

## **XII PLAN GUIDELINES FOR UNIVERSITIES WITH POTENTIAL FOR EXCELLENCE (UPE)/UNIVERSITIES OF EXCELLENCE (UE) SCHEME**

### **1. PREAMBLE**

Striving for excellence is a continuous process which involves all stakeholders i.e. the faculty, students and the administrators. 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 standards in the world. This is a process of making the university sensitive 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 status of Universities with Potential for Excellence (UPE)/Universities of Excellence (UE) 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.

As a part of this effort, the UGC during the IX, X and XI Plan periods adopted a strategy to identify a few universities which had the potential to achieve excellence in teaching and research activities. This initiative is being continued during the XII 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.

Higher education in 21st century faces new global challenges worldwide, including in India. The context of knowledge has changed because of the dynamics of inter-related and inter-dependence phenomena in real world. The rise of inter-connected networks of knowledge facilitated by the new technologies has created huge wealth of knowledge. However, no single discipline will be able to generate adequate and complete knowledge about the inter-related phenomena and provide solution to the complex problems of the real world.

Therefore, UGC intends to identify some universities, from among the UPEs, which have already achieved excellence and innovation in teaching and research to a considerable extent and completed first/second phase under the Scheme and designate them as University of Excellence (UE). The UEs, in addition to striving to attain the broad objectives given below, will focus on inter-disciplinary innovative teaching and research and innovative programmes. These have to be real 'centres of knowledge creations' in addition to being 'centres of knowledge dissemination'. During the XII Plan, 03 such universities will be identified as UEs.

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

The main objective of the Scheme is to identify such universities which have made reasonable improvement in teaching and research activities and with sufficient funds being available to augment the infrastructure, can achieve excellence in their activities. The Scheme intends to make such 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 broad objectives of the Scheme are summarised below:

- (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 and innovation in teaching, learning, research and outreach programmes;
- (iii) 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;
- (iv) To promote academic programmes relevant to the social and economic needs of the nation in general and the region in particular;
- (v) To promote networking with other Centres/departments and laboratories in the country;
- (vi) To undertake any activity that may lead to excellence in all the domains listed above.

## **3. TARGET GROUP**

During the IX Plan period, 5 universities were selected under the Scheme, viz., J.N.U., Hyderabad University, Jadavpur University, Pune University and Madras University while 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 have been selected. These are Osmania University, Mysore University, Karnataka University, GND University, BHU and the University of Rajasthan.

During the XII Plan period, 10 more universities will be selected as UPE. Also 3 such of the universities which have completed/are completing first/second phase of UPE will be considered for upgradation to UE status during the second/third phase of the Scheme.

All universities including state private universities and self-financed deemed to be universities shall be eligible for being considered under the Scheme. However, financial assistance will be provided only to such universities which receive General Development Assistance from UGC.

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

The university aspiring for UPE/UE Status from UGC should have:-

- (i) accreditation by NAAC with Grade "A",
- (ii) well established and regularly functioning IQAC and
- (iii) evidence of regular high level research activities, quest of excellence, university-industry collaboration and community outreach

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

##### **(a) Quantum of Assistance**

- (i) The upper ceiling of financial assistance under the Scheme is Rs. 60.00 crores in the case of UPE status during any phase of the scheme. However, ceiling of assistance will be Rs. 100 crores if the university is conferred 'University of Excellence' (UE) status.
- (ii) 50% of the total allocation will be spent on one or two focused area(s) identified by the university and recommended by the Standing Committee and remaining 50% of the amount will be spent on holistic development of the university.

##### **(b) Purpose of Assistance**

Assistance under the Scheme will be provided mainly to enable the university to achieve excellence as per the objectives of the Scheme. However, following aspects will also be taken into account while using the UGC assistance:

- (i) Strengthening of focussed areas in which the university has already shown excellence.
- (ii) Promoting collaborative research projects cutting across the disciplines in the focused area(s). No individual projects will be awarded to any faculty member under the Scheme.
- (iii) Encouraging the departments not covered under the focused area(s) to undertake collaborative research project(s) under the holistic development.

In addition to the above, universities may spend the balance amount (available after spending on i, ii and iii above) on academic and physical infrastructure, books and journals, equipments, participation of teachers in academic conferences held within India or abroad, etc.

