



Senior Professor 838.

07/2007

## UNIVERSITY GRANTS COMMISSION

COMMISSION CIRCULAR NO: 869

No.20, Ward Place,  
Colombo 07.

30<sup>th</sup> November 2005.

Vice-Chancellors of Universities,  
Rectors of Campuses,  
Directors of Institutes.

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

Your attention is kindly invited to the Schemes of Recruitment/Promotion for the posts of Associate Professor and Professor stipulated in Commission Circular No. 723 dated 12<sup>th</sup> December 1997.

2. The University Grants Commission at its 697<sup>th</sup> meeting held on 10<sup>th</sup> November 2005, having considered issues that have arisen and representations made, decided to revise the Schemes of Recruitment/Promotion for the following Academic Posts :-

Associate Professor (All Faculties)	:	B-02 - By merit promotion
Associate Professor (All Faculties)	:	B-02 - By advertisement
Professor (All Faculties)	:	B-01 - By merit promotion
Professor (All Faculties)	:	B-01 - By advertisement

3. The details of the revised Schemes of Recruitment and the revised Marking Scheme are annexed herewith.

#### 4. **Changes to existing Circulars**

Section 6(2) of Commission Circular No. 166 dated 06<sup>th</sup> April 1982 prescribing the constitution of a Selection Committee is hereby modified so as to reflect the provisions of this Circular when the Vice-Chancellor, Dean, or Head of Department is a candidate for the post of Professor/Associate Professor.


#### 5. **Scheme of Recruitment for the post of Senior Professor**

The Scheme of Recruitment for the post of Senior Professor as stipulated in Commission Circular No. 838 dated 26<sup>th</sup> January 2004 remains unchanged until further notice.

6. **Validity**

The provisions of this Circular shall be effective from 01<sup>st</sup> December 2005. However, those in service in the Higher Educational Institutions concerned on that day and applying for professorial positions by promotion may choose to be evaluated in terms of Circular No. 723 up to 30.11.2007. Those recruited on or after 01.12.2005 and all applicants to cadre chairs shall be evaluated under this Circular. Commission Circular No. 723 dated 12<sup>th</sup> December 1997 shall be rescinded on 01.12.2007

## 7. Please take action accordingly.

  
 (Prof. B.E.R.N. Mendis)  
 BDS(Hons.) Ph.D.(Bristol) FDSRCS (Eng. & Edin.) FFDRCS (I)  
 Chairman

.. 30.11.2005

## Cc:

1. Chairman's Office/UGC
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 Higher Educational Institutions/ Institutes
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 HEIs
15. Secretaries of Trade Unions
16. Auditor-General

sw UAL/HR/2/3/106

**T & SALARY CODE:  
ASSOCIATE PROFESSOR (ALL FACULTIES) – B 02**

**Method of Promotion /Recruitment**

- 1) Application for Promotion (Internal) and Interview
- 2) Applications for Advertised Posts (Internal and External) and Interview
- 3) An application for Associate Professor cannot also be simultaneously for the post of Professor

**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 Developmentas 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 coauthors 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.

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 & National Development (Sections 1 and 3.2 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 Circular 846 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 Section 6(2) of Commission Circular 166:

- 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 either from within or outside University 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 averages 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.

Appointments 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 & SALARY CODE: PROFESSOR (ALL FACULTIES) – B 01**

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

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

### **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 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 (05) 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 different 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><u>Maximum</u></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
<b>1.3 Extra Teaching Load</b>		
<b>1.3.1 Outside the Discipline</b>		
	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

**Access Load**

Carrying a teaching load of more than 25% above the norm  
 Note: The UGC is to establish a university-wide norm to define teaching  
 0.5 point/year

01

**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.	04 points/thesis	12
1.4.2	M.Phil. (2-year full-time research degree)	02 points/thesis	08
1.4.3	2 year full-time postgraduate degree (M.Sc., M.A. etc.)	01 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**

**Maximum**

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

04

**1.6 Institutional Development**

Introduction of new courses/new degree programmes, development of new  
 material for existing courses (both Undergraduate and Postgraduate)/laboratory  
 planning and development, inter-faculty teaching and strengthening research  
 capacity etc. in the particular HEI as well as in other HEIs.

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

10

**1.7 Teacher Evaluations**

Evidence of effective performance in undergraduate teaching—  
 Attainments of a "Good" rank by a student or peer evaluation  
 0.5 point/semester

06

**Note:**

The UGC will develop common criteria for student and peer evaluation of  
 University Teachers.

## 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

04

## 2.0 RESEARCH, SCHOLARSHIP AND CREATIVE WORK

**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. The publications and creative work submitted under this section need to be in the main discipline of the professorship and related disciplines, with at least 2/3 of the points of Section 2.1 being from the main disciplines covered by the department. Where this requirement is not met for Section 2.1, the points from the main discipline and only up to a half of the points earned from the main discipline shall be counted from related disciplines.

**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.
- ii. **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.
- iii. **Book:** A publicly available bound text with ISBN Number.

