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# HANDBOOK OF RUSA

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**Draft for Consultation**

# Structure for RUSA Handbook

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## **Chapter 1**

### **Introduction to RUSA**

#### **I. Introduction**

The success of Sarva Shiksha Abhiyan (SSA) and Rashtriya Madhyamik Shiksha Abhiyan (RMSA) laid a strong foundation for primary and secondary education in India, which led to an increase in demand for higher education. However, the sphere of higher education had yet not witnessed any concerted effort for improvement of access or quality. Over the years, there has been an unprecedented expansion in number of institutions and volume of students in the country. To take advantage of the demographic dividend, there was a need for a concerted effort which would improve the quality and relevance of higher education and result in an educated and productive workforce.

The XII Plan (2012-17) argued for a holistic approach to higher education with renewed focus on improving the Quality of State institutions, together with addressing the issue of Access & Equity. A strategic shift was needed in several critical areas ranging from issues of access and equity to teaching-learning process, research, governance, funding and monitoring; which could connect funding streams to specific outcomes & desired impact. Planning Commission recommended strategic utilization of central funds to ensure comprehensive and optimum planning at the State level.

In lieu of above, a new overarching Centrally Sponsored Scheme for funding State level Institutions was proposed called Rashtriya Ucchatar Shiksha Abhiyan (RUSA). It is an umbrella scheme to be operated in mission mode over the two plan periods (XII & XIII Plan), which seeks to mainly improve overall quality of existing State higher educational institutions. The scheme is implemented through a set of bodies with clearly defined roles and functions at the National, State and Institutional level.

#### **II. Background**

In a country with diverse higher education space, centrally funded institutions receive generous funding from the Centre but have a limited coverage in terms of enrolment. On the other hand, 94% of the students who are enrolled in government funded or government controlled private institutions come under the ambit of State higher education system, but their funding is only a fraction of that provided to Central Institutions. UGC mandate allows it to fund only a limited number of institutions that are UGC Section 12(B) and 2(f) compliant. Out of the 286 State universities, only 182 State universities are eligible for central assistance, which leaves a significant number of colleges and universities not eligible for UGC grants. Secondly, UGC is also not allowed to channelize funds through the State

Government or any other entity other than Institutions. Thus, States often complained about being unaware of the development funds that come to the State funded Institutions from Centre, making planning and funding very difficult for States.

Over the years, since the allocation to State Higher Education System was not enough, these meagre funds were thinly spread amongst many institutions, impacting the overall quality of infrastructure and teaching.

Hence, there was a need to establish a new institutional mechanism, which would make every stakeholder a partner in the process of higher education transformation. The strategic intervention came through a Centrally Sponsored Scheme called RUSA, which has a completely new approach towards funding State higher education Institutions. The allocation of funds under RUSA is based on well-defined norms & parameters and linked to academic, administrative and governance reforms. Future grants would be performance based and outcome dependent. The reforms initiated under RUSA would build a self-sustaining momentum that would push for greater accountability and autonomy of State institutions and impress upon them the need to improve the quality of education.

### **III. Approval Process of RUSA**

The Planning Commission's Approach Paper to 12<sup>th</sup> Plan had suggested formulation of a scheme in view of the need for comprehensive reforms in State higher education sector, which constituted the basis for formulation of RUSA.

The National Development Council (NDC) approved the Scheme as part of the 12<sup>th</sup> Plan. RUSA had subsequently also been included in the list of 66 Centrally Sponsored Schemes (CSS) approved by Cabinet on 20.06.2013 for implementation in the 12<sup>th</sup> Plan.

The Central Advisory Board on Education (CABE), which is the the highest advisory body of the Government of India in education on policy matters, constituted a Committee headed by the then Minister of State of HRD, which examined the issue of reforms in State higher education system. The CABE Committee in its report dated 19.10.2012 recommended a new scheme called the Rashtriya Uchchatar Shiksha Abhiyan, which would subsume all existing schemes in the State Higher Education sector and bring reforms, especially with respect to academic, affiliation, autonomy and accountability in the universities to address such issues in a comprehensive and integrated fashion. The CABE in its meeting dated 08.11.2012 accepted the recommendations and gave in-principle approval to the RUSA.