- (iv) Universities may re-appropriate grant to the tune of 5% of the total allocation after approval of the Advisory Committee. In no case, re-appropriation will be made for more than 5% of the total allocation.

## 6. TENURE

A university will enjoy the status under the Scheme for a maximum of three phases. The tenure of one phase of the Scheme will be for a period of five years which will be counted from the date of communication of award of UPE/UE status and may be extended, on the request of the university with sufficient reasons, by maximum of one year without any additional assistance.

## 7. INVITING APPLICATIONS UNDER THE SCHEME

Applications under the Scheme will be invited through UGC notification and announcements on the UGC Website [www.ugc.ac.in](http://www.ugc.ac.in).

## 8. COMPOSITION AND FUNCTIONS OF VARIOUS COMMITTEES

### (A) Standing Committee

A Standing Committee constituted by the Chairman, UGC, consisting of the following members, would recommend suitable names of universities to the Commission for the award of UPE/UE status under the Scheme:

Vice-Chairman, UGC	Chairperson of the Committee
One Commission member	Member
Two Academicians of repute (one from the Sciences and another from the Humanities or the Social Sciences)	Member
One person with a background of technology	Member
One eminent person connected with the National Laboratories	Member
One eminent person from industry	Member
One UGC Officer	Coordinating Officer

The Standing Committee will look into and frame the policy, procedures and other aspects of the Scheme. It will also undertake the following activities:

- (a) to prepare a scoring scale for the proforma to invite "Application for Support from the UGC under the UPE/UE Scheme" (ANNEXURE-I) from the universities aspiring for UPE/UE status.
- (b) to prepare a proforma for Action Plan (on Focused Areas and Holistic Development of the University) and Budget, which will be finalised by the Visiting Expert Committee in consultation with university authorities.
- (c) to score the proposals received in ANNEXURE-I and analyze the data.

- (d) to prepare a proforma for the Annual Report to be submitted by the selected universities.

If deemed fit, the Standing Committee may constitute a Sub-Committee of its members and may also co-opt external experts for the above purpose.

**(B) Visiting Expert Committee**

The Chairperson, UGC will constitute an Expert Committee consisting of educational experts on quality management, subject experts and one UGC officer for on-the-spot inspection in case of each of the universities screened by the Standing Committee. The size of the Committee will depend on (a) the size of the university to be visited and (b) subject specialization involved.

The Committee will visit the university and have discussions with all the stakeholders in the university and submit its recommendations which will be considered by the Standing Committee. If the Visiting Expert Committee recommends the case of the university for UPE/UE Status, it will also finalize the Action Plan and Budget of the University in consultation with the university authorities.

**(C) Mid-Term Review Committee**

There will be a Mid-Term Review Committee, constituted by the Chairperson, UGC, to assess the progress of the university under the Scheme. The university will be invited to make a presentation before the Committee at the UGC Headquarters after two years of implementation of UPE/UE status. The Committee will submit a Report in respect of each university. The Report of all the universities will be placed before the Standing Committee and subsequently before the Commission for continuation/discontinuation, as the case may be.

**(D) Final Review Committee:**

In the last year of the UPE/UE phase, a Review Committee, constituted by the Chairperson, UGC, shall visit each of the universities selected under the Scheme to review the performance and achievements of the university in the light of the objectives of the Scheme. This Committee will also recommend next phase of UPE/UE to the university concerned for consideration of the Standing Committee under the Scheme. However, any university will enjoy the status of UPE/UE for a maximum of three phases under the Scheme.

**(E) Advisory Committee**

There shall be an Advisory Committee for each of the UPE universities which will advise them on effective implementation of the Scheme in the light of its objectives. The composition of the Advisory Committee may be as follows:-

Vice Chancellor of the UPE University	Chairperson
Two experts to be nominated by the Chairperson, UGC (taking into account the focused area and research undertaken under	Member

the holistic development)	
Coordinators of the various Research Programmes.	Member
UPE Chief Coordinator designated by Vice-Chancellor	Member Secretary

The Advisory Committee will meet at least twice a year. The minutes of the meetings of the Advisory Committees will be placed before the Mid-Term Review Committee and later on, before the Final Review Committee.

