



University Grants Commission

INNOVATIVE PROGRAMMES

Teaching and Research in Interdisciplinary and Emerging Areas

1. INTRODUCTION and OBJECTIVES

Keeping in view the need for training of personnel through the University system, the UGC is implementing the Scheme of Innovative Programmes which has been renamed as “ Teaching and Research in Interdisciplinary and Emerging Areas” in the Tenth Plan period to support (i) the specialised courses at Under-graduate and Post-graduate levels including 2 year PG Diploma after graduation and one year PG Diploma after Post Graduation in Interdisciplinary and Emerging Areas and (ii) accommodate brilliant ideas and innovative proposals to influence teaching, research, academic excellence, societal growth and relevant activities in various disciplines which meet educational, national and global priorities and to promote group / departmental research work in universities and colleges .

OBJECTIVES

- i Identify areas in various disciplines with respect to educational, national and global priorities.
- ii. Encourage new ideas and innovations and support them for their implementation.
- iii. Identify institutions and support them to develop (i) specialized courses at Under - Graduate and Post Graduate levels in emerging areas and (ii) accommodate original ideas and innovative proposals to influence teaching, research, academic excellence and societal development of relevance.
- iv. Consider steps to encourage, promote and make use of brilliant ideas for promoting scientific and technological applications for the benefit of society.
- v. Identify user departments / institutions who may actively participate and desire benefit from the course or programme and trained personnel, and also sponsor students for the course.
- vi. Nurture and strengthen such courses in emerging areas in the university, institute and college at the Master's/Bachelor's level or special paper at Master's level.

2. ELIGIBLE TARGET GROUPS

The Universities / Institutes / Colleges which are fit to receive financial assistance under Section 2(f) and 12(B) of UGC Act and are eligible as per guidelines may submit their proposals **WHICH ARE NOT OF A ROUTINE NATURE** in the prescribed form enclosed (ANNEXURE – I) as and when it is invited by the UGC.

- i) The applicant Department or Departments (in the case of interdisciplinary proposal) submitting a proposal for the introduction of Innovative courses in emerging areas should have the core faculty members with specialization in the field of proposed new courses to be introduced. They should be placed in the nodal (applicant) Department and other Departments in the case of interdisciplinary proposals.
- ii) The proposal must have the objectives, the work plan and the justification that it is of an innovative nature and belongs to emerging or hi-tech areas or in the areas of national and global priorities.
- iii) For societal development and strengthening of education on a mass scale, where, there is a resource crunch and facilities are inadequate, whatever innovation is possible is to be supported. Hence, the scheme lays emphasis on selection of innovative ideas with a field orientation, preferably interdisciplinary in nature.
- iv) Departmental group research work in new and emerging areas and specialized or interdisciplinary courses at the Under-Graduate and Post-Graduate level by the applying university and college, which have the involvement of active researchers, scientists, and social scientists, technologists, industrialists and academicians.

3(i). NATURE OF ASSISTANCE

The UGC financial assistance is on 100% basis. The funds may be provided for most essential and critical requirements of laboratory equipment, contingency, staff etc. for starting the courses in interdisciplinary and emerging areas.

The limit of the financial assistance will be **Rs.50.00 lakhs** for non-recurring and recurring items plus staff (for courses only) on actual basis. The maximum limit does not mean that each applicant department will be provided this amount and items as a package. The applicant department will have to submit the proposal for consideration by the expert Induction Committees. The most essential and critical needs may be proposed by the applicant department.

The final Induction Committee in consultation with the applicant department will decide the critical and essential items to be provided out of the list of Non-recurring and Recurring items for implementing the Innovative Emerging Areas Courses.

3(ii). DURATION OF THE PROGRAMME

The duration of the Innovative Programme is for a period of 5 years.

The assistance for this Programme (Course/Project) is for one-term only i.e. for 5 years. As such, UGC's assistance automatically ceases after the approved duration is over. Thereafter, the State Government / University / Institute / College will take over the recurring liabilities to run the approved course as per the concurrence of the State Government or the assurance / undertaking given by the University/Institute/College at the time of acceptance of terms and conditions of UGC assistance in implementing the programme.

3(iii) FINANCIAL ASSISTANCE

The details of the financial assistance during the Xth Plan period under the above programme are as under:-

A. <u>Non – Recurring</u>	<u>Rs. in Lakhs</u>
i. Equipment OR For field related activities in Science or Social Science and other related areas.	25.00
ii. Books and journals	1.50
iii. Seminar/Conference at National level (for organization only) after completion of the programme objectives to present the achievements for application by other user departments/organizations/industries/agencies	0.75
iv. Minor equipment (cost of an item should not be less than Rs10,000/-)	5.00
v. Minor repairs/facilities	1.75

Total (NR)	= 34.00
B. <u>Recurring</u>	
i. Working expenses / Contingencies (@ Rs.1.00 lakh p.a.)	5.00
ii. Consumables / Glasswares (@ Rs.0.50 lakh p.a.)	2.50
iii. Travel/Field trips (in India only)for teachers/students involved in the programme (@ Rs.0.30 lakh p.a.)	1.50
iv. Hiring services of Technical /Secretarial assistance to the Programme(purely temporary for programme	

	period only) (@ Rs.0.40 lakh p.a.)	2.00
v.	Visiting / Guest Faculty (on the identified subject areas not available in the applicant deptt./ university) (@ Rs.1.00 lakh p.a.)	5.00
vi.	<u>Staff (Academic)</u>	
	1. Professor or Reader - One }	As per actuals
	2. Lecturer – One }	

The faculty position, if any, for introduction of innovative courses in Emerging Areas must be filled-up by scholars having specialized qualification in the concerned subject.