The Expenditure Finance Committee (EFC) in its meeting held on 11.09.2013 cleared the Ministry's proposal and the Cabinet approved RUSA in it meeting on 3<sup>rd</sup> October, 2013.

#### **IV. Salient Features of RUSA**

1. *Coverage:* The scheme would cover only the Government and Government aided State Higher Education institutions. Open universities and Institutions offering Medical, Agriculture, Veterinary, etc. disciplines are not covered under the ambit of RUSA. Also, uni-disciplinary institutions are given low priority under RUSA.
2. *Prerequisites:* In order to be eligible for funding under RUSA, States will have to fulfill certain prerequisites, which include the academic, administrative and governance reforms. The prerequisites are at two levels: commitments given by institutions to the States and commitments given by States to Center. Unless these commitments are fulfilled, the States and institutions will not be able to avail of grants under RUSA. The pre-requisites are detailed in Chapter 8.
3. *Bottom-up Approach:* RUSA would follow a “bottom-up” approach for planning and budgeting to address multiple and graded inequalities and promote need based planning. States would be encouraged to undertake strategic thinking and planning keeping future needs of the higher education in mind. Both demand side and supply side challenges would need to be addressed by the SHEPs.
4. *Subsuming existing schemes:* Two Centrally Sponsored Schemes of Model Degree Colleges and the Sub-mission on Polytechnics have been subsumed under RUSA. University Grants Commission (UGC) Schemes such as development grants for State universities and colleges, one-time catch up grants, etc. are dovetailed in RUSA. However, Individual oriented schemes (for teachers, students etc) would continue to be handled by UGC.
5. *Preparatory Grants:* Under the scheme, an initial preparatory amount would be provided to the State Government to enable them to create/ strengthen necessary institutional framework for complying with the a-priori requirements and commitments under RUSA. These funds can be utilized for setting up/ strengthening the SHECs, State Project Directorate and State Resource Centre; and undertake baseline surveys to help them in capacity building. The details of preparatory grant are captured in Chapter 6.
6. *Resource Envelope:* The resources allocated to a particular State for a given financial year is termed as the Resource Envelope. The allocation is based on a Fund Equalization formula described in Chapter 8. The resource envelope for a given financial year would consist of:

- Unspent Balance.
  - GoI Allocation proposed for the year.
  - State's share due for the year.
  - Interest accrued in RUSA account.
7. *IDPs & SHEPs*: All institutions are required to prepare their Institutional Development Plan (IDPs) for all components with financial proposals on parameters that capture their respective need based requirement. The State would aggregate the IDPs and integrate into State Higher Education Plan (SHEP) by superimposing the State relevant components. Each State must undertake baseline surveys and stakeholder consultations which should constitute the basis for preparing IDPs and SHEPs.
  8. *Appraisal of SHEPs*: The funding to States is made on the basis of critical appraisal of State Higher Education Plans done by Technical Support Group (TSG) at the Centre. The prioritization of components based on the resource envelope of the State is jointly done by the State and the TSG in a collaborative exercise, based on adherence to RUSA norms and State-specific needs. The prioritized components are jointly presented before the Project Approval Board (PAB) for approval.
  9. *Funding under RUSA*: All funding under the RUSA is norm based and future grants are outcome dependent. The central funding is strategic and based on SHEPs, which serve as a benchmark against which the performance of a State and its institutions are graded. Centre-State funding would be in the ratio of 90:10 for North-Eastern States, Sikkim, J&K, Himachal Pradesh and Uttarakhand and 65:35 (now revised to 60:40) for other States and Union Territories (UTs).
  10. *Flow of Funds*: The central funding would flow from MHRD to institutions, through the State Governments. The State Higher Education Council would be responsible for transfer of central share along with the matching State share to the approved institution.
  11. *State Higher Education Councils*: SHECs would be the key institution at the State level to channelize resources to the institutions from the State budget. They would undertake the process of planning and evaluation, in addition to other monitoring and capacity building functions.

## **V. Guiding Principles of RUSA**

RUSA is structured on certain inviolable guiding principles. The States are expected to keep these principles as guiding posts while formulating their State Higher Education Plans and developing their strategies.

