

# **GUIDELINES FOR UNIVERSITIES WITH POTENTIAL FOR EXCELLENCE**

**During the XI plan Period**

**(2007 - 2012)**



**UNIVERSITY GRANTS COMMISSION  
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# **XI PLAN GUIDELINES FOR UNIVERSITIES WITH POTENTIAL FOR EXCELLENCE (UPE) SCHEME**

## **1. PREAMBLE**

Striving for Excellence is a sustained reform process generated within the university by covering all staff, students and stakeholders with a view to raising the quality and performance results of educational processes of the university. Quest for excellence is also a process of nurturing and continuous building up of capacities and capabilities of the university to the highest level of standard in the world. This is a process of making the university appropriate to the emerging knowledge society by focusing on the changing requirements and expectations of students and stakeholders including institutions and work places where the graduates of the university will find opportunities of living, working and developing. The continuous efforts and quest for excellence of the university should finally lead it to the highest level of educational performance and become not only comparable to the leading universities in India and the world, but also serve as a benchmark for others.

Any university applying for the support of the UGC under the UPE Scheme may set higher achievement goals and strive for achieving them. In the process, the university has to analyze its processes on the basis of some parameters and indicators - measurable as well as non-measurable - and improve the processes so as to achieve better results. Every university carries out educational processes implemented usually at all levels directed towards the learning and development of students.

As a part of this effort, the UGC during the IX and X Plan periods adopted a strategy to identify a few universities which have the potential to achieve excellence in teaching and research activities. This initiative is being continued during the XI Plan period in order to identify a few more universities which have the potential to achieve excellence not only in teaching and research, but also in all related functions that could contribute to a holistic development of the university.

## **2. OBJECTIVES OF THE UPE SCHEME**

During the IX Plan period the UGC initiated a programme to provide substantial support to selected universities with potential for excellence. The intention was to make these Indian universities comparable to the world class universities by enabling them “to adapt to modern methods of teaching and learning, developing learner-friendly lecture materials, changing their evaluation methods and striving for excellence, to sustain themselves in this competitive world”.

The objectives of the Scheme are:

- (i) To achieve excellence in education, training, research and governance to face the challenges of future;
- (ii) To strengthen the academic and physical infrastructure for achieving excellence in teaching, learning, research and outreach programmes;
- (iii) To promote flexible and effective governance;
- (iv) To enhance the quality of the learning process and teaching at the undergraduate and postgraduate levels with the help of a flexible credit based modular system and a whole range of innovations currently accepted across the world;
- (v) To promote academic programmes relevant to the social and economic needs of the nation in general and the region in particular;
- (vi) To improve undergraduate education in colleges by interfacing of the PG programme;
- (vii) To promote networking with other Centres/departments and laboratories in the country;
- (viii) To introduce examination reform programmes like semester system, Continuous Internal Evaluation (CIE), credit system, etc;
- (ix) To promote autonomy and decentralization; and
- (x) To undertake any activity that may lead to excellence in all the domains listed under (i) above.

### **3. TARGET**

During the IX Plan period, 5 universities were selected under the UPE Scheme, viz., J.N.U, Hyderabad University, Jadavpur University, Pune University and Madras University.

During the X Plan period, against the target of 5 universities, only 4 universities were selected viz., Mumbai University, NEHU, Madurai Kamaraj University and Calcutta University.

During the XI Plan Period, 6 more universities are to be selected in accordance with the new guidelines.

### **4. ELIGIBILITY FOR APPLYING UNDER THE UPE SCHEME**

The university aspiring to receive support from the UGC under the UPE Scheme should have:-

- (i.) Accreditation of the NAAC with five star in the 5-point grading system of the NAAC, OR A grade and above in 9-point grading system, OR A grade under the new grading system introduced in 2007;
- (ii.) Well established and regularly functioning Internal Quality Assurance Cell as recommended by the NAAC;
- (iii.) Prepared the yearly reports of quality sustenance and enhancement since the last accreditation by the NAAC;
- (iv.) At least one Centre for advance study (CAS) or 2 Departments of Special Assistance (DSA) in any subject.

### **5. NATURE OF ASSISTANCE AVAILABLE UNDER THE SCHEME**

#### **(a) Quantum and purposes of assistance**

- (i) The upper limit of financial assistance under the Scheme is Rs.50.00 Crores for a period of five years.
- (ii) 30 % of Rs.50.00 Crores, viz. Rs.15.00 Crores, shall be spent on one or two focused area(s) identified by the university and recommended by the Standing Committee, 70% of the amount, viz. Rs.35.00 Crores, shall be spent on holistic development of the university.
- (iii) The specific area(s) in which the university has already shown excellence (under CAS/DSA) shall be considered as focused area(s).
- (iv) Collaborative Research projects cutting across the disciplines in the focused area(s) shall be encouraged. No individual projects shall be awarded to any faculty member.
- (v) The departments not covered under the focused area(s) shall also be encouraged to undertake collaborative research project(s) under the holistic development.
- (vi) The universities may spend the balance amount (available after spending on iv and v above) on academic and physical infrastructure, books and journals, equipments, participation of teachers in academic conferences held within India or abroad, etc.

## **(b) Tenure**

The financial assistance under the Scheme shall be available to a University initially for a period of five years which shall be extended for a maximum period of 10 years, subject to a review at the end of each year and a Summative Evaluation at the end of five years.

### **6. INVITING APPLICATIONS UNDER THE SCHEME**

Applications under the Scheme shall be invited through UGC notification and announcements in the UGC Website.

### **7. COMPOSITION AND FUNCTIONS OF VARIOUS COMMITTEES**

#### **(a) Standing Committee on UPE Scheme**

A Standing Committee constituted by the Chairman, UGC, and consisting of the following ten members would recommend suitable names of universities to the Commission for assistance under the Scheme:

- Vice-Chairman, UGC (Chairman of the Committee)
- One Commission member
- Two academicians of repute (one from the Sciences and one from the Humanities or the Social Sciences)
- One person with a background of technology
- One eminent person connected with the National Laboratories
- One eminent person from industry
- One eminent educationist
- One person with expertise in distance education
- One UGC Officer.

The above Committee shall be broad-based depending upon the need.