(UGC assistance for staff approved, if any, will be for programme duration only. Thereafter, the State Government / University / Institute/College concerned will take over the recurring liabilities as per general terms and conditions of the UGC)

Total	16.00 + staff
Grand Total (NR + R)	50.00 lakhs + staff (on actual basis)

C. **Additional Grants**

The UGC may also consider the following additional grants subject to the availability of funds under the programme :

I. **Maintenance Grant for the Equipment**

The financial assistance is for the duration of the plan period or as approved by the Commission. The Commission may provide maintenance grant on rate contract basis upto 5% of the equipment cost for the remaining period of the programme after the guarantee/warranty period is over. The proof of the warranty /guarantee is to be supplied in such case. **After the completion of the term, the University will have to assume responsibility for maintenance** of the equipment purchased under this programme. The Expert committees are expected to ensure that the equipment which is already there in the Department and not obsolete may not be recommended further for purchase under the programme .

The supported departments will submit the requests in the prescribed form (ANNEXURE-V) for consideration of the UGC.

II. **Overhead Charges**

The UGC may provide additional grant to the tune of 10% (ten per cent) of the total allocation (Non-recurring and Recurring) approved to a department under the

Programme subject to a maximum of Rs.2.00 lakhs (Rupees two lakhs only) or the actual expenditure whichever is less towards water, electricity and telephone, Fax, e-mail (Only equipment cost of these items. Recurring cost of these items will have to be met by the Department/University) for the entire period of the programme, or less, as the case may be.

4. PROCEDURE FOR APPLYING FOR THE SCHEME

The UGC will circulate the scheme and its guidelines to the Vice – Chancellors / Registrars of all eligible Universities / institutes with the request for onward circulation (photocopies) to the eligible departments in the University and also to the Principals of the Colleges in their jurisdiction who are receiving assistance as per UGC Act.

The University / Institute / College may submit their proposals as per guidelines and in the prescribed form given in the guidelines, with full information, as and when it is invited by the UGC. The proposal should reach the UGC office, New Delhi, within the last date as given in the invitation letter.

The proposal of the Colleges eligible as per guidelines should be submitted through their respective universities. Otherwise the proposal will not be accepted for consideration.

5. THE FOLLOWING CATEGORIES OF PROPOSALS WILL NOT BE CONSIDERED.

- i) Proposals not prepared and submitted as per guidelines and in the prescribed form with full information and duly signed and forward by the Competent authority as indicated in the form.
- ii) Proposal / Project submitted by a Department which has already received UGC assistance under any of the programmes viz. SAP, COSIST (now ASIST) and Innovative Programme, including courses in Emerging Areas, will not be considered for further support under the programme. However, they may continue the programme activities from their own resources as mentioned in the UGC approval letter.
- iii) Proposals for creation / establishment of new Centre / Departments will not be considered under this programme.
- iv) Proposals for introduction of Diploma/Certificate Course will not be considered.
- v) Any proposal submitted under Innovative/ Interdisciplinary/ Emerging Areas Programme for introduction of new courses / modernization of courses by a Department receiving support from UGC under SAP/COSIST (now ASIST) programme will not be considered as introduction / development of new courses in the approved thrust areas or related areas is a part of the Special Assistance Programme (SAP) / COSIST (now ASIST) . As per the guidelines for SAP/COSIST Programme (now ASIST), the applicant department should introduce and implement the proposed course with the facilities already made available

under SAP/COSIST/ASIST Programmes for Post – graduate Education and Research. However, the Department should obtain the recommendations of the full Advisory Committee of the SAP / COSIST (now ASIST) programmes in the presence of the outside experts/ nominee of the UGC and also approval of the University bodies (Board of Studies, Academic Council and Executive Council) before introducing the courses.

- (vi) If the proposed course is on self-financing basis.

6. PROCEDURE FOR APPROVAL BY THE UGC:

Two tier System will be followed for processing of the new proposals for identification and support under Innovative Programme including Courses in Emerging Areas.

A. Short-listing of new proposals:

All the proposals prepared as per guidelines in the prescribed form (Annexure - I) with complete information, received from the eligible university Departments /Institutes/Colleges through the University Vice-Chancellor/Registrar/Principal shall be considered.

The proposals received within the last date as mentioned in the UGC invitation letter (The University/Instt./College should mention the No. and date of this letter in their forwarding letter) are scrutinized and short-listed by the Expert Committees /groups and the eligible and viable departments are short-listed for further consideration by the Induction Committee.

Terms of Reference for the Short-listing Subject Expert Committee:

The Committee will:

- i. See that the proposal is in Emerging or Interdisciplinary Areas and is of an innovative nature and not of a routine nature.
- ii. Identify new and emerging areas and specialised or interdisciplinary courses at the Under-graduate and Post-graduate level by the applying universities / institutes and colleges, which have the involvement of active researchers, scientists, social scientists, technologists, industrialists and academicians and the course proposed belongs to emerging or hi-tech areas or in the areas of national and global priorities.
- iii. See that the applicant department is viable or non-viable in terms of its existing core academic staff, academic achievements to nurture and strengthen such courses in Emerging /Innovative Areas in the University/Institute/College at the level (UG or PG) proposed.
- iv. See the proposed viable course/project will encourage, promote and make use of original ideas for promoting scientific and technological applications for the benefit of society.

- v. See that the percentage of the possibility of success of this Innovative Course or creative project, if the UGC agreed to support the same within the approved duration.
- vi. Give the specific reasons in brief for which the applying department is NOT - VIABLE at present for consideration of the proposal under Innovative programmes. Give the specific comments/recommendations in order of PRIORITY in the **FORM (Annexure - II)** .

B. Expert Evaluation and Assessment/Induction Committee for Final Selection:

The short-listed proposals/projects are, therefore, assessed on-the-spot by an Expert Evaluation and Assessment/Induction Committee which will generally consist of experts in the fields, preferably with one member from the expert committee who was invited to short-list the new/fresh proposals/projects. The representatives of the department proposing the introduction of the course/ project will be invited to make presentation before the expert Induction Committee for the final selection out of the short-listed proposals. The Induction Committee on the subject areas will submit their assessment report/recommendations to the UGC. The Committee will also finalize the financial implications within the financial limit as given in the guidelines and mention the duration of the Innovative Courses in the Emerging Areas/Innovative Project.