### **1. Quality and Research Focus:**

RUSA focuses on better quality of State higher education Institutions. The aim is to achieve mass access to higher education with high quality standards. States must ensure that all its institutions adopt NAAC accreditation as mandatory quality assurance framework; and simultaneously seek to upgrade the overall academic quality by implementing reforms. States will be encouraged to promote research and innovation in their institutions. Since research focus can be judged both from input efforts and outcome indicators, the State Higher Education Plans are expected to have a rounded appreciation of both aspects. States and institutions are expected to honestly declare their present status in this area and outline specific strategies for improvement, including the use of ICT. There is a need to improve resource allocation for universities to enable good quality research & innovation. Criteria such as the number of research publications, impact factors of journals in which papers are published, citations, the amount of research funding attracted, etc., should be considered for faculty promotions.

### **2. Norm based and Outcome-dependent funding:**

The cornerstone around which RUSA is designed is that funding under the RUSA is norm based and future grants are outcome dependent. The central funding is strategic and based on SHEPs, which serve as a benchmark against which the performance of a State and its institutions are graded. The funding for the future is decided on the basis of level of past achievements and utilization of funds submitted to MHRD.

### **3. Incentivizing and dis-incentivizing:**

RUSA incentivizes and dis-incentivizes the State actions. Not only will compliance to rules, regulations and fulfillment of norms are supported by incentives; non-performance or non-fulfillment of prerequisites and norms invite reduced allocations for States and institutions. This is intended to make the scheme not only demand driven, but also competitive. The States and institutions are encouraged to compete with each other in order to reap benefits of competition based formulaic grants

### **4. Apolitical decision-making:**



Another basic tenet of RUSA is that the decision-making is done in an unbiased, apolitical and professional manner, on the basis of the SHEPs and the performance of States on the predefined parameters. The process of decision-making and its result are transparent and the methods of decision-making impartial. It is expected that States would also be as unbiased, apolitical and professional while planning and ushering governance reforms at the State level. In order to effectively implement these reforms the selection of leadership positions in State universities should take into account the imperatives of merit and performance.

## **5. Autonomy:**

Autonomy is an indispensable condition for quality and accountability. RUSA envisages greater autonomy of institutions in terms of decision making. The institutions will have full liberty to plan specific interventions depending on their special needs and requirements. Some key concerns in enforcement of university autonomy are as follows:

***Revisiting the Acts:*** There is a need to revisit the acts of various State Universities to see if there are some clauses detrimental to their autonomy.

***Streamlining the Recruitment Process:*** The universities must have the autonomy to recruit the most competent faculty as per the laid down procedures and purely on the basis of merit.

***Membership of Governing Bodies:*** A university is administered by its senior functionaries under the guidance of its statutory bodies such as the executive committee, syndicate, senate, etc. The persons to be nominated to these bodies must have specialized knowledge in the relevant disciplines and should not have conflict of interests in so far as decision making in the university is concerned. These bodies should predominantly consist of members from academic background.

***Institutional Leadership:*** It is the duty of the Vice-Chancellor to safeguard the university autonomy. The increasing trend of appointing civil servants as heads of educational institutions needs to be reviewed. Special RashtriyaUchchatarShikshaAbhiyan orientation programs or conferences on the management of universities should be organized to enable the Vice-Chancellors, Directors, Pro-Vice Chancellors, Deans, and Heads of Departments to hone their management skills.

## **6. Disclosure-based Governance:**

Disclosure based governance must be followed by institutions in terms of its decision and outcomes. RUSA envisages greater participation of all stakeholders, where the institutions are responsible for their quality not just to the regulatory authorities but also to the

students, parents and the society. A policy of full disclosure and clean governance are the first steps towards establishing such a system of higher education.

### **7. Equity based development:**

Equity-based development initiatives must form an essential part of any development or expansion plans, both at State & institution level. Any growth in the higher education sector must create equal opportunities for women, disadvantaged classes and the differently-abled. Also, development must have a greater focus on serving the rural and tribal areas. The plan appraisal process would take this aspect into account while deciding the allocations. Well-calibrated equity strategies must be built into the entire State planning process.