#### **(b) Working Group on UPE Scheme**

A Working Group consisting of 3-4 experts and a UGC Officer shall be constituted by the Chairman, UGC, to undertake the following activities:

- (a) To prepare a scoring scale for the proforma to invite “Application for Support from the UGC under the UPE Scheme” (ANNEXURE-I) from the universities aspiring to receive support from the UGC;
- (b) To prepare a proforma for Action Plan (on Focused Areas and Holistic Development of the University) and Budget, which has to be submitted by the short listed universities.
- (c) To score the proposals received in (ANNEXURE-I) and analyze the data and submit a Report;
- (d) To prepare a proforma for the Annual Report to be submitted by the selected universities.

### **(c) Expert Evaluation Committee**

This Committee shall be constituted by the Chairman, UGC, in respect of each of the 9 universities short listed under the Scheme by the Standing Committee. It shall consist of a few Educational Experts on Quality Management, Subject Experts and one UGC officer. The size of the Committee shall depend on (a) the size of the University to be visited and (b) subject specialization involved. The Committee shall visit the university and have discussion with all the stake-holders in the university and submit its recommendations which shall be considered by the Standing Committee. The Expert Evaluation Committee shall also finalize the Action Plan and Budget of the University.

### **(d) Subject Expert Committee**

At the end of each financial year, a Subject Expert Committee to be headed by the Vice-Chairman, UGC, shall be constituted by the Chairman, UGC, in respect of each university taking into consideration the domains of activities undertaken by the University under its Action Plan. The Subject Expert Committee shall visit the University for a minimum period of 3 days and have discussion with the Project Investigators, teaching staff, students, research staff and university authorities and give a report to the UGC. This report shall be considered by the Monitoring Committee.

### **(e) Monitoring Committee**

Each university shall be visited by a Monitoring Committee every year after considering the report of the Subject Expert Committee. The Monitoring Committee shall consist of the following members nominated by the Chairman, UGC:

- |    |                    |                  |
|----|--------------------|------------------|
| 1. | Vice-Chairman, UGC | Chairman         |
| 2. | <i>Six</i> Experts | Members          |
| 3. | One UGC Officer    | Member Secretary |

The Monitoring Committee shall visit the University and discuss with the faculty members, students, research scholars and university authorities, assess the progress made by the University during the previous year and recommend for revision of budget, if required, and further release of grants, etc.

For all the Committees the Universities concerned shall send the required information.

### **(f) Advisory Committee**

The Committee considered the recommendations made by the Expert Committee which visited Madurai kamaraj University and was of the view that there is a need for an Advisory Committee for each of the UPE universities. The composition of the Advisory Committee may be as follows:-

1. Vice Chancellor of a UPE University-... Chairman
2. Three experts to be nominated by the Chairman, UGC (taking into account the focused area and research undertaken under the holistic development)
3. Coordinators of the various Research Programmes.
4. UGC Officer

The Advisory Committee may meet at least once in six months in the beginning so as to advise the university concerned on the research work that are being carried out under UPE scheme. The minutes of the meetings of the Advisory Committees may be placed before the Monitoring Committee when it visits the university.

## **8. PROCEDURE FOR SELECTION BY THE UGC**

The selection of a University under the UPE Scheme shall be done as per the steps given below:

### **Step No. 8.1**

Application for support from the UGC under the UPE Scheme shall be submitted by the interested universities fulfilling the eligibility requirements in the prescribed format given in ANNEXURE-I to these Guidelines. The Universities shall be invited to attend a workshop to discuss the concept of excellence, goals and objectives of the UPE Scheme as well as the approach for the preparation of the Action Plan (on Focused Area(s) and Holistic Development) and the Budget. The workshop shall include educationists, experts from Quality Management, a few subject Experts and UGC Officers.

### **Step No. 8.2**

Based on the outcome of the workshop each university shall submit its Action Plan (including a 2-page note on the Focused Area(s), a 2-page note on the Holistic Development of the University, and derivable) and Budget in the proforma within one month after the workshop.

### **Step No. 8.3**

The Working Group on UPE shall score the parameters selected for the purpose in ANNEXURE-I.

### **Step No. 8.4**

Based on scores obtained by the universities and the recommendations of the Working Group, the Standing Committee shall shortlist 9 universities for further evaluation.

### **Step No. 8.5**

The Expert Evaluation Committees shall visit the short listed universities, hold discussions with the university authorities, students, research staff and other stake- holders, and finalize the Action Plan as well as the Budget. It shall submit its report to the Standing Committee.

### **Step No. 8.6**

After considering the report of the Working Group and the Expert Evaluation Committees, the Standing Committee shall make its recommendations to the Commission regarding selection of Universities for conferment of the UPE Status.

### **Step No. 8.7**

Based on the recommendations of the Standing Committee, the Commission shall select the Universities under the UPE Scheme and inform them accordingly. The Commission shall also inform the approved Action Plan and Budget of each University.

## **9. PROCEDURE FOR RELEASE OF GRANTS BY THE UGC**

The first Installment of grant, viz Rs. 10.00 Crores, shall be released to a selected University within 3 months of approval of its Budget by the Commission. Further installments of grants shall be released subsequently based on the recommendations of the Monitoring Committee.

## **10. PROCEDURE FOR MONITORING THE PROGRESS OF IMPLEMENTATION BY THE UNIVERSITY UNDER THE SCHEME**

The progress of implementation of the Scheme by the University shall be reviewed, monitored and evaluated every year by the Monitoring Committee. The Monitoring Committee shall update the Commission with an assessment report with regard to the academic/research achievement and progress of the work done by the identified Universities within six months after the completion of each year. This involves the following steps:

### **Step No. 10.1**

The University shall submit an Annual Report of work done during the previous financial year in the prescribed proforma to the UGC by **31<sup>st</sup> May of every year**.

### **Step No. 10.2**

On receipt of the Annual Report from the University, the Subject Expert Committee shall visit the University for a minimum period of 3 days and hold discussions with the university authorities, students, research staff and other stake-holders and give a report to the UGC on the progress and expected directions of the implementation of the Action Plan.

### **Step No. 10.3**

After receiving the report of the Subject Expert Committee, the progress of the work done by the University during the previous year under the UPE Scheme shall be monitored by the Monitoring Committee each year after discussing with all the stake-holders, and make its recommendations to the Commission, including those on revision of budget, if required, further release of grant, etc. Subsequent installment of grant will be sanctioned to the Universities on the basis of the recommendations of the Monitoring Committee.