Terms of Reference for the Expert/Evaluation and Assessment/Induction Committee

The Committee will :

- i. See that the proposals, either in Emerging Areas/ Interdisciplinary/ Innovative Courses are not of a routine nature.
- ii. Identify new and emerging areas and specialised or interdisciplinary courses at the Under-graduate and Post-graduate level by the applying Universities / Institute and college, which have the involvement of active researchers, scientists, social scientists, technologists, industrialists and academicians and the course/project proposed belong to emerging or hi-tech areas or in the areas of national and global priorities.
- iii. See the possibility of success of this innovative course or creative project, if the UGC agree to support the same within the approved duration.
- iv. Recommend the financial inputs that may be provided within the approved limit [(Rs.50.00 lakhs + staff (on actual basis)] to a finally selected proposal after presentation and discussion with the Departmental Representatives based on the detailed and objective assessment of the proposal. The committee would give its report with specific recommendations as per the format (**Annexure - III**) that the proposal/project is of an innovative nature and is fit for support under the Innovative/ Emerging Areas/ Interdisciplinary Programmes and submit the report to the UGC for consideration.

7. PROCEDURE FOR RELEASE OF GRANTS BY UGC;

Recommendations of the Expert/ Evaluation and Assessment /Induction Committee after consideration may be approved by the UGC. Thereafter, approval of the UGC will be conveyed to the selected Departments and their Institutions.

On receipt of the acceptance of terms and conditions of grants attached to the approval letter duly signed by the Registrar of the University and in the case of a college by the Principal of the college, the UGC will sanction admissible grants according to the availability of funds under this Scheme.

The Institutions are required to identify the Coordinator of the programme in the case of introduction of new courses. The Commission may approve the name of the person already given in the proposal with the approval of the Vice-Chancellor/Principal after consulting the representatives of the University/College at the time of presentation of the proposal.

The UGC expects that for better coordination and accountability for successful implementation of the programme, the Coordinator may continue for the full term of the programme or upto his/her date of superannuation. Re-employed teachers are not eligible for continuation as Coordinator.

If a Coordinator retires in the middle of the programme, the Vice Chancellor/Principal may appoint an eligible coordinator with prior approval of the UGC.

The Deputy Coordinator may be appointed by the Vice-Chancellor/Principal with prior approval of the UGC for the day-to-day activities, in the absence of the Coordinator due to unavoidable circumstances or on long leave or travel abroad.

Conditions for receipt of grants under Innovative/Emerging Areas/ Interdisciplinary Programme

- i. **The general terms and conditions as applicable from time to time for UGC assistance are applicable to this programme.**
- ii. The University / Institute / College will take action to communicate or handover the following information, documents immediately on receipt of the approval letter from the UGC :
 - a) Letter of acceptance of the terms and conditions of grants of the programme by the Registrar of the University / Principal of the College and the Coordinator of the programme / project.
 - b) A copy of the approval of the University bodies (Executive Council, Academic Council and Board of Studies) to start the course as approved by the UGC in the University / Institute/ College.
 - c) An assurance from the University / Institute / College that the approved course will continue after the UGC assistance to the programme ceases.
 - d) A separate account for the grant under the programme is essential to be maintained with intimation to the UGC.

- e) The name of the bank and account number (for the programme) with detailed address may be submitted / intimated to the UGC, if financial support is provided under the programme.
- f) The University / Institute / College will submit the name of the Statutory Auditors with their full address to be noted by the UGC.
- g) The Coordinator should have the freedom to place orders and act as per directions of purchase committee constituted by the institution for the purpose as per guidelines.
- h) **In the case where University / Institute /College is unable to follow the guidelines and terms and conditions of grant, the assistance grant will be withheld and the funds paid may be asked to be refunded or even the programme may be withdrawn by the UGC.**

8. PROCEDURE FOR MONITORING THE PROGRESS OF THE INNOVATIVE PROGRAMME (COURSES OR PROJECT)

Monitoring / Evaluation and Review of the progress, performance, achievements made by the Department(s) approved under the Innovative Programmes including courses in Emerging Areas are done as under :-

- A - **Departmental Committee**
- B - Mid-term Monitoring/Review Committee
- C - Final Review Committee

A. Departmental Committee

The Departmental Committee headed by the Vice-Chancellor or his representative includes the Coordinator, Deputy Coordinator and Head of the Department / Senior faculty member. The Committee will be responsible for utilization of UGC grants and procurement of equipments etc. The Committee will also look into the scope of courses from time to time and may take appropriate steps to ensure fulfillment of objectives.

B. Mid-term Monitoring/Review Committee

The Mid-term monitoring and review is applicable to the departments completing more than 2 years w.e.f. the date of implementation or as communicated by the UGC. For optimizing the efficiency and usefulness of the programme, the Expert/ Monitoring and Review/ or Mid-term Committee constituted by the Commission will evaluate and review the academic, research achievements and progress of the work done and functioning of the department, either regionally or as decided by the UGC. On the basis of the report of the committee, a decision will be taken by the Commission and may be conveyed accordingly.

Details for mid-term monitoring and Evaluation Committee

1. The department will submit a progress report in the prescribed format (**Annexure - IV**) . The UGC will organize group monitoring or on-the-spot visit for review of the departments which have completed more than two years from the date of approval of the programme or as communicated by the UGC.
2. The above Committee will review the mid-term progress and activities and also receive the minutes of the Departmental Committee. The final decision will be taken by the UGC.
3. The Committee will submit the report, as usual, highlighting the various achievements, facilities created, equipment procured, staff/faculty/fellows appointed (if approved by the UGC) , utilization of the funds for the purpose it is sanctioned, the status of the Coordinators etc. as relevant to the programme.
4. No financial commitment will be made by the Committee. However, the Committee may highlight any special point or comments for the smooth implementation of the programme .