## **VI. Objectives of RUSA**

The major objective of RUSA is to enable and empower the States to develop sufficient capabilities to plan, implement and monitor initiatives for the higher education sector as a whole. The scheme aims to improve the quality of State Universities and colleges and enhance their existing capacities so that they become dynamic, demand-driven, quality conscious, efficient and forward looking and responsive to rapid economic and technological developments occurring at the local, State, national and international levels. The salient objectives of the scheme are enumerated as follows:

1. Improve the overall quality of existing State institutions by ensuring that all institutions conform to prescribed norms & standards and adopt accreditation as a mandatory quality assurance framework. This objective is a precondition for sanction of funds under all the components of RUSA.
2. Upgrade high potential existing colleges into Universities or Model Degree Colleges to upgrade their academic infrastructure and provide better teaching-learning environment to students. Component 1 provides for up gradation of an autonomous college in a university, Component 2 allows creation of a university by conversion of 4-5 colleges in a cluster and Component 5 enables up gradation of a college into Model Degree College (subject to adherence to RUSA norms)
3. Identify and fill critical infrastructure gaps in higher education by augmenting and supporting the efforts of the State Governments. Components 3 and 7 pertaining to infrastructure grants to universities and colleges address this objective, where funds

are sanctioned for upgrading the existing infrastructure by way of new construction, renovation or purchase of equipments.

4. Ensure adequate availability of quality faculty in all higher educational institutions. RUSA addressed this by way of component 10 on faculty recruitment, where the State is required to fill all the vacant sanctioned posts and claim funds under RUSA for additional posts to enable them achieve the student-teacher ratio of 1:20.
5. Facilitate research and innovation in the State higher educational institutions. Component 8 provides for this objective where State is required to furnish a detailed research and innovation plan.
6. Improve equity in higher education by providing adequate opportunities of higher education to SC/STs and socially and educationally backward classes; promote inclusion of women, minorities, and differently abled persons. Component 9 deals with this objective.
7. Achieve the target of GER of 32% by expanding the institutional base of States by establishing new institutions, in order to achieve high enrolment targets. Two components, viz. component 4: New Model Degree Colleges and component 6: New Professional Colleges enable States to create Greenfield institutions in its different districts, after complying with RUSA norms.
8. Usher transformative reforms in the State higher education system by creating an institutional structure for planning and monitoring at the State level (SHEC), promoting autonomy in State Universities and improving governance in institutions.
9. Correct regional imbalances in access to higher education by facilitating access to high quality institutions in urban, semi-urban and rural areas to get access to quality institutions. This objective is a precondition while deciding allocations for different districts of the State.
10. Commitment of States to undertake reforms: Academic (semester system, CBCS, curriculum development, etc.) and Examination (internal evaluation, end of semester evaluation) in the higher educational institutions. States can also undertake affiliation reforms by restricting the no. of colleges affiliated to a university to 100. Prerequisites, a set of a priori commitments required from the States ensure timely implementation of reforms under RUSA.

11. Clearly define the role of State Governments vis-à-vis State Higher Education Councils and Institutions. The objective is covered in detail in chapter 2.

## **VII. Scope of RUSA**

All State public universities and colleges (both 12B and 2(f) compliant and non-12B) from all States and Union Territories (UTs) across the country would be eligible to be covered under RUSA. Subject to eligibility, an estimated 306 State universities and 8500 colleges (only Government and Government aided) are covered under this initiative to improve the learning outcomes and scale-up research, development and innovations.

## **VIII. Funding Strategy**

RUSA is being funded through the Ministry of Human Resource Development (MHRD) with prescribed contribution from the State governments and Union Territories (UTs). The project cost in the public funded institutions for all sub-components will be shared between the Central Government and State governments in the ratio of 90:10 for North-Eastern States, Sikkim, J&K, Himachal Pradesh and Uttarakhand and 60:40 (revised since Nov, 2015 as directed by Expenditure Secretary) for Other States and UTs. The project is spread over two plan periods of XII and XIII Plans. The funding strategy is described in Chapter 8 of this handbook.