### **Step No. 10.4**

At the end of the five year period, the University shall be reviewed for a summative evaluation by the Subject Expert Committee followed by such an evaluation by the Monitoring Committee. The Standing Committee shall consider both the reports and make recommendations about further continuation of assistance to the University for the next phase under the Scheme. The recommendations of the Standing Committee shall be placed before the Commission for taking a final decision.

## **11. WITHDRAWAL OF THE UPE STATUS**

- 11.1 If, as a result of the periodic review, it is found that the university is not performing well, a six-month notice shall be given to it for improvement. If the Monitoring Committee is satisfied (either by visiting the university or otherwise) that the University has not made progress or has not shown results as per the Action Plan even after the six-month notice period, the status of UPE and privileges attached to it may be withdrawn. In such a case, either the University may have to refund the financial assistance given to it under the Scheme along with penal interest, or the amount may be adjusted against the grant paid or payable to the University under other schemes.
- 11.2 Once the UPE status of a University is revoked, it can be revived if the University improves its performance to the extent required, provided that no revival shall be made after a period of two years from the date of revocation.
- 11.3 The UPE status shall also be revoked if the information and data supplied by the University to claim the UPE status is subsequently found to be incorrect. In such a case, the University shall have to refund the entire amount released to it under the Scheme to the UGC with penal interest. The University shall be blacklisted and shall not be allowed to participate in any scheme of the UGC.

- 11.4 The UPE status shall also be revoked in case of misappropriation and misuse of funds. In such a case, the University shall have to not only refund the entire amount released to it under the Scheme to the UGC with penal interest, but also face appropriate legal action which may be taken by the UGC. The University shall also be blacklisted and shall not be allowed to participate in any scheme of the UGC.

## **12. ASSISTANCE TO UPE UNIVERSITIES OF PREVIOUS PLAN PERIODS**

The Universities identified as UPEs during IX Plan and X Plan periods shall be evaluated through Expert Committees. Based on the evaluation reports, they shall be assisted during XI Plan period. However, in such cases the quantum of assistance shall be restricted to Rs.25.00 Crores only.



## APPLICATION FOR SUPPORT FROM THE UGC UNDER THE UPE SCHEME

1. a) Name and address of the University:  
b) Website address of the University:

2. Year of establishment

3. Type of University: -

- Institution of National Importance
- Central unitary
- Central affiliating
- State unitary
- State affiliating
- Deemed to be University

3. Communication Details:  
(a) Office

Particulars	Area/ code	STD	Tel. Landline/Mobile	No.	Ext. No	Fax	E-mail
Vice-Chancellor:							
Pro-Vice-Chancellor (s):							
Registrar:							
*Coordinator for UPE Scheme:							
*Deputy Coordinator:							

(b) Residence

Particulars	Area / code	STD	Tel. No.(s)	Fax	E-mail
Vice-Chancellor:					
Pro-Vice-Chancellor(s):					
Registrar:					
*Coordinator for UPE Scheme:					
*Deputy Coordinator:					

4. Date of Accreditation by NAAC

5. Accreditation details: -

a) Grade:

b) CGPA:

c) Grading system followed:

6. Whether IQAC functions regularly Yes/No

7. Whether prepared yearly Report of Quality sustenance and enhancement Yes/No

8. Details of Departments:

Total No. of Departments	Total No. of Departments participating under	
	SAP	National facility

9. Names of SAP Departments, their thrust areas and National Facilities

- 
- Notes: 1) Unless mentioned specifically, give only the data pertaining to the University and its departments, excluding the affiliated colleges.  
2) If the information to be provided is lengthy, a separate sheet may be added.

## A ACADEMIC ACTIVITIES DESCRIPTION

### 1.0 ACADEMIC PROGRAMMES

1.1 Current number of academic programmes/courses offered within the University under the following categories: (Enclose the list of academic programmes offered)

Programmes	Number
UG	
PG	
Certificate course	
Diploma	
PG Diploma	
M.Phil.	
Ph.D.	
Any other (specify)	

1.2 Give details of the self-financing courses offered by the University.

Programme	Level of Study	Cut off marks at entry level in %	Student Strength during the current year	Income generated
		Grand Total		

1.3 Temporal plan of academic work in the University (Tick the ones applicable)

Semester system

Annual system

Choice based credit system

Any other (specify)

1.4 Total No. of students of the University who have passed the following Competitive examinations in the last five years:

- a) UGC - CSIR (NET) :
- b) UGC - SLET :
- c) GATE :
- d) Indian Civil Services :
- e) GRE :
- f) TOEFL :
- g) GMAT :
- h) Any other (specify) :

1.5 No. of students of the University qualified in the UGC-CSIR/GATE examinations and who have registered for research in the University during the last five years.

## 2.0 TEACHERS

- 2.1 Total number of sanctioned posts :  
 2.2 Total number of filled up posts :  
 2.3 Total number of vacancies :  
 2.4 Percentage of vacancies to the sanctioned post :  
 2.5 Category-wise No. of Teaching Staff: :

Category	Female	Male	Total
SC			
ST			
OBC			
PH			
General			
Total			

SC- Schedule Caste

OBC- Backward Class

ST- Schedule Tribe

PH- Physically Handicapped

- 2.6 Number of permanent and temporary members of the teaching staff at present:

Particulars	Female	Male	Total
TOTAL NO. OF PERMANENT TEACHERS			
No. of teachers with Ph.D as the highest qualification			
No. of teachers with M.Phil. as the highest qualification			
No. of teachers with PG as the highest qualification			
TOTAL NO. OF TEMPORARY TEACHERS			
No. of teachers with Ph.D as the highest qualification			
No. of teachers with M.Phil. as the highest qualification			
No. of teachers with PG as the highest qualification			

TOTAL NO. OF PART-TIME TEACHERS			
No. of part-time teachers with Ph.D as the highest qualification			
No. of part-time teachers with M.Phil. as the highest qualification			
No. of part-time teachers with PG as the highest qualification			
Total No. of visiting teachers			

Last year    Previous year

2.7    Ratio of full-time teachers to part-time/contract teachers:

2.8    Percentage of classes taught by full-time teachers:

2.9    No. of teachers having at least a one-step higher qualification than the mandatory minimal level:

2.10    No. of teaching staff recruited during the last five years:

Year	From the Same State		From Other States
	Same Institution	Other Institutions	
2002-03			
2003-04			
2004-05			
2005-06			
2006-07			

2.11 Furnish the following data regarding the recruitment of University teachers during the last two years:

Category	Year, Month and Date of			
	Advertisement	Appointment of Selection Committee	Selection Committee meeting	Dispatch of appointment letter to candidates
(i) Govt. Aided				
(ii) Self Supporting Courses				

2.12 Facilities available and activities undertaken to enable the teachers keep abreast of recent developments in their subject area.