C. Final Review Committee

At the end of tenure of the programme with effect from the date of implementation or as communicated by the UGC, every department under the Programme is subjected for an assessment and full-term review to be undertaken by the UGC Final Review Committee for evaluation of the overall progress and achievements made during the period. The department will submit final progress report, academic and research achievements, infrastructure and facilities created, utilization of funds etc. through a format in advance (**Annexure-IV**). This assessment is done through presentation of the work by the Coordinator and other faculty members of the Department before the Committee.

The expert committee will submit a report to the Commission for consideration.

Terms of reference of the Final Review Committee

1. The Committee will study in depth the progress report received from the department in the format supplied by the UGC.
2. The Committee will visit the departmental laboratories, library and other infrastructural facilities. It will hold discussions with the Vice-Chancellor, Coordinator , Faculty members, administrative authorities , research scholars and students, staff as may be essential in regard to various academic, teaching, research, collaborative activities, extension and training programmes, resource generation etc. consequent upon the departmental participation under the programme.
3. The Committee would examine the progress of utilization of the grants, appointments made against posts approved and faculty in position etc.
4. Based on the detailed and objective assessment of the progress, the Committee will submit its report to the UGC with specific recommendations.

For Contact :-

**Joint Secretary (SAP/ASIST)
University Grants Commission
Bahadur Shah Zafar Marg
New Delhi – 110 002.**

ANNEXURE-I

**PROFORMA
FOR SUBMISSION OF PROPOSAL
UNDER UGC INNOVATIVE PROGRAMMES
(INCLUDING COURSES IN EMERGING AREAS)**

Department :

University/College/Institute:

Address:

Pin code: Fax/Telex

e-mail Phone

1. Name of the subject discipline and specific area of the Course/Innovative Programme proposed
2.
 - i. Title of the Course/Innovative Programme :
 - ii. Proposed degree/P.G. diploma (full time) with duration for the course :
 - iii. The course is applicable for students passing out of _____.
 - iv Number of the students expected to appear for the course :
 - v Whether there will be any sponsored candidates from the industry, agency /organization .
3. **Whether University/College/Institute is included under Section 2(f) and 12(B) of the UGC Act (Enclose copy). Year**
4. Name of the University / College / Institute as approved by the UGC vide Section 2(f) of the UGC Act.

5. Specify objectives and goal to be achieved, with its impact on teaching , research or both.

6.
 - i. Whether the proposal fits in under this scheme of the UGC – yes/no
 - ii How it does not fit in with other programmes such as research projects (minor/major or other) of the UGC.

7. Level of the course :-

(a) Under Graduate	–	yes / no
(b) Post Graduate	--	yes / no
		M.A./M.Sc./M.Com
(c) PG Diploma		
	--	yes/no

8.
 - i. Specify whether the areas of the course belong to emerging or hi-tech or in the areas of national and global priorities .

 - ii. Whether the proposed course has already received financial assistance under the course of vocational education or under the course in the scheme of emerging areas or any other scheme of the UGC or any other agency.

9. (a) Major aims of starting the course by the University / Institute / College (Please specify your purposes)
 - i. Bringing innovation and excellence in teaching or research or both in the area : yes/no

 - ii To give a solution to the local/regional/global problems by training of the required human resources for :
 - a. Generating possible employment opportunities for the students in the area.

 - b. Serve industry, Govt./ other organizations which are possible users or are sponsoring agencies for courses etc. (put numbers here) and to mobilize industry / other organizations to know their requirements.

 - c. Solve problems in ecological / environmental / atmospheric and related aspects.

 - d. Societal education, research and teaching for popularization and application of the know- how, technology output.

 - e. Monitoring, abetment of and giving a solution to the hazardous

problems, natural calamity disasters / flood .

10. Attach newspaper clippings / documents on sustainable development in the area, if available.
11. Indicate the names of other laboratories , international or national or industrial organisations or NGOs with possible area (s) of interaction in such cases , if any .
12. Infrastructure available for running the course / innovation :-
 - i) Specify major equipment
 - ii) National / International facilities
 - iii) Space / building / class room / laboratory etc. for teaching / research the course
 - iv) Existing teacher (Prof./Reader/Lecturer – provide names, number, area(s) of specialisation , superannuation date, experience with years, publication in referred journals.
 - v) Infrastructure / facilities available / created ,if any, through Special Assistance Programme (SAP) and COSIST {ASIST} (give the list of equipment and other facilities)
13. Name of industries or place or Universities / Institutes / Colleges where the work will be undertaken.
14. Furnish details of course collaboration needed along with the syllabus and the plan for infrastructure and examinations procedure to be followed as per UGC guidelines.
15. Specify the requirements based on the following: -
 - i) Most essential and critical requirements of staff, laboratory equipment etc., required for starting the course/innovative programme.
 - ii) How much maximum time will be required to implement the innovative programme? The programme is to be completed during the Xth Plan period.
 - iii) Whether the University/ Organisation/ Industry where the course/ innovative project will be undertaken has agreed to provide the required infrastructure facilities for the students.