## 9. PROCEDURE FOR SELECTION UNDER THE SCHEME

The selection of a university under the UPE/UE Scheme will be done as per the steps given below:

### Step No. 9.1

Application for conferment of the UPE/UE status will be submitted by the interested universities fulfilling the eligibility requirements in the prescribed format given in ANNEXURE-I to these Guidelines.

### Step No. 9.2

The Standing Committee will score the parameters from the proposal of the university.

### Step No. 9.3

Based on scores obtained by the universities, the Standing Committee will shortlist the universities for further evaluation.

### Step No. 9.4

The Visiting Expert Committees will visit the short listed universities, hold discussions with the university authorities, faculty, students and other stake- holders, discuss and finalize the Action Plan as well as the Budget. The Report of the Visiting Expert Committee will be placed before the Standing Committee.

### Step No. 9.5

The Standing Committee will consider the Report of the Visiting Expert Committee and make recommendations for consideration of the Commission regarding selection of universities for conferment of the UPE/UE status or otherwise, as the case may be.

## 10. PROCEDURE FOR RELEASE OF GRANTS UNDER THE SCHEME

The UGC will release 100% Non-recurring grant and 20% Recurring grant of the total allocation in the beginning itself. Thereafter, 20% of the Recurring grant will be released on annual basis subject to the receipt of the UC of the previous instalment

of the Recurring grant. However, the release of Recurring grant will be subject to a satisfactory report of the mid-term review of the university as and when held. The Non-recurring grant should be utilized within a period of 18 months from the release of grants and UC should be submitted to this effect.

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

### Step 11.1

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

### Step 11.2

The progress of implementation of the Scheme by the university will be monitored by the Advisory Committee which will meet at least twice a year.

### Step 11.3

A Mid-Term Review Committee will review and evaluate the implementation of the Scheme during the third year of the phase. If the Mid-Term Review Committee is not satisfied with the implementation of the Scheme, it will suggest measures and may also recommend dis-continuation of the scheme which will be considered by the Standing Committee and subsequently by the Commission.

### Step 11.4

At the end of the phase, the University will be reviewed for a summative evaluation by the Final Review Committee. The Final Review Committee will also consider the continuation/dis-continuation of the Scheme for the next phase i.e. UPE or UE as the case may be. The recommendations of the Expert Committee will be considered by the Standing Committee and subsequently by the Commission for a final decision.

## **12. WITHDRAWAL OF THE UPE/UE STATUS**

12.1 If, as a result of the mid-term monitoring or final review, the Commission is satisfied that the university has not effectively implemented the Scheme and produced results as per the objectives of the Scheme, it may withdraw the status from the university.

12.2 If the University does not apply for re-accreditation before expiry of the previous cycle of the accreditation or, as a result of accreditation, gets any grade less than A, the UPE/UE status will be withdrawn.

12.3 Once the UPE/UE status of a university is revoked due to any reason, it will not be revived. If the university aspires for the UPE/UE status again, its case will be considered afresh as per the guidelines in force at that time.

12.4 The UPE/UE status will also be revoked if the information and data supplied by the university to claim the UPE/UE 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 with penal interest.

12.5 The UPE/UE status will also be revoked in case of misappropriation and misuse of funds. In such a case, the university will have not only to refund the entire amount released to it under the scheme to UGC with penal interest, but also face other appropriate action(s) which may be taken by the UGC. The university will also be blacklisted and will not be allowed to participate in any scheme of the UGC.



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

1. (a) Name & Address of the University: .....
- (b) Website address of the University: .....
2. Year of establishment: .....
3. Type of University:
- Central unitary: .....
- Central affiliating: .....
- State unitary: .....
- State affiliating: .....
- State Private: .....
- Deemed to be university: .....

4. Communication Details:

**(a) Office**

Particulars	Area/STD Code	Tel. No. Landline/Mobile	Fax	e-mail
Vice-Chancellor				
Registrar				
Co-ordinator for UPE Scheme				
Deputy Coordinator				

**(b) Residence:**

Particulars	Area/STD Code	Tel. No. Landline/Mobile	Fax	e-mail
Vice-Chancellor				
Registrar				
Co-ordinator for UPE Scheme				
Deputy Coordinator				

5. Accreditation details:
  - a) Date of accreditation by NAAC:
  - b) Grade:
  - c) CGPA:
6. Whether IQAC is functioning regularly: Yes/No
7. Whether reports of quality sustenance and enhancement were prepared annually: Yes/No
8. Details of Departments:
  - 8(A) Name of departments with year of establishment:
    - 1.
    - 2.
    - 3.
  - 8(B) Name of departments getting assistance under SAP alongwith stage i.e. DRS/DSA/CAS and thrust areas:
    - 1.
    - 2.
    - 3.
  - 8 (C) Name of departments working like a National Facility.
    - 1.
    - 2.
    - 3.