2.13 No. of beneficiaries of significant innovations in teaching - learning, introduced by the University during the last three years (Give details indicating unique features):

Year	Number of students benefited under the programmes organized by		Total No. of beneficiaries (total of columns 2 and 3)	Total population in the area covered by the jurisdiction of the University	Coverage ratio (column 4 divided by column 5)
	The University	Other agencies			
1	2	3	4	5	6
Current					
Last Year					
Year before last					

2.14 No. of teachers inducted in the use of computer, information technology and such support services during the last three years:

2.15 Does the University follow self-appraisal method to evaluate teachers on teaching, research and work satisfaction?

Yes  No

If Yes, how is the self-appraisal of teachers analysed and used?

2.16 Does the University have a mechanism (other than self-appraisal) to evaluate teachers on teaching, research and work satisfaction, like the following?

Peer review

Yes  No

Students' evaluation

Yes  No

Others (specify)

Yes  No

2.17 What are the national and international linkages established for teaching and Research?

2.18 Details of beneficiaries of linkages:

Category	No. of Beneficiaries	
	National	international
Teachers		
Students		
Researchers		

2.19 No. of teachers getting awards during the last five years:

- National :
- International :

2.20 Any other highlights.



### 3.0 NON-TEACHING STAFF

3.1 Number of members of the non-teaching staff of the University at present:

Particulars	Female	Male	Total
Administrative staff Group – A Group – B Group – C Group – D Sub-Total			
Technical staff Group – A Group – B Group – C Group – D Sub-Total			
Grand Total			

3.2 No. of Non-Teaching staff Category-wise:

Category	Female	Male	Total
SC			
ST			
OBC			
PH			
General			
Total			

3.3 Ratio of teaching staff to non-teaching staff for last two years:

#### 4.0 STUDENT ENROLMENT AND STUDENT SUPPORT

4.1 Number of students enrolled in the University for the current academic year according to regions and countries:

Particulars	UG			PG			M.Phil			Ph.D			Diploma (other than self financing)			Certificate (other than self financing)			Self Financing			Grand Total		
	M	F	T	M	F	T	M	F	T	M	F	T	M	F	T	M	F	T	M	F	T	M	F	T
No. of students from the same State where the University is located																								
No. of students from other States																								
No. of NRI students																								
No. of overseas students excluding NRIs																								
Grand Total																								

M - Male, F - Female, T - Total

4.2 Category-wise No. of students:

Category	Female	Male	Total
SC			
ST			
OBC			
PH			
General			
Total			

4.3 Ratio of non-teaching staff to students:

4.4 Details of the latest two batches of students admitted:

Particulars	Batch 1			Batch 2		
	Year of entry:			Year of entry:		
	UG	PG	Total	UG	PG	Total
No. admitted to the programme						
No. of Drop-outs <ul style="list-style-type: none"> <li>• Within four months of joining</li> <li>• Afterwards</li> </ul>						
No. appeared for the final year examination						
No. passed in the final Exam.						
No. passed in first Class						

4.5 Does the University provide bridge/remedial courses to the educationally disadvantaged students?

Yes  No

If yes, give details of beneficiaries.

4.6 No. of students who have received financial aid (from State and Centre separately) during the last two years:

Year	No. of beneficiaries
Last year	
Year before last	

## **5.0 ADMISSION PROCESS**

5.1 How are students selected for admission to various courses?

- a) Through special entrance tests
- b) Through interviews
- c) Through their academic record
- d) Through combination of the above

**6.0 DISTANCE EDUCATION PROGRAMME**

6.1 Does the University offer a distance education programme?

Yes  No

6.2 If Yes, indicate the details of the following:

- a) No. of courses offered :
- b) No. of courses approved by DEC :
- c) No. of full time teachers :
- d) No. of part time teachers :
- e) No. of non-teaching staff :
- f) No. of study centres :

6.3 Indicate the following:

- a) Mode of conduct of Courses :
- b) Nature of support services :

6.4 Give the following details :

Name of the course	No. of Students admitted	Revenue generated
Total		

## 7.0 RESEARCH, CONSULTANCY AND EXTENSION

7.1 No. of teachers actively involved in research:

- Guiding M.Phil / Ph.D
- Operating Research Projects
- Offering Consultancy
- Operating externally funded Projects

7.2 Give details of

(a) Research projects funded and completed during last 5 years

(b) Ongoing research projects

7.3 Major research facilities developed and available on the campus:

7.4 Details of facilities in the Central library for research:

- No. of Books :
- No. of Reference Volumes :
- No. of Special Journals :

7.5 Total number of research students currently registered for Ph.D.:

- Full-time :
- Part-time :

7.6 Details of special series of lectures organized at the University level:

7.7 No. of the full-time research scholars having fellowships/scholarships such as JRF/SRF:

7.8 No. of post doctoral fellows currently working in the University:

7.9 No. of the post-doctoral fellows having Ph.D. degree of other Universities:

7.10 Is there a separate research committee to facilitate and monitor research?

Yes  No

If Yes, give details.

7.11 Furnish the following data for last 3 years

a) Research papers published by the teachers in refereed journals and periodicals

- International :
- National :
- Average Impact Factor  
of the papers published :

b) Patents, if any (give details) :

c) Number of books published :

d) Number of Ph.Ds awarded :

e) Awards/recognition for research work:

- International :
- National :

7.12 Does the University publicise the expertise available for consultancy services?

Yes  No

If Yes, give details of areas of expertise, channels of publicising, and the kind of response received during the last three years.