- iv) Whether the State Government / University / Institute / College will take up the recurring liability after cessation of the UGC's assistance to the programme.
16. Mention innovative and creative part of the project (Highlight innovation or creative quality to be brought in).
 17. Whether the project is meeting global requirements in hi-tech, emerging, thrust areas or it is a proposal to solve some issues or problems of national priority.
 18. How it is going to influence research and teaching ?
 19. Whether the proposal/project has been submitted to any other agency? If so, what is the status ?
 20. What is the percentage of the possibility of success of this innovative or creative project, if the UGC agrees to support the same, based on the recommendation of the Expert Committee .
 21. For courses in emerging areas or project on innovation/ creation etc. covered under the Innovative programme, the UGC assistance will be for a period of five years **or** limited to the period given under the project proposal whichever is earlier.
 22. The University / College/Institute should mention whether the course is self-financed. If so, the details of the fees structure and the total expenditure for the course.
 23. Indicate the fee to be charged by the College/University/Institute per student per annum / per semester for the proposed course.
 24. Whether fee will be charged as per State Government/University Rules – Yes/No.
 25. Whether the University / Institute / College is already running the proposed course, if yes, please mention year of starting.
 26. Give specific item-wise details for non-recurring (one time grant) and \ recurring (annual requirements) . The list of the equipments priority-wise with cost may be provided. The infrastructure/facilities created, if any, through SAP and COSIST (ASIST) programme may be kept in view .
- Proposal/project will not be considered if it is not submitted in the prescribed form. The proposals from Colleges/Institutes should be submitted through their respective universities.

- Five copies of the proposal are to be submitted to the Joint Secretary, (SAP/ASIST), UGC, New Delhi.

Signature of the Coordinator

**Signature of the Vice Chancellor **
Registrar with Date and Seal

Signature of the Head of the
Concerned Department
(With Seal)

Signature of the Principal
of the College/Institute (with seal)

ANNEXURE-II

UNIVERSITY GRANTS COMMISSION

FOR INNOVATIVE PROGRAMMES INCLUDING
COURSES IN EMERGING AREAS

SUBJECT COMMITTEE MEETING FOR SCRUTINIZING AND
SHORTLISTING OF THE NEW PROPOSALS

COMMITTEE ON _____

SUBJECT OF THE
PROPOSAL _____

DATE OF MEETING _____

EVALUATION INDICATION SHEET

1. Name of the Department / University/Institute/College :
2. Proposal for consideration under Innovative Programme (Please tick mark) : a) Course
b) Project
3. Whether the course/project proposed of an Innovative nature or in frontier areas of knowledge :
4. Whether the applicant department is viable or non-viable in terms of its existing core academic staff, academic achievements to nurture and strengthen such courses/project in emerging areas/innovative in the University/ College at the level (UG or PG) proposed : **Viable / Non-viable**

5. Whether the proposed viable project will encourage, promote and make use of original ideas for promoting scientific and technological applications for the benefit of society :

6. The specific reasons (in brief) for which the course/project is NOT VIABLE at present, in terms of the position at S.No. 4 and 5. :

7. (a) If recommended for further consideration, (i) **PRIORITY NO.** _____ the specific comments/recommendations in order of PRIORITY

(ii) Recommended for
(Name of the Course/Project)

(iii) Specific Comments/ Recommendations

(b) Not recommended (Give reasons)

SIGNATURE OF THE EXPERTS

1.

2.

3.

4.

SIGNATURE OF THE UGC OFFICIAL

ANNEXURE-III

UNIVERSITY GRANTS COMMISSION

INNOVATIVE PROGRAMMES INCLUDING COURSES IN EMERGING AREAS

EVALUATION/RECOMMENDATIONS OF INDUCTION COMMITTEE

REPORT OF THE EXPERT COMMITTEE TO CONSIDER THE VIABLE SHORTLISTED NEW PROPOSALS FOR FINAL SELECTION OF THE PROPOSALS AFTER PRESENTATION BY THE DEPARTMENT / UNIVERSITY / INSTITUTE / COLLEGE REPRESENTATIVES TO PROVIDE FINANCIAL ASSISTANCE UNDER THE INNOVATIVE PROGRAMMES INCLUDING COURSES IN EMERGING AREAS.

Committee on:

Date and Place of presentation meeting:

**RECOMMENDATIONS OF THE
INDUCTION COMMITTEE**

1. Name of the Nodal Department/University
/Institute/College with full Address :
2. Name/title of the Course/Project proposed :
3. Name/Title of the Course/Project/Identified
by the Short-listing Expert Committee :

4. Date of Short-listing Expert Committee meeting:
5. Whether on the basis of presentation of the proposal and in terms of its existing core academic staff, academic achievements to nurture and strengthen such courses/project in Emerging and Innovative areas, the Committee recommends the proposal for support:

RECOMMENDATIONS:

6. If not recommended for support after presentation, the specific reasons thereof:
7. Name/Title of the Course/Project finally Recommended by the Finalization/ Expert committee:
10. Level of course (full time or Spl. Paper) Under PG / UG recommended :
11. Duration of the Course/Project recommended :
12. Students intake, if any, recommended per year :
13. Financial recommendations within the approved limit of Rs.50.00 lakhs + staff for a maximum duration of 5 years as given in the Annexure-I.
14. Name of the Departmental/Universities/Institutes / Colleges representatives with designation
 - 1.
 - 2.
 - 3.

4.

15. Names of the Expert and UGC Official

1.

2.

3.

4.

UNIVERSITY GRANTS COMMISSION

Financial inputs recommended for implementing the _____
_____(Course/Project) in the
Department of _____ University for a duration of
_____ years.

**Items recommended
(as per guidelines)**

**Amount recommended
(within ceiling)**

(Rupees in Lakhs)

NON-RECURRING

RECURRING (within the ceiling of Rs. 16.00 lakhs + staff) (as per actual)

EXPERTS

UGC OFFICIALS

- 1.
- 2.
- 3.