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

Maximum

#### 2.1.1 Research publications in refereed journals (full paper published)

No limit

- i) Up to 03 points/paper
- ii) If that paper is in an indexed journals, an additional 02 points for that paper
- iii) If that paper is in a journal publishing at least 3 issues a year, an additional 01 point for that paper

**Note 1:** For example a paper not in an indexed journal but a journal that publishes 4 times a year may be assessed as follows: i) 2.5 points out of the maximum 3 based on an assessment of the contents of the paper ii) Not qualified since it is not in an indexed journal and iii) 1 point for being in a journal that publishes at least 3 issues a year. This gives the paper a total of 3.5 points

**Note 2:** The recognized indexed journals are listed at <http://www.isinet.com/journals/> under:

- 1) Science Citation Index Expanded<sup>(TM)</sup> (Web of Science), and
- 2) Social Sciences Citation Index<sup>®</sup> (Web of Science).

**Note 3:** The candidate must produce evidence that the journals claimed under 2.1.1 are in the index and are published 3 times a year at least through suitable printouts from the above listed site in Note 2 and journal issue numbers.

#### 2.1.2 Peer reviewed Presentations at National/International Conferences

##### (a) Published as full papers

up to 01 point / paper

15

##### (b) Published in abstract form

up to 0.5 point/abstract

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	10
<b>2.2 Scholarly Work</b>		
2.2.1	Chapters and Books of Scholarly Work (other than Textbooks) published by a recognized publisher.	
	a) Reputed international publisher up to 03 points/chapter or up to 06 points/book, whichever is less	No limit
	b) Recognised local publisher up to 01 point/chapter or up to 02 points/book, whichever is less	06
2.2.2	Editing of Collections of Essays and Books up to 03 points/book	09
2.2.3	Editing of Classical Work up to 04 points/book	08
2.2.4 a)	Translation and publication of Books of Scholarly Work up to 02 points/book	04
	b) Bonus for publication with reputable international publishers up to 04 points per book	04
2.2.5	Editor-in-Chief of journals published at least twice a year up to 01 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
<b>2.3 Creative Work</b>		
	Creative work in literature, culture, theater, music, dancing, arts and design in the academic discipline of the professorship up to 05 points/work	15
<b>2.4 Patents</b>		
	Up to 2 points per patent	04
<b>2.5 Innovations in Local Economy, Industry, etc.</b>		
	Where a peer reviewed paper by the candidate leads to a transfer of technology/methodology that results in innovations in the local economy, industry etc. Up to 2 points per patent	04
<b>3.0 CONTRIBUTIONS TO UNIVERSITY AND NATIONAL DEVELOPMENT</b>		<b>Maximum</b>
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 2 to Section 2.		
<b>3.1 Dissemination of knowledge</b>		
3.1.1	Textbooks for University Students published by a recognized publisher	18
	a) International publisher up to 06 points/book	
	b) Other recognized publisher up to 03 points/book	

- 3.1.2 Scientific and Literary Communications (Feature articles in, Newsletters, Newspapers, Scientific Magazines etc.)  
up to 1 point/article 04
- 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 recognised 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 02 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 (Universities are encouraged to have reward schemes for the teachers who have shown such distinction)  
up to 02 points/award 06

### 3.3 University and National Development Activities (the total for this section is limited to 10 points)

- 3.3.1 Vice-Chancellor  
Up to 02 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 01 point/year 03
- 3.3.4 Director/Coordinator of a Centre/Unit or Equivalent recognized by the Senate of the relevant University  
Up to 01 point/year 03
- 3.3.5 Coordinators for Postgraduate Programmes, University level Projects  
Up to 01 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 01 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 01 point/year 03
- 3.3.9 President/Secretary/Treasurer in University Teacher Union  
University Alumni Associations at National level  
Up to 01 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 01 point/year 03

3.3.11	President of a Professional/Academic Association at National level Up to 02 points/year	04
3.3.12	Secretary/Treasurer of a Professional/Academic Association At National level Up to 01 point/year	03
3.3.13	Chairman, Secretary, Member of National Committees, Task Forces or Statutory Bodies Up to 01 point / year	03
3.3.14	Other appropriate contributions at national or international level Up to 01 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 points 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 (Merit)	Professor (Cadre/Advert)	Professor (Research)
	Internal	External			
1. Contribution to teaching & Academic Development	10	05	20	25	0
2. Research & Creative Work	30	40	60	65	115
3. Dissemination of Knowledge & Contribution to University & National Development	10	05	10	15	0
<b>Minimum Required Total Mark</b>	<b>70</b>	<b>70</b>	<b>105</b>	<b>115</b>	<b>115</b>

**Note:**

1. 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.
2. A position as Professor (Research) may be sought by applying for a merit promotion or in response to an advertisement. Any cadre position for Professor (Research) must have the specific approval of the UGC or may be designated as such by a department in place of an existing cadre professorship.
3. It is intended that a Professor (Research) has, subject to review every three years, little or no teaching duties and his is to be a prestigious position enhancing the research profile and prestige of his department. For the term of office of a Professor (Research) to be renewed, he shall be assessed under Section 2 of this review and found to have scored an additional 20 points for that section during his previous 3 years as Professor (Research).