7.13 Does the University have Industry linkage? If yes, give details.

7.14 List the broad areas of consultancy services provided by the University during the last three years.

7.15 Give particulars of the finance generated through consultancy services by the teachers during the last three years.

7.16 Provide details of the awards / recognition by the University teachers for consultancy work during the last three years

- International :
- National :

7.17 Does the University have a designated person for extension activities?

Yes  No

If Yes, indicate the nature of the post:

Full-time

Part-time

7.18 Provide details of special lectures, if any, organized by the University for the community.

7.19 Tick the broad areas of the various extension activities of the University:

- |                                   |                             |
|-----------------------------------|-----------------------------|
| i. Community development          | ii. Social work             |
| iii. Health and hygiene awareness | iv. Medical camp            |
| v. Adult education and literacy   | vi. Blood donation camp     |
| vii. AIDS awareness               | viii. Environment awareness |
| ix. Any other (Specify)           |                             |

7.20 How does the University organize the extension activities? Give details.

7.21 Does the University have an IPR cell? If yes, give details. If no, what steps are being taken to establish the same?

7.22 Any other highlights.



## B Organization Description

### 8.0 COMPONENTS OF THE UNIVERSITY

8.1 Furnish the following details:

Particulars	Number
University Departments	
Affiliated Colleges	
Government funded Colleges	
Self financing Colleges	
Constituent Colleges	
Autonomous Colleges	
Non-Autonomous Colleges	
Post-Graduate Teaching Centres	
Recognised Research Institutes / Centres	
Aided Colleges	

8.2 Autonomous Departments of the University:

8.3 Mechanism provided for the effective implementation of Autonomous colleges Scheme:

8.4 For each department in the University please provide the following details during the last year:

Sl. No.	Name of the department	No. of Teachers	No. of Students

8.5 Total number of institutions affiliated to the University:

Particulars	Number
Liberal Arts	
Science	
Commerce	
Professional	
Law	
Medicine	
Engineering	
Education	
Management	
Agriculture	
Others (pl. specify)	
<b>Total</b>	

8.6 What is the mechanism to meet the developmental needs of the affiliated institutions?

8.7 How often is the functioning of the affiliated institutions inspected and supervised?

When was the exercise done last?

What action is taken based on such exercise?

Provide details of University teachers assisting Colleges in teaching Labs etc.

8.8 Has the University conducted an academic audit of its affiliated colleges?

Yes  No

If Yes, give details regarding frequency and its usage.

If no, give reasons for not doing academic audit.

8.9 How often is the curriculum pertaining to the affiliated institutions updated and diversified?

If it is more than 3 years, indicate the reasons.

8.10 Does the University have provision to grant autonomous status to the affiliated institutions?

Yes  No

If No, why the provision has not been introduced?

8.11 Furnish data about the number of students enrolled in the affiliated institutions for the current year:

Particulars	UG		PG		Total	
	Professional	Non-Professional	Professional	Non-Professional	Professional	Non-Professional
Students from the same State where the University is located						
Students from other States of India						
NRI students						
Other overseas students excluding NRIs						
Grand Total						

8.12 Furnish data regarding the number of students in affiliated institutions for the current year:

Particulars	M. Phil	Ph.D	Diploma	Certificate	Total
No. of students from the same State where the University is located					
No. of students from other States					
No. of NRI students					
No. of overseas students excluding NRIs					
Grand Total					

8.13 Provide details of mechanism, if any, for the institutions affiliated to the University to give feedback and interact.

8.14 What is the scheme / system of examination in practice for the affiliated institutions?

8.15 Does the University maintain constituent college(s)? If yes, give following details:

a) Type of Colleges :

b) Budget :

c) No. of Teaching staff :

d) Non-teaching staff

e) No. of Courses offered :

f) No. of Students :

8.16 Give the details of the processes involved in restructuring the UG courses to make them socially relevant and / or job oriented.

8.17 How long has the current system of evaluation been in practice?

8.18 Give details of the number examinations conducted per year, and the number of question papers set, examination drafted, etc.

8.19 Give details of Question Banks developed:

a) Subject(s) :

b) No. of Items/Questions :

c) Field / Testing etc. :

8.20 What methods of evaluation of answer scripts does the University follow ?

8.21 Mention the number of malpractice cases reported during the last 3 years and how they are dealt with.

8.22 Does the University provide the photocopy of answer scripts to students?

Yes  No

If Yes, when this practice was started?

If yes, do they give photocopy of any paper to any student?

8.23 Has the examination system been computerized?

Yes  No

If yes, at what level computerization has been done.

If No, the reasons for not doing so.

8.24 Does the University have a College Development Council (CDC)?

Yes  No

If Yes, give the details of its structure and functions.

If No, why it has not been constituted?

8.25 Does the University have an Academic Staff College? If yes, give the details of the courses it offers.

## 9.0 ACADEMIC AND PHYSICAL INFRASTRUCTURE

9.1 Give the following details:

- No. of laboratories :
- No. of Research Labs. :
- No. of class rooms :
- No. of workshops :

9.2 Tick the support services available in the University from the following list:-

- |                          |                          |
|--------------------------|--------------------------|
| Central library          | <input type="checkbox"/> |
| Departmental Libraries   | <input type="checkbox"/> |
| Computer center          | <input type="checkbox"/> |
| Internet Facility        | <input type="checkbox"/> |
| Health center            | <input type="checkbox"/> |
| Sports facilities        | <input type="checkbox"/> |
| Press                    | <input type="checkbox"/> |
| Workshop                 | <input type="checkbox"/> |
| Hostels                  | <input type="checkbox"/> |
| Guest house              | <input type="checkbox"/> |
| Housing                  | <input type="checkbox"/> |
| Canteen                  | <input type="checkbox"/> |
| Grievance redressal cell | <input type="checkbox"/> |
| Placement Cell           | <input type="checkbox"/> |
| Non-resident centre      | <input type="checkbox"/> |
| ICT as learning resource | <input type="checkbox"/> |
| Any other (specify)      | <input type="checkbox"/> |

## 10.0 INFRASTRUCTURE AND LEARNING RESOURCES

10.1 How does the University assess the students' needs?

10.2 How does the University assess its teaching, learning activities?

10.3 How does the University plan to augment its infrastructure to keep pace with academic growth?

10.4 How does the University ensure maintenance of its infrastructure facilities?

10.5 Are there departmental libraries for the use of teachers and students?

Yes  No

If Yes, give details of utilization.