ANNEXURE-IV

UNIVERSITY GRANTS COMMISSION

PROGRESS REPORT

PROFORMA FOR SUBMISSION OF THE REPORT OF THE PROGRESS AND ACHIEVEMENTS MADE UNDER THE UGC ASSISTANCE FOR INTRODUCTION OF COURSES IN EMERGING AREAS AND INNOVATIVE PROGRAMMES

INPUT DATA

PERIOD OF REPORT; From _____ To _____

I.GENERAL INFORAMTION

1. Name of the University/Institute/College

with full address, telephone, fax, e-mail telegram:

2. Name of the Programme under which UGC assistance has been received:
 1. Courses in Emerging Areas
 2. Innovative Programmes

3. a) Level of the Course (Part/Full time) proposed and duration by the university:
 - a. Under-Graduate - Yes/No
 - b. Post-Graduate - Yes/No
 - i) M.A/M.Sc.
 - ii) M.Phil
 - iii) M.Ed
 - iv) Ph.D.
 - c. PG Diploma – Yes/No

b) Whether the proposal/project has been submitted to any other agency?
If so, what is the status ?

4. Level of the course(Part/Full time) and duration approved by the UGC :

5. Title of the Innovative Programme approved by the UGC and duration :

6. Department(s) involved in implementing the Course/Programme approved by the UGC.
Full address, telephone, fax, e-mail, Telegram:

7. Name of the nodal Department which is coordinating/implementing the course/programme and noted by the UGC:

II FACULTY INVOLVED AND COORDINATOR

8. a) Name of the coordinator of the Course/
Programme, Department with his/her designation
b) Areas of specialization
c) Date of Superannuation
d) List of publication in refereed journals
e) Full address with telephone, Fax Nos., e-mail, telegram

9. Name of the other faculty members in the nodal Department with the information as at 8 (a) to (d)

10. Names of the faculty members of the other Departments involved for implementation of the Course/Programme as approved by the the UGC with the information as at 8(a) to (d)

III FACULTY / OTHER STAFF APPROVED BY THE UGC FOR IMPLEMENTING THE COURSES/PROGRAMMES (Give numbers) :-

Faculty	Faculty working	No. approved under the programme
Professor	-	
Reader	-	
Lecturer	-	

11. UGC letter No. _____ and Date:-

IV STUDENTS/CANDIDATES/RESEARCHERS

11. (a) Students/Candidates intake approved per annum by the UGC.
- (b) The Course / Programme is applicable for students/candidates passing out of
- (c) Number of the students/candidates expected to appear for the course/involved in the programme per year
- (d) Number of the sponsored candidates/students from the industry, agency, organization (Also give the names of the industry, agency etc.)
- (e) Number of in-service candidates with their educational qualifications, period of service, department, Uuniversity/Institute/Organization:
- (f) Number of the SC/ST students/candidates/ in - service candidates

V. MAJOR AIMS OF STARTING THE COURSE/INNOVATIVE PROGRAMMES BY THE UNIVERSITY/INSTITUTE/COLLEGE (PLEASE SPECIFY THE PURPOSE AS GIVEN IN THE PROPOSAL APPROVED BY THE UGC

13. (a) Whether the areas of the Course/ Innovative Programme approved by the UGC belongs to:-
- i. Emerging
 - ii. Hi-Tech
 - iii. Areas of national/global priorities:

(b) Whether the approved Course/Programme is for bringing innovation and excellence in teaching or research or both in the area:-

(c) Whether the approved Course/Programme will help to give a solution to local regional/global problems by training of required human resources for:-

- i. Generating possible employment opportunities for students in the area :-
- ii. Serving industry, government, other organization which are possible users or are sponsoring agencies for course/programmes etc. and to mobilize industry/other organization to know their requirements (give the names of industry, agency etc.)
- iii. Solving problems in ecological/environmental/ atmospheric and related aspects
- iv. Societal education, research and teaching for popularization and application of the know – how, technology output :
- v. Monitoring, abatement of and giving a solution to the hazardous problems, natural calamity disasters/flood

VI. FINANCIAL INFORMATION

ASSISTANCE RECEIVED FROM UGC TO IMPLEMENT THE APPROVED COURSE / INNOVATIVE PROGRAMME

14. UGC letter No. and date of approval/approval-cum-sanction (Ist instalment of grants (Non – recurring and Recurring})
15. Duration of UGC assistance approved for the Course / Innovative Programme :
16. Total allocation of grants (Non-recurring and Recurring) approved by the UGC for the duration (Please give details according to the UGC approval letter(s):
17. Re-appropriation / enhancement of the allocated grants approved by the UGC, if any (Please enclose a copy of the UGC letter):

Item approved	Original allocation	Re-appropriation/ enhancement approved, if any	Period for which Re – appropriation/ enhancement

1.	2.	3.	4.
<u>NON-RECURRING</u>			
<u>RECURRING</u>			
TOTAL			

18. TOTAL GRANTS RECEIVED SO FAR OUT OF THE ALLOCATION APPROVED BY THE UGC FOR THE COURSE/INNOVATIVE PROGRAMME:

Items approved	Duration approved	Total allocation approved (As per approval letter)	Grants received by the Univ./ Instt./College so far(give UGC sanction letter and the date)	Amount actually provided to the Department by the University/Instt./ College against the sanctioned grant and the date	If the department was paid less amount than the grants actually paid by the UGC for each item, the reason and the justification may be given in brief
1	2.	3.	4.	5.	6.
<u>NON-RECURRING</u>					
<u>RECURRING</u>					
TOTAL					

19. ASSISTANCE RECEIVED BY THE DEPARTMENTS INVOLVED TO IMPLEMENT THE APPROVED COURSE/INNOVATIVE PROGRAMME INCLUDING NODAL DEPARTMENT FROM OTHER PROGRAMMES /

**SCHEMES OF THE UGC (SAP, COSIST, MAJOR RESEARCH PROJECT ETC.)
AND OTHER FUNDING AGENCY.**

Name of the Department	Name of the Agency	Name of the programme / scheme / course under which financial assistance has been received	Amount of assistance Received			Duration for which assistance received	Year of assistance received	Grant received from the UGC under Development grants for Xth Plan period
			NR	R	Total			
1.	2.	3.	4.			5.	6.	7.