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**Note:** Unless mentioned specifically, give only the data pertaining to the University and its departments, excluding the affiliated colleges.

If the information to be provided is lengthy, a separate sheet may be added.

**A. ACADEMIC ACTIVITIES DESCRIPTION**

1. Academic Programmes

1.1 Current number of academic programme/courses offered within the University under the following categories: (enclose the list of academic programme offered).

Programmes	Number of Programmes	Number of students enrolled
UG		
PG		
M.Phil.		
Ph.D.		
Certificate course		
Diploma		
PG Diploma		
Any other (please Specify)		

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

Programme	Level of Study	Students enrolled	Funds generated

1.3 Temporal plan of academic work in the University:

Semester System: .....

Annual system: .....

Choice based credit system: .....

Any other (please 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) SET:
- c) GATE:
- d) Indian Civil Service:
- 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. TEACHERS**

2.1 Total number of sanctioned posts:

2.2 Total number of filled up posts on regular basis:

2.3 Total number of filled up posts on adhoc/temporary basis:

2.4 Total number of vacancies:

2.5 Percentage of vacancies to the sanctioned post:

2.6 Category-wise No. of teaching Staff:

Category	Female	Male	Total
SC			
ST			
OBC			
PwD			
General			
Total			

2.7 Number of teaching staff qualification-wise as on date:

Particulars	Female	Male	Total
<b>PERMANENT TEACHERS</b>			
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			
<b>TEMPORARY TEACHERS</b>			
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			
<b>PART-TIME TEACHERS</b>			
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 visiting Teachers			

2.8 Ratio of Full-Time teachers to part-time/contract teachers as on date:

2.9 Percentage of classes taught by full-time teachers as on date:

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

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

Year	From the same State		From other State
	Same Institution	Other Institutions	
2008-09			
2009-10			
2010-11			
2011-12			
2012-13			

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

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

2.14 Does the university follow self- appraisal method to evaluate teachers regarding research and other activities.

Yes                                  No

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

2.15 Does the university have a mechanism (other than self-appraisal) to evaluate teachers on teaching, research and other activities like the following.

**Peer review**

Yes                                  No

**Students' evaluation**

Yes                                  No

**Other (specify)**

Yes                                  No

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

2.17 Details of beneficiaries of linkages:

Category	No. of Beneficiaries	
	National	International
Teachers		
Students		
Researchers		

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

- National :
- International :

2.19 Any other highlights:

### 3 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/MTS			
Sub- Total			
Technical Staff			
Group- A			
Group- B			
Group- C			
Sub- Total			
Grand Total.			

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

Category	Female	Male	Total
SC			
ST			
OBC			
PwD			
General			
Total			

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

#### 4. STUDENT ENROLMENT AND STUDENT SUPPORT

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

Particular	UG			PG			M-Phill			Ph.D			Diploma (other than self financing)			Certificate (other than self financing )			Self Financing (all courses)			Grant 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 NRI's																								
Grand Total.																								

4.2 Category-wise No. of students in current academic year.

Category	Female	Male	Total
SC			
ST			
OBC			
PwD			
General			
Total			

4.3 Ratio of non-teaching staff to students for the current academic year:



#### 4.4 Details of the 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. 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. 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/UGC :

c) No. of full time teachers :

d) No. of part time teachers :

e) No. of non-teaching staff :

f) No of study Centres :

(i) Within State

(ii) Outside State

6.3 Give the following details:

Name of the Course	No. of students admitted	Funds generated
Total		

## 7. RESEARCH, CONSULTANCY AND EXTENSION

7.1 No. of teachers actively involved in research:

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

7.2 Give details of:

- a) Research projects approved and completed during the last 5 years
- b) Ongoing research project approved during last 5 years.