10.6 Apart from classroom instruction, what are the other avenues of learning provided for the students? (Example: Projects, Internships, Field trainings, Seminars, etc.)

10.7 How does the University ensure optimum use of its infrastructure facilities?

10.8 Does the library provide the following facilities to the students? Indicate the frequency of utilization against each?

- Reprographic facilities :
- Computers :
- Audio & Video Cassettes :
- Internet facility :
- Any other (specify) :

10.9 Is there is a central computer facility in the University? If yes, give the following details:

- Number of computers and services :
- Configuration and other hardware and software details :
- No. of PC's per hundred students :
- No. of PC's for teachers :
- Working hours :
- Training for University personnel :
- Developing computer-aided learning packages, software for administration / accounts, etc. :
- Frequency of Utilization of the central computer facility :

10.10 Does the University make use of INFLIBNET / IUC /similar facilities?

Yes  No

If Yes, give details of usage.

If No, why?

10.11 Does the University have a Health Centre? If yes, give details of the staff structure, and of the facilities available there. Give details of usage.

10.12 Give details of health care facilities available in the University:

Facility	Category catered to		
	Teachers	Students	Non-teaching Staff
a) Compulsory General check up			



b) Maintenance of health records in respect of  c) Compulsory health insurance			
--	--	--	--

10.13 What are the physical and infrastructure facilities available in the sports and physical education centre?

10.14 Give the No. of awards won by students for the last three years at the

Regional Level	State Level	National Level	International Level

## **C GOVERNANCE SYSTEM**

### **11.0 GOALS AND OBJECTIVES**

- 11.1 State the Vision and Mission statement of the University.
- 11.2 What are the goals and objectives of the University and where are they stated?
- 11.3 How is the University geared to achieve its specific goals and objectives?
- 11.4 What major considerations (viz, education; training; employment; access; equal opportunities) are addressed by the goals and objectives?
- 11.5 Are the major considerations of the goals and objectives prioritized? If so specify.
- 11.6 How are University's mission and goals reflected in the curricula?
- 11.7 What is the range of programme options available to the students for awarding degrees, certificates and diplomas?
- 11.8 How often are the existing curricula for a subject reviewed and updated in the University?
- 11.9 Indicate the mechanisms used out of those listed below for formulating the curricular content of new programmes. In respect of Committees/Bodies, indicate also how often they meet:
- a) Regular Boards of Studies :
  - b) Expert committees :
  - c) National curricula :
  - d) Feed back from peers :
  - e) Any Other (specify) :

## 12.0 ORGANIZATION, GOVERNANCE AND MANAGEMENT

12.1 (a) Give the organisational structure, and the details of the units (Planning Board, Academic Council, Purchase Committee, etc.) along with their functions.

(b) Give illustration of empowerment achieved by these committees in governance.

12.2 What efforts were made by the University to improve the functioning of organisation and management? Give details.

12.3 Specify how many plan proposals were initiated and implemented during the last three years?

12.4 How long does it take to introduce a new programme of study after it has been conceptualised?

12.5 How long does it take to announce the results after completion of examinations?

12.6 How long does it take to award degrees after the announcement of results?

12.7 How long does it take to complete the evaluation of Ph.D thesis after it is submitted?

12.8 How is the academic calendar prepared each year? How does the administration ensure the regular implementation of the academic calendar?

12.9 How does the University ensure the implementation of the reservation policy?

12.10 Does the University maintain confidential reports of the administrative staff?

Yes  No

If yes, how are the reports analyzed and used?

If No, why?

- 12.11 Tick the appropriate grievance redressal mechanism of the University.
- The University has an effective mechanism to use student feedback for the quality enhancement.
  - The prospectus of the University gives clear guidance to students about admission and completion requirements for all programmes, the fee-structure and refund policies, financial aid and student support services.
  - The University offers competent academic counseling and placement services to its students.
  - Financial aid to students is fairly distributed.
  - The University promptly attends to the general Grievances and women's Grievances.
- 12.12 What are the initiatives taken by the University for administrative staff development programmes?
- 12.13 What is the basis for fixing the tuition fees? Give details.
- 12.14 If there were changes in the tuition and other fees during the last three years, give details.
- 12.15 Has the University adopted any mechanism/ process for internal quality checks?
- Yes  No
- If Yes, give details.
- 12.16 Is the University sensitised to the latest managerial concepts such as strategic planning, team-work, decision making and computerisation?
- Yes  No
- If Yes, how?
- 12.17 How does the University strengthen the regular academic programmes through other complementary systems like self-financing courses, non formal mode and distance education?
- 12.18 What are the practices of the University to impart value based education?
- 12.19 How does the University inculcate civic responsibilities among the students?

12.20 What are the University's efforts towards all round personality development of the learners?

12.21 What are the University's efforts to bring in "community orientation" in its activities?

12.22 Indicate the efforts to promote general / transferable skills among the students such as

- a. Capacity to learn
- b. Communication skills
- c. Numerical skills
- d. Use of information technology
- e. Work as a part of a team and independently.

12.23 What percentage of the members of the Boards of Studies (BOS), or such other academic committees, are external? Enclose the guidelines for BOS or such other Committees.

12.24 Are there other strategies to review academic programmes besides the Academic Council?

Yes  No

If yes, give details about what, when and how often are such reviews made?

12.25 To what extent laboratory work, field work and projects are incorporated in each of the programmes of study?

12.26 Furnish details of the following aspects of curriculum design:

- a) Innovation such as modular curricula
- b) Inter/multidisciplinary approach

12.27 How many cases under the RTI Act have been received by the University during the last one year?

How many were given information?

In which areas the information could not be provided ? (please give details and reasons thereof).