(b) Total fees charged from the candidates enrolled for the course(s):

VIII. INFRASTRUCTURE AVAILABLE FOR RUNNING THE COURSE / INNOVATIVE PROGRAMME :

20. Specify the major equipments available with the nodal and other Departments involved to implement the Course / Innovative Programmes. List of equipments with their sources, year of procurements, model, make may be enclosed.
21. National / International facilities available, if any, in the Departments involved or any other departments in the University/Institute /College which has helped to implement the approved Course/Innovative Programmes.
22. Space/building/class rooms available prior to the UGC assistance received for teaching the approved Course/ Innovative Programmes.
23. Infrastructural facilities available/created , if any, through the UGC Special Assistance Programme viz. SAP, COSIST, COSIP, COHSSIP, Computer Development grants, Development grants prior to the assistance received for implementing the approved Course/Innovative Programmes.
24. Whether the University/Institute/College where the Course/Innovative Programme is being undertaken has agreed to provide the required infrastructure facilities for the students.

25. a) If the departments involved to implement the Course/Innovative Programme are not under SAP/COSIST Programme, whether they are using or allowed to use the facilities created by the other UGC SAP/ COSIST (ASIST) supported departments in the University.

b) If not using, the reasons thereof.

**Coordinator of the
Programme / Principal
Investigator of the project**

**Head of the Department
with seal**

**Registrar/Principal
With seal**

**OUTPUT DATA
ON
PROGRESS AND ACHIEVEMENTS MADE ON THE MAJOR AIMS
OF STARTING THE COURSE/INNOVATIVE PROGRAMMES APPROVED BY THE
UGC**

Period of annual / final report should be as per the actual effective date of starting / implementation of the Course / Innovative Programme / Project duration approved and noted by the UGC.

PERIOD OF REPORT : From _____ To _____

1. Name of the Scheme / Programme under which financial assistance has been received
- 2.(a) Level of the Course(Paper/part-time/full-time) under PG/UG approved by the UGC
- (b) Title of the Innovative Programme/Project approved by the UGC.
- (c) Duration of the UGC assistance for Course/ Programme/Project approved
- (d) UGC approval letter No. and date
- (e) Date of 1st instalment amount received by the Department/coordinator from the University/Institute/College .
- (f) Date of the 1st instalment amount actually received by the University/Institute/College.
3. Date of implementation (effective date) of the Course/Programme/Project as per instruction given in the approval letter or as decided/noted by the UGC.
4. Date of Completion of the approved duration of the Course/Programme/Project as per instruction given in the approval letter or as decided/noted by the UGC
5. Whether approval of the appropriate authorities in the University/Institute/College has been obtained before starting the Course/Programme. (A copy of the approved resolution may be enclosed)
6. Name of the nodal Department coordinating the Course/Programme/Project.

7. Name(s) of the Coordinator(s) of the Course / Programme / Project
8. Students/Candidates(SC/ST, sponsored general, in-service admitted per year against the intake approved by the UGC
9. Students/Candidates passed per year in each category with the Course/papers under the programme from date of induction till date (also give percentage)
10. Students/Candidates passed and placed in Central/State Govt. Departments, industries, other funding/sponsored agencies or teaching assignment in Universities/Institutes/Colleges (please give the names of employers)
11. Whether the Department has taken any survey about the job potential and the feed back of the placement of students/candidates who have passed with the course or trained under the Programme/Project.
12. Whether according to the feed-back the students/candidates are seriously interested taking up the Course/Programme in view of the job potential in various agencies around and beyond their area
12. Keeping in view the actual position of 10,11 and 12 above whether the Department still feels that the Course / Programme for human resource training should continue in their Universities/Institutes/Colleges and they will be able to continue the Course / Programme after the grant from UGC ceases.

13. Faculty approved by the UGC and appointed to implement the programme:

Faculty	Approved by the UGC	Approval given by the State Govt.	Appointed	Vacant	Date of appointment for
Prof./Reader					
Reader					
Lecturer					

14. Whether the State Govt.'s concurrence to takeover the recurring liabilities of the approved staff after cessation of the UGC assistance for the approved duration of the Programme/Course/Project has been obtained and communicated to the UGC.

If so, a copy of the State Govt.'s letter may be enclosed

- 16.(a) How the Course/Programme continued or is continuing or will continue without appointing the approved staff (within the approved duration):
- (b) Since these are programme posts and approval of the UGC will lapse after the completion of the programme duration, whether the Univ./Institute /College will takeover the recurring liabilities to continue the Programme /Course after completion of the programme duration and cessation of the UGC assistance to the programme. What will be the source of expenditure ?
17. If approved under the programme, the number of Visiting Faculties invited for lectures from the date of starting of the Programme/Course till date or upto the date of completion of the approved duration as per UGC norms. (Enclose the list of Visiting Faculties with their designation and address and topics of lectures and duration of stay)
18. Whether the University has constituted any Departmental Committee to implement the programme. If so, a list of the members of the Committee may be enclosed.
19. Number of Departmental Committee meetings held so far
20. Highlight the specific suggestions / recommendations of the Departmental Committee, if any
21. Number of Seminars/Conference/Workshops/Refresher course organized and their topics which have helped the faculties and students involved under the Programme / Course.

22. Number of papers published, if any, by the faculties involved under the Programme/ Course which have relevance to the Programme/ Course. (Please enclose a list of such papers published by the faculties involved under the Programme/Course).
23. Details of the course curricula introduced for implementing the course approved under the programme.