## **IX. Institutional Structure of RUSA**

RUSA would be implemented and monitored through an institutional structure comprising of bodies with clearly defined roles and powers at the central, State and institutional levels.

### **National level bodies**

RUSA Mission Authority is the Apex body at the national level. The Minister of Human Resource Development (MHRD) will be the Chairperson of the Mission Authority. The RUSA Mission Authority delineates overall policy and planning, reviews functioning of Project Approval Board (PAB) etc. The Secretary (Higher Education) chairs the PAB which approves SHEPs, assesses performance of States and institutions and approve release of funds. The National Project Directorate, which is embedded in the Ministry, is headed by the Joint Secretary (Higher Education) in his capacity as the National Mission Director. These two bodies are supported by the Technical Support Group (TSG) which examines and appraises SHEPs, monitors flow of funds and information and provides all operational, technical, logistical and managerial support.

### **State Level Bodies**

The scheme would be steered in each State/UT through State Higher Education Councils (SHEC). The SHECs would be supported in turn by the Project Directorate (created by the State Government) and State TSGs. These bodies would be responsible for management, coordination, implementation and monitoring of the project at the State/UT levels.

The formation of SHEC forms the primary block towards building a sound planning and funding mechanism for higher education at State level. Given the number of State universities and the large number of students they cater to, States will be the unit of planning for higher education under RUSA and it would be necessary to create SHEC as a body that is at an arm's length from the State as well as centre, which synergizes their resources and fulfils these functions of planning, monitoring, quality control and co-ordination at the State level. The State Project Directorate (SPD) will consist of a State Project Director and such adequate support staff as may be required for the effective functioning of the State Project Directorate.

### **Institution Level Arrangements**

The project at the Institutional level will be managed by two bodies; the Board of Governors (BoG) and a Project Monitoring Unit. The BoG will take all policy decisions with regard to smooth, cost effective and timely implementation of the Institutional project and ensure overall faculty development etc. A Project Monitoring Unit represented by academic officials, faculty, administrative officers and students would be responsible for monitoring of the project at the institutional level in order to implement the governance reforms proposed under RUSA.

The institutional structure is described in chapter 2 of this handbook.

## **X. Financial Outlay of the Scheme**

The total outlay for RUSA for the XII<sup>th</sup> Plan is Rs. 22,855 crore, out of which an amount of Rs. 18,027 crore would be the central share. The resource envelope for each State for the year 2014-15 has been decided on the basis of Fund Equalization formula, of which the decisive indicators are Population in the 18-23 years age cohort, Institutional Density, Gross Enrollment Ratio (GER), spending on Higher Education as % of GSDP and special problems pertaining to the States. The formula is explained in detail in Chapter 8.

## **XI. Snapshots of States under RUSA**

Immediately after Cabinet approval, all the States and UTs (except the then poll-bound States of Delhi, Chhattisgarh, Madhya Pradesh, Rajasthan and Mizoram) were informed of

the launch of the Scheme and requested to indicate their willingness to participate in RUSA by 31<sup>st</sup> October, 2013.

When the RUSA Mission Authority first met on 8<sup>th</sup> January, 2014, the willingness of the following 23 States and 4 UTs had been received and they were thus included in the scheme. In November, 2014, willingness of 6 more States was approved and are included under the Scheme.

As of now, 35 States and UTs are on board RUSA, except the UT of Lakshadweep. The State Higher Education Plans of 34 States and UTs have been submitted.

## **XII. RUSA Roadmap**

### **A. XII Plan Targets under RUSA**

1. Increase the spending of States on higher education as a % of GSDP to 2% or above.
2. Establishment of a Model Degree College in each of the 640 districts as per census 2011 (EBD or non-EBDs) by way of Up gradation or Green-field colleges.
3. Ensure all the State Institutions are NAAC Accredited by the end of XII plan as a part of mandatory quality assurance framework.
4. Reduce the student-teacher ratio to 20:1 in Institutions by the end of XII Plan.
5. Increasing the National GER to 25% by the end of XII Plan (and 32% by the end of XIII Plan)
6. Ensure growth of GER with more inclusion of disadvantaged groups (SC/ST/Women)
7. Ensure that all the States participate in AISHE and data pertaining to all State institutions is furnished.
8. Ensure that the number of colleges affiliated to State Universities reduce to 100.