12.28 Any other highlights.

### 13.0 BEST PRACTICES

13.1 Furnish the following details (in figures) for the last three years:

Detail	Latest year	Previous year	Previous to previous year
No. of Working days of the University			
No. of Working days of the library			
No. of Teaching days of the University			
No. of Books in the library			
No. of Journals/periodicals subscribed by the library <ul style="list-style-type: none"> <li>• National:</li> <li>• International:</li> </ul>			
No. of Computers in the University			
No. of Research projects <ul style="list-style-type: none"> <li>• Completed</li> <li>• their total outlay</li> </ul>			
No. of <ul style="list-style-type: none"> <li>• ongoing research projects</li> <li>• their total outlay</li> </ul>			
No. of Teachers who have received national recognition for <ul style="list-style-type: none"> <li>• Teaching</li> <li>• Research</li> <li>• Consultancy</li> </ul>			
No. of Teachers who have received international recognition for <ul style="list-style-type: none"> <li>• Teaching</li> <li>• Research</li> <li>• Consultancy</li> </ul>			
No. of Teachers who have attended international seminars/workshops			

No. of Teachers who were resource persons <ul style="list-style-type: none"> <li>• at national seminars/workshops</li> <li>• at International seminar/workshops</li> </ul>			
Whether academic calendar was followed or not			
No. of copies of answer scripts given to the students			
No. of cases of ragging  Action taken on them			

13.2 Does the University have collaborations/linkages with National/International institutions?

Yes  No

If Yes, list the MoUs signed and furnish the important details of those collaborations.

National	International

13.3 What is the admission policy of the University with regard to overseas students?

13.4 Has the University produced e-learning materials for the development of teaching/learning? If yes, give details regarding the courses covered, No. of units covered, etc.

13.5 Does the University follow choice based/credit system? If yes, at which level and for which courses this is being implemented? If not, what efforts are being taken to introduce the choice based/credit system?

## 14.0 EXAMINATION & EVALUATION

14.1 Does the University monitor the overall performance of students to ensure the achievements of the course objectives?

Yes  No

If Yes, give the mechanism and other details.

If No, why it is not in place?

14.2 What type of evaluation method is currently being followed?

14.3 How long has it been in practice?

14.4 During the last 5 years, how many times has the method of evaluation been changed?

14.5 Does the University have a Continuous Internal Evaluation (CIE) system?

14.6 How are the question papers set to ensure the achievement of the course objectives?

14.7 State the policy of the University for the constitution of board of question paper setters, board of examiners and invigilators.

14.8 How regular and time-bound are conduct of examinations and announcement of results? Substantiate with details of dates of exams. and announcement of results for the last 5 years.

Year	Date of exams	Date of announcement of results



## 15.0 STUDENTS' FEED BACK AND COUNSELLING

15.1 Pass percentage after the minimum period of study

15.2 Drop out rate

15.3 Does the University collect teaching and campus environment feedback from students regularly?

Yes  No

If Yes, what was the major feedback from students of last year? How was it used?

15.4 Does the University publish its updated prospectus annually?

Yes  No

If Yes, what are the contents of the prospectus?

15.5 Do the students get the benefit of academic and career counselling?

Yes  No

If Yes, give details.

15.6 To what extent do teachers participate in academic and personal counselling?

15.7 Does the University have a Placement Cell and a Placement Officer who offers career-counseling services to students?

Yes  No

If Yes, describe their roles.

15.8 How many students were gainfully employed through placement services during the last year?

15.9 Does the Placement Cell encourage students to be self-employed?

Yes  No

If yes, how many are self-employed during the last three years.

15.10 How are the prospective students informed about the criteria for admission, rules & regulations, facilities available, etc?

## 16.0 BUDGET

16.1 Give a summary of the last annual budget of the University with details of plan and non-plan revenue / expenditure (Attach separately).

16.2 What is the University's 'unit cost' of education? [unit cost = total annual expenditure (budget accruals) divided by the number of students enrolled] Unit cost calculated excluding the salary component may also be given.

16.3 What percentage of the total budget is allocated to the academic programmes?

16.4 Furnish the amount spent under the various heads of expenditure last year.

Head of expenditure	Budget provided	Amount spent	Reasons for unspent balance, if any

16.5 Amount generated through self financing courses:

## D ORGANIZATIONAL CHALLENGES

**Give brief notes on:**

1. Problems of linking academic programme to National Goals
2. Constraints in preparing students for National & International occupations
3. Problems of inculcating ethics of values among students, teachers & non-teaching staff
4. Handicaps in utilization of ICT resources
5. Problems in mobilizing budgetary resources on a predictable basis
6. Problems in enhancing quest for higher levels of performance in Teaching and Learning.

**UNIVERSITY GRANTS COMMISSION**

Financial report for releasing 2<sup>nd</sup> and subsequent installment of grants approved by the Commission under the scheme "Universities with potential for excellence" during the XI Plan period.

1. Name of the University .....
2. Period for which the report is related .....
3. Name of the approved Item .....
4. No. and date of the UGC approval letter .....
5. Total amount approved including the University's share, if any .....
6. UGC share of approved amount: .....
7. Total expenditure actually incurred so far, including bills paid for work done or supplies received, excluding the amount for which orders have been placed or commitments entered into .....
8. UGC share of expenditure .....
9. Amount received from the UGC .....
10. Balance amount available with the University  
  - (a) Total .....
  - (b) Out of the UGC grant .....
11. Amount needed to meet expenditure likely to be incurred in the next six months. ....
12. Brief account of the steps taken by the University to implement the approved scheme and progress achieved so far. In case of a building project, the university should give brief description of construction work so far accomplished on a separate sheet of paper alongwith a certificate

that the construction of the building is being carried out in accordance with the plans and estimates accepted by the University Grants Commission duly signed by the Engineer/Architect and the Registrar.

.....  
.....  
.....

CERTIFICATE

Certified that inventories of permanent and semi-permanent assets created/acquired wholly or mainly out of the grants given by the University Grants Commission are being maintained in the prescribed form and are being kept upto date, and these assets have not been disposed off, encumbered or utilized for any other purpose.

Certified further that an amount of Rs..... as indicated in Col. 7 has been spent for the purpose for which it was sanctioned and in accordance with the terms and conditions laid down in the Commission's letter No. .... dated ..... and that all the terms and conditions have been fulfilled.

If as a result of check or audit objection, some irregularity is noticed at a later stage, action will be taken by the University to refund/adjust or regularize the objected amount.

