulated at or after the meeting. Such meetings may also be known by other names such as Conference, Seminar, Colloquium, Forum, Workshop, Congress, and Sessions.

(ii) **Book** : A publicly available bound text with ISBN Number.

### 2.1 Peer reviewed publications (including invited editorials in indexed journals)

2.1.1 Research publications in refereed journals (full paper published)

No limit

- i) Up to 3 points/paper in a journal that publishes at least two issues per year
- ii) Up to 2 points/paper in a journal that publishes less than two issues per year
- iii) Add 2 points/paper if the paper is published in a recognized indexed journal

**Note 1:**

Recognized Index journals are listed at <http://www.isinet.com/journals> under:

- 1. Science Citation Indexed Expanded <sup>(TM)</sup> (Web of Science)
- 2. Social Sciences Citation Index® (Web of Science)
- 3. Arts and humanities citation index® (Web of Science), etc.

**Note 2:**

The candidate must produce evidence that the journals claimed under 2.1.1 are published at least twice a year and are indexed

2.1.2 Peer reviewed Presentations with evidence at National/International Conferences/Symposia

- (a) Published as full papers - up to 1 point /paper 15
- (b) Published in abstract form - up to 0.75 point/abstract 05
- (c) Presented with evidence up to 0.5 point/presentation 10

2.1.3 Citation of the applicant's work by others in books and refereed journals

0.5 point per citation subject to a maximum of 10 points for repeated citations of the same work

No limit



## 2.2 Scholarly Work

Maximum

2.2.1 Chapters and Books of Scholarly Work (other than Textbooks) published in the relevant field.

(a) Recognized publisher

up to 3 points/chapter or up to 6 points/book, whichever is less

No limit

(b) Other publishers

up to 1 point/chapter or up to 2 points/book, whichever is less

25

2.2.2 Editing of Collections of Essays and Books

up to 3 points/book

09

2.2.3 Editing of Classical Work/Book Reviews

up to 4 points/book

08

2.2.4 (a) Translation and publication of Books of Scholarly Work

up to 2 points/book

04

(b) Bonus for publication with recognized publishers

up to 4 points/book

04

2.2.5 Editor-in-Chief of journals published at least twice a year

up to 1 point/ journal/year

04

2.2.6 Reviewer/Editorial Board Member of journals published at least twice a year

up to 0.5 point/journal/year

02

2.2.7 Monographs

up to 01 point/Monograph

05

## 2.3 Creative Work

Creative work in literature, culture, theater, music, dancing, arts and design in the academic discipline of the professorship (up to 5 points/work)

15

## 2.4 Patents in the relevant field

National patents - up to 2 points per patent

No limit

International patents - up to 4 points per patent

No limit

## 3.0 CONTRIBUTIONS TO UNIVERSITY AND NATIONAL / INTERNATIONAL DEVELOPMENT

Note : In the case of books/awards/reports with joint authorship, applicants should indicate their actual contribution and marks should be allocated accordingly. A book is as specified in Note (ii) to Section 2.

## 3.1 Dissemination of knowledge

3.1.1 Textbooks for University Students published in the relevant field

18

a) Recognized Publisher - up to 6 points/book

b) Other publisher - up to 3 points/book

3.1.2 Scientific and Literary Communications

(Feature articles in Newsletters and Scientific Magazines) (up to 1 point/article)

04

Contd.,



3.1.3 Published Orations and Presidential Addresses at National, Academic and Professional Bodies. A Published Oration in this context is an invited ceremonial presentation of distinctive academic or scientific significance under the auspices of a recognized academic or professional body where, (a) it is the only presentation, (b) there is no discussion at the end and, (c) the speech is printed and made available publicly. - up to 2 points/oration or address 04

3.1.4 Commissioned Reports for National/International Bodies - up to 1.5 points/Report 03

### 3.2 Awards

Special Academic/Professional Awards or recognized Academic/Professional Distinctions in research or teaching - up to 2 points/award 10

### 3.3 University, National and International Development Activities

3.3.1 Vice-Chancellor  
up to 2 points/year 10

3.3.2 Deputy Vice-Chancellor/Rector/Dean of a Faculty/ Director of a University/Institute or a Research Institute  
up to 1.5 points/year 06

3.3.3 Head of a Department of a University or equivalent position in any other Institution  
up to 1 point/year 03

3.3.4 Director/Co-ordinator of a Centre/Unit or Equivalent recognized by the Senate of the relevant University and approved by the UGC  
up to 1 point/year 03

3.3.5 Co-ordinators for Postgraduate Programmes, University level Projects  
up to 1 point/year 03

3.3.6 Chief Student Counsellor/Warden of a Residential Hall/Proctor/ Director, Career Guidance Unit/Director, Staff Development Unit  
up to 1 point/year 03

3.3.7 Student Counsellor/Career Guidance Counsellor/Academic Counsellor at least at faculty level  
up to 1 point/year 03

3.3.8 President/Secretary/Treasurer of an approved Society in the University  
up to 1 point/year 03

3.3.9 President/Secretary/Treasurer in University Teacher Union/University Alumni Associations at National level  
up to 1 point/year 03

3.3.10 Membership of Councils, Boards of Management/Boards of Study in other Universities/Higher Educational Institutes, which are not ex-officio posts  
up to 1 point/year 03



3.3.11 President of a Professional/Academic Association at National / International level up to 2 points/year	04
3.3.12 Secretary/Treasurer of a Professional/Academic Association at National / International level - up to 1 point/year	03
3.3.13 Chairman, Secretary, Member of National / International Committees, Task Forces or Statutory Bodies - up to 1 point/year	03
3.3.14 Other appropriate contributions at national / international level up to 1 point /assignment	03

**Note 1:**

For each of the 14 items under 3.3, evidence of participation, attendance and contributions needs to be produced as appropriate.

**Note 2:**

An applicant from outside the university system can be allocated similar marks for 3.3 on the basis of holding equivalent positions.

**4.0 MINIMUM MARKS / STANDARDS**

To qualify for a professorial position, a candidate should earn at least 12 marks from Section 2.1.1 (namely, from journal articles). In addition, the minimum marks for each component of evaluation (1, 2 and 3 as specified below) and the minimum total marks that an applicant should obtain in order to qualify for the relevant appointment are given below.

	Associate Professor		Professor	Professor
	<u>Internal</u>	<u>External</u>	(Merit)	(Cadre/Advertised)
1. Contribution to teaching & Academic Development	10	05	20	25
2. Research & Creative Work	25	35	50	55
3. Dissemination of Knowledge & contribution to University & National Development	10	05	10	15
Minimum Required Total Marks	70	70	105	115

**Note :** An internal candidate is an applicant already in the University System applying for a promotion. An external candidate is an applicant from outside the University System who has worked extensively outside Universities and other Higher Educational Institutions.