### **B. XIII<sup>th</sup> Plan Roadmap**

Based on the road travelled in XII<sup>th</sup> Plan, the scheme would be taken further with targets and reforms for the Higher Education System.

1. Reduce the student-teacher ratio to 15:1 in Institutions by the end of XIII Plan.
1. Reach the target to 32% GER by the end of XIII plan.

## **Chapter 2**

### **Structure of RUSA**

RUSA, for its effective implementation has come up with a participative and inclusive institutional structure encompassing all the stake holders at central and State level. The structure aims at in-depth involvement of the institutions at grass root level. The structure as envisaged by RUSA is as mentioned.

#### **1. Central Level**

- National Mission Authority
- Project Approval Board
- National Project Directorate
- Technical Support Group/ RUSA Resource Centre

#### **2. State Level**

- State Higher Education Council
- State Project Directorate
- State Technical Support Group

#### **3. Institutional Level**

- Universities
  - Board of Governors
  - Project Monitoring Units
- Colleges
  - Board of Governors
  - Project Monitoring Units

### **I. CENTRAL LEVEL STRUCTURE**

The central level structure comprises of 4 bodies namely

- National Mission Authority
- Project Approval Board
- National Project Directorate
- Technical Support Group/ RUSA Resource Centre.

The composition and function of the central bodies as mentioned above is for overall guidance for the policy decisions, project management, coordination with States and implementation of RUSA. The detailed role and functioning of the above mentioned bodies is elaborated as follows.

1. **National Mission Authority (NMA):** NMA has been constituted by MHRD under the chairpersonship of Union minister of HRD. Joint Secretary (JS-HE) is the Member Secretary of the Apex body. Following are the other members of the NMA:

- Member- Planning Commission (In-Charge- Higher Education)
- Vice-Chairperson- Secretary, Dept. of Higher Education, MHRD
- Chairperson- UGC
- Chairperson- AICTE
- Chairperson of the SHEC's of all States
- Three experts in field of Higher Education
- Financial advisor to MHRD
- Chairperson-MCI
- Chairperson-BCI
- Secretary- Agriculture
- Secretary-Culture
- Secretary- Health
- Secretary- S&T
- Secretary- Sports
- Representative of Ministry of Finance.

**Functions:**

NMA provides guidance for overall policy and planning and reviews the functioning of PAB. It also allocates funds to PAB. It also commissions evaluation studies for policy reforms. NMA meets once in six months.

2. **PROJECT APPROVAL BOARD (PAB):** under the chairmanship of Secretary, Higher Education the PAB is constitutes of the following members

- Chairman UGC, Co-Chairman
- Vice-Chairman UGC
- Chairman AICTE
- Secretary UGC
- Chairman SHEC of concerned State
- Two experts in Higher Education Sector
- Financial Advisor in MHRD
- Advisor ( HE), Planning Commission
- Joint Secretary (HE), Convener

**FUNCTIONS:** PAB examines, appraises and approves State Higher Education Plans (SHEP) and approves the release of the funds to States and Institutions. It also evaluates the performance of States and institutions in RUSA.



3. **NATIONAL PROJECT DIRECTORATE (NPD):** Joint Secretary (HE) is the National Mission Director and heads the National Project Directorate. NPD is part of the department of Higher Education in MHRD. The other members in NPD are:
- One deputy secretary/ director rank officer
  - Two undersecretary rank officer
  - Support

**FUNCTIONS:** NPD conducts the National Mission Authority and PAB meetings, project fund management, project implementation (both centre and State level), policy inputs to Mission Authority, Maintaining of Statistical Data and Management Information System reports.

4. **TECHNICAL SUPPORT GROUP (TSG):** is the secretariat of the NPD under the leadership of Chief Consultant appointed by the NMD. The TSG is comprised of professional from academic and other relevant domains to provide the professional support to the NMA and NPD.

**FUNCTION:** TSG's main function is to help States in making and appraisal of the State educational plans, monitoring fund flow and utilization certificates, manage MIS for central authority, providing all managerial, operational, logistic and professional support to NMA, PAB, NPD.