UTILIZATION OF FUNDS RECEIVED FOR IMPLEMENTING THE COURSE/PROGRAMME/PROJECT APPROVED BY THE UGC AND OTHER FUNDING AGENCY:

24. As per effective date of Course/Programme/ Project conveyed to UGC and a consolidated statement of actual expenditure incurred out of the grants approved and received from the UGC and other funding agencies, if any, to implement the Course/Programme/Project up till date (give specific date) or upto the date of completion of the approved duration may be submitted in the FORMAT given below:-

(During the period from _____ to _____)

Item approved (As per approval letter)	Total grant approved for duration	Grants received so far	Actual expenditure incurred so far	Utilization Certificate submitted for	Estimated expenditure for the remaining years of the approved duration	Remarks
1	2	3	4	5	6	7
<u>UGC</u> <u>NON-RECURRING</u> Details (As approved)						
<u>RECURRING</u>						
TOTAL						
Other Funding Agencies						
<u>Non-Recurring</u>						

Recurring						
TOTAL						

25. List of equipments purchased/facilities created out of the items approved for implementing the Course/Programme/Projects, indicating the cost of the item, model, make/year, date of installation or put into operation and the source of funds (UGC/Other funding agency)
26. Whether for maintenance of the approved and purchased equipments under the programme rate contracts have been signed with the suppliers.
27. The list of books and journals required to implement the Course/Programme/Project purchased out of the grants approved and paid for the purpose.
28. Whether any grant has been approved under the Programme/Course/Project for construction of building or renovation, alterations and addition of existing labs. or to place the new equipment facilities. The UGC and State share, if any, approved for the purpose.
29. Whether as per rules the University has obtained prior approval of the UGC/ State Government for Plans and estimates before starting of the construction work etc. .
If not, the justification thereof.
30. Whether the State Govt./University will bear the excess expenditure on the building etc., over and above the allocation approved by the UGC/other funding agency.

UGC share	– Rs.
<u>State share</u>	<u>- Rs.</u>
Total	- Rs.

31. Whether the plans and estimates of the proposed building work etc. with all required documents were submitted to the UGC /State Government for approval
32. **a.** Total cost of the plans and estimates proposed by the University Rs.
- b.** Total cost of the plans and estimates approved by the UGC/State Govt. (Enclose a copy of the approval letter) Rs.
33. The University may give an assurance to take necessary steps/action to complete the building etc., approved under the programme, if any, within the approved duration of the programme
34. If the building work etc. could not be completed in time, the maximum time required to complete the building work etc. may be indicated with the justifications for delay. This will be considered only if the approval of the plans and estimates were obtained and work started within the approved duration.
35. Please give some names of experts with their area(s) of specialization on the subject of the Course/Programme/Project.

Signature : **Coordinator** **Head of the** **Registrar/** **Vice-Chancellor**
With seal : **of the** **nodal Deptt.** **Principal** **/ Director**
programme

UNIVERSITY GRANTS COMMISSION

**PROFORMA FOR THE CLAIM FOR MAINTENANCE(EQUIPMENT)
GRANT UNDER INNOVATIVE PROGRAMMES**

1. Name of the Department/University with address.
2. Financial year of approval (Letter no. with date).
3. Date of implementation of the programme in the Department as per Guidelines.

Name of Equipt. with Serial No. in the app- roved list	Approved cost (Equipt. wise)	Actual Cost	Contract signed etc. for mainten- ance of equip- ment if any, with document	Date of receipt of the equipt.	Date of instal- ation and Commi- ssioning	Date of Completion of warranty/ guarantee period

Signature
Head, Department/Coordinator
of _____
University/Institute

Signature
Registrar/Principal of the
University/Institute

1. First instalment of maintenance grant of 5% of the total cost of the equipment purchased may be released after the warranty/guarantee period is over.
2. The second instalment may be released to the extent the first instalment of maintenance grant is utilised: that is to say that at any given time, the department can have only maintenance grant of 5% of the cost of the equipment. Within a period of five years for major repairs, the amount

could be released as a special case beyond 5% not exceeding total due for five years period under the head Maintenance and Upgradation of the Equipment.

ANNEXURE-VI

UNIVERSITY GRANTS COMMISSION

STATEMENT OF EXPENDITURE

University/Institution _____
 Sanction letter No. and Date _____
 Statement of Actual expenditure during _____
 And estimated expenditure for _____

Item of Expenditure	Total grant approved	Actual grant received	Actual expenditure incurred (bills actually paid)	Excess/ Saving (difference of Col. 3 and 4)	Estimated expenditure for	Remarks
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NON-RECURRING:

(As approved by UGC)

TOTAL N.R.

Item of Expenditure	Actual ceiling	Grant received	Actual expenditure	Excess/ saving (difference of Col. 3 And 4)	Estimated expenditure	Remarks
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RECURRING:

(As approved by UGC)

TOTAL R.

Certified that the grant has been utilized for the purpose for which it was sanctioned and in accordance with terms and conditions attached to the grant.

If as a result of check or audit objection, some irregularities are noticed at a later stage, action will be taken for refund, adjustment or regularization.

Signature
Registrar/ Principal with Seal

N.B.: This may not include any amount relating to orders placed or likely to be placed, commitments entered into or amount for specific items likely to be obtained.

ANNEXURE-VII

UNIVERSITY GRANTS COMMISSION

UTILIZATION CERTIFICATE

It is certified that the amount of Rs. _____
(Rupees _____)

out of the total grant of Rs. _____ (Rupees
_____ sanctioned to
_____ by the

University Grants Commission vide its letter No. _____ dated
_____ towards _____
_____ under
_____ scheme has been
utilized for the purpose for which it was sanctioned and in accordance with the terms and
conditions as laid down by the Commission.

If as a result of check or audit objection some irregularities are noticed at a later stage,
action will be taken for refund, adjustment or regularization.

Signature
Registrar / Principal with seal

Signature
Finance Officer with Seal

Signature
**Coordinator of the programme/
Head of the Department**
(As the case may be)

**Signature, Chartered Accountant
with seal and Registration No.**
**(If the accounts were audited
Prior to the audit of Statutory
Auditors)**

Note: **The University/Institution will submit an audited statement of accounts, duly audited by the Statutory Auditors of the University/Institution as soon as the accounts of the University/Institution are audited.**