7.3 Major research facilities developed and available on the campus (give specific information):

- 1) 3)
- 2) 4)

7.4 Details of facilities in the Central library for research:

- No of books
- No of 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 fellowship/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 facilities and monitor research?

Yes No

7.11 Furnish the following data for the last 3 years

- a) Research papers published by the teachers in referred journals and periodicals
  - International :
  - National :
  - Average impact Factor of the 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 publicizing, and the kind of response 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 funds 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

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 hygienic awareness | iv   | Medical camp            |
| v   | Adult education and literacy  | vi   | Blood donation camp     |
| vii | AIDS awareness                | viii | Environmental 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 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	
Recognized Research Institutes/Centres	

8.2 Mechanism provided for the effective implementation of Autonomous Colleges Scheme:

8.3 Total number of institutions affiliated to the University:

Particulars	Number
Arts	
Science	
Commerce	
Law	
Medicine	
Engineering	
Education	
Management	
Agriculture	
Others (please specify)	

8.4 What is the mechanism to meet the development needs of the affiliated institutions?

8.5 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?

8.6 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.

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

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

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

Yes No

If No, why the provision has not been introduced?

8.9 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						
Overseas students excluding NRI's						
Grand Total						

8.10 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					

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

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

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

- a) Number of Colleges :
- b) No. of Teaching staff :
- c) No. of Non-teaching staff :
- d) No. of courses offered :
- e) No. of Students :





## **9. 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 :
- Departmental Libraries :
- Computer center :
- Internet Facility :
- Health center :
- Sports facilities :
- Press :
- Workshop :
- Hostels :
- Guest house :
- Housing :
- Canteen :
- Grievance redressal cell :
- Placement Cell :
- Non-resident centre :
- ICT as learning resource :
- Any other (specify) :

## **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:

- 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 PCs per hundred students :

- No. of PCs 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. GOALS AND OBJECTIVES

11.1 State the Vision and Mission statements of the University.

11.2 What are the goals and objectives of the University and where are these 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 curricula 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) Feedback from peers :
  - e) Any other (specify) :

## **12. ORGANIZATION, GOVERNANCE AND MANAGEMENT**

- 12.1 (a) Give the organizational 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 conceptualized?
- 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, student support services and students entitlements.
- 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 and has appointed an Ombudsman.

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.

12.16 Is the University sensitized to the latest managerial concepts such as strategic planning, team-work, decision making and computerization?

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 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 Any other highlights.

### 13. BEST PRACTICES

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

Details	Latest Year	Previous Year	Previous to previous year
No. of Working days in the University			
No. of Working days in the library			
No. of Teaching days in the University			
No. of Books in the library			
No. of Journals/periodicals subscribed by the library • National: • International:			
No. of Computers in the University			
No. of Research projects  • Completed during last five years • their total outlay			
No. of • ongoing research projects • their total outlay			
No. of Teachers who have received national recognition for • Teaching • Research • Consultancy			
No. of Teachers who have received international recognition for • Teaching • Research • Consultancy			
No. of Teachers who have attended international seminars/workshops			
No. of Teachers who were resource Persons • at national seminars/workshops • at International seminar/workshops			
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. 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?





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 students 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 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 Funds 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 2nd and subsequent installment of grants under the Scheme "Universities with Potential for Excellence/Universities of Excellence" during the XII Plan period.

1. Name of the University .....
2. Period for which the report is related .....
3. Name of the approved Items .....
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. ....
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 one year.
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.

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

**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 Column 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.

Finance Officer  
(Signature with Seal)

Registrar  
(Signature with Seal)

**PROGRESS REPORT FOR THE RELEASE OF FUNDS FOR  
BUILDING PROJECT(S) UNDER THE SCHEME  
"UPE/UE"**

- ..... 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
    - (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 one year.

**Notes:** 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 approved as per the procedure adopted for GDA of UGC.

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  
(Signature with Seal)

Registrar  
(Signature with Seal)

**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.

Registrar  
(Signature with Seal)

Auditor  
(Signature with Seal)



**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  
(Signature with Seal)

Registrar  
(Signature with Seal)

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

**UTILISATION CERTIFICATE**

(to be submitted along with 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  
(Signature with Seal)

Chartered Accountant/Government Auditor  
(Signature with Seal)