Signature of Finance Officer

Signature of Registrar

Seal of University

**UNIVERSITY GRANTS COMMISSION  
LIST OF INFORMATION/DOCUMENTS REQUIRED FOR SUBMITTING  
VARIOUS BUILDING PROJECTS AND THE CAMPUS DEVELOPMENT**

1. Abstract of the estimates
2. PWD rate certificate
3. Two copies of the plan (blue print) and detailed estimates duly signed by the Engineer/Architect and countersigned by the Registrar.
4. Composition of Building Committee
5. A certificate from the Vice-Chancellor or the Registrar to the effect that the plan and estimates of the building have been approved by the Building Committee in conformity with the norms as suggested by the Commission and the rates are as per CSR of the region
6. A copy of the Building Committee resolution indicating the covered area in sq. meters, cost per sq. meter, basis of the estimates on the rates/schedule of rate, period for the completion of the project and likely date of starting the construction.
7. Land ownership and possession certificate from the Vice-Chancellor/ the Registrar.
8. Mode of construction viz. Contract, Departmentally or Deposit work by the PWD.
9. A certificate from the competent authority (Vice-Chancellor and Registrar) that the expenditure over and above the UGC grant, if any, will be met by the University from its own resources and the construction will not be delayed for want of funds.
10. A certificate from a competent structural engineer to certify about the structural soundness of structure to bear the load of the proposed building, in case it is going to be constructed upon the ground floor building now or in future.

Note: Building guidelines of the UGC as contained in General Development Plan shall be applicable for various Building projects of the Scheme particularly in the context of Architect fee, PWD verification charges, Civil work cost, etc. Buildings shall be disabled friendly i.e. barrier free for disabled persons with provision for ramps and toilets.

**PROGRESS REPORT FOR THE RELEASE OF FUNDS FOR  
BUILDING PROJECT(S) UNDER THE SCHEME  
"UNIVERSITIES WITH POTENTIAL FOR EXCELLENCE"**

..... University

1. Name of the Building :
2. No. and date of the Sanction :  
Letter of UGC approving the  
Scheme :
3. Total cost approved :
  - (a) Share of the UGC :
  - (b) Share of the University/  
State Government :
4. Total tendered cost accepted :
5. Date of starting the construction work :
6. Total amount received
  - (a) from the UGC and
  - (b) from the University/State Government against 3 above
7. Total expenditure actually incurred i.e. Bills paid for work done or supplies received
  - (a) against the UGC share
  - (b) against the University/ State Government share

8. Balance, if any,
  - (a) from the UGC share
  - (b) from the University/State Government share
9. Amount required to be released to meet the expenditure likely to be incurred in the next three/six months.

**Notes: 1.** In the case of a project involving construction work, a brief description of the construction so far accomplished may be given, and it may be certified that the plan has been accepted by the Commission.

**2.** Deviation, if any, should be clearly indicated. Its impact on the cost of construction should be specified.

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

If as a result of check or audit objection, some irregularity is noticed at a later stage, action will be taken to refund, adjust or regularize the objected amount.

Engineer/Architect

Registrar

- 
- NB/ This may not include any amount relating to orders placed or likely to be placed, commitments entered into or amount earmarked for specific items likely to be obtained in future



UNIVERSITY OF \_\_\_\_\_

UTILISATION CERTIFICATE

It is certified that the total grant of Rs.....  
..... (.....) including the University's share, if  
any, approved by the University Grants Commission for .....  
has been utilized by the University as per details given in the attached  
statement in accordance with the terms and conditions laid down by the  
University Grants Commission in its letter No .....  
dated ..... and that all the terms and conditions have been fulfilled  
by the University and the grant has been utilised for the purpose for which it  
was approved.

The University has contributed its matching share of Rs.....  
for completing of the above project (in case assistance from the Commission  
is available on sharing basis).

It is further certified that inventories of permanent and semi-permanent  
assets created/acquired wholly or mainly out of the grants given by the  
University Grants Commission as indicated above are being maintained in the  
prescribed form and are being kept up-to-date and these assets have not been  
disposed off, encumbered or utilised for any other purpose.

Signature .....  
Registrar

Signature .....  
Auditor

SEAL

- NB:**1 The Utilisation Certificate should be accompanied by audited  
statement of accounts indicating expenditure on various items.
- 2 The asset certificate is to be given only for grants approved for book,  
equipment, buildings and other non-recurring items.

**UNIVERSITY OF \_\_\_\_\_**

**COMPLETION CERTIFICATE**

It is certified that the construction of .....  
approved by the University Grants Commission under its letter No. F.....  
..... dated ..... has  
been completed on ..... at a cost of Rs.....  
in accordance with the plans approved by the University Grants Commission.  
The site has been properly cleared.

Signature of Engineer/Architect

Signature of the Registrar

Seal of University

**UNIVERSITY OF \_\_\_\_\_**

**ASSET CERTIFICATE**

It is certified that inventories of permanent and semi-permanent assets created/ acquired wholly or mainly out of the grants given by the University Grants Commission are being maintained in the prescribed form and are being kept up-to-date and these assets have not been disposed, encumbered or utilized for any other purpose.

Government Auditor/Chartered Accountant

Registrar (with seal)

UNIVERSITY OF \_\_\_\_\_

STATEMENT OF INCOME & EXPENDITURE

Audited statement of Income & Expenditure in respect of.....  
 ..... approved by the UGC vide letter No.....  
 dated.....

Income	Rs.	Expenditure	Rs.
1. Grants from UGC.....		1. Civil works cost..... including contingencies	
Grants from State .....		2. Water supply and..... sanitary installation	
Government			
University contribution .....		3. Electrification.....	
Others, if any .....		4. External Services.....	
		5. Architect's fee .....	
		6. Furniture, if any .....	
		.....	
Total .....			
Tota.....		Total.....	

Registrar (with seal)

(Signature of Chartered  
 Accountant/ Government  
 Auditor with seal)

**UNIVERSITY OF \_\_\_\_\_**

**UTILISATION CERTIFICATE**

(to be submitted alongwith the completion document)

Certified that the grant of Rs ..... (Rupees .....)  
sanctioned to ..... by the University Grants  
Commission vide their letter No. .... dated .....  
towards..... 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 irregularity is noticed at  
a later stage, action will be taken to refund, adjust or regularize the objected  
amount.

Registrar  
(with seal)

Chartered Accountant/Government Auditor