## II. STATE LEVEL STRUCTURE

State level structure comprised of three bodies namely

- State Higher Education Council
- State Project Directorate
- State Technical Support Group

The project within the State will be steered through an institutions setup for the RUSA and will be responsible for management, co-ordination, implementation and monitoring of the project.

### 1. STATE HIGHER EDUCATION COUNCIL (SHEC)

States require a supreme policy body for Higher Education to develop a comprehensive, long-term and inclusive educational plan. RUSA requires formation of SHEC for planned and coordinated development of Higher education in State, sharing of resources between Universities, leads academic and governance reforms at institutional level, establish principles for funding institutions, maintain a data bank on Higher Education and conduct research and evaluation studies.

É In order for the State higher education system to function effectively States need to set up SHEC at an arm's length from the State as well as centre.

É These Councils may be formed through an executive order to begin with but must be converted into statutory bodies by Acts of the State legislatures within two years

### **1.1. NEED OF SHEC**

- State universities cannot be monitored fully through a central system
- Centre has only partial funding these institutions while States provide the rest of funding
- SHEC is required to be constituted by an Executive order initially but converted into a Statutory body through Acts of State legislature within 2 years

### **1.2. INSTITUTIONAL ARCHITECTURE OF SHEC**

- Out of the total, 7 members of the council should be from the State and 3 members must be individuals of national eminence (outside the State)
- SHEC should consist of 15-25 members, each with a term of 6 years.
- 1/3<sup>rd</sup> of members will retire every 2 years and the existing council will nominate 3 new members every 2 years
- The council must meet at least once every quarter; the quorum for the council meetings shall be 1/3<sup>rd</sup> of the strength, including the Chairman and Member Secretary

### **1.3. COMPOSITION OF SHEC**

- **Chairman:** preferably an eminent Academic/ Public Intellectual with proven leadership qualities
- **Vice Chairman:** must be an eminent academic administrator (rank of professor) or a professional from industry with sufficient experience
- **Member Secretary:** eminent academic of the rank of Professor-Chief Executive
- **State Project Director**
- **10-15 Members:** from field of arts, science and technology, culture, civil society, industry, vocational education & skill development
- **3 VC's:** of State Universities and **2 Principals:** Autonomous/ Affiliated colleges
- **1 Nominee:** Government of India

## 1.4. FUNCTIONS OF SHEC

### i. **Strategy and Planning**

- Preparing the State Higher Education Plan (Perspective Plan, Annual Plan and Budget Plan)
- Providing State Institutions inputs for creating their Plans and implementing them
- Coordination between apex bodies, regulatory institutions and government

### ii. **Advisory Functions**

- Advising State government on strategic investments in higher education
- Advising universities on statute and ordinance formulation

### iii. **Funding Functions**

- Funds managed by the SHEC will include funds from RUSA as well as State share, both of which will flow through the State government
- Determine the methodology for timely transfer of State's share of funds to institutions
- Disburse funds to State universities and colleges on the basis of the State Higher Education Plan and transparent norms

### iv. **Monitoring & Evaluation**

- Monitoring the implementation of State Higher Education Plan
- Creating and maintaining the Management Information Systems
- Compiling and maintaining periodic statistics at State and Institutional Level
- Evaluating State Institutions on the basis of norms and KPIs developed under RUSA
- Ensuring timely submission of Utilization Certificates from Institutions

### v. **Quality Assurance & Academic Functions**

- Faculty quality enhancement initiatives
- Quality of examinations/ Examination reforms
- Maintaining the Quality of Curriculum
- Promoting Innovation in Research

- Protecting the autonomy of State Institutions
- Providing approval to set up new institutions/ colleges
- Accreditation reforms

The interface between the State government and State Higher Education Council (SHEC) can be gathered from the following functions for both.

### **State Government**

- Overall policy design for higher education in the State:The States must design their educational policies to bring out detailed State Higher Education Plans (SHEPs) keeping in mind the norms and indicators under RUSA. These plans would constitute the primary vehicle for the States to plan for accelerated growth and equitable development of the higher education sectors.
- Perspective and annual budgeting: Perspectives for higher education in the State are to be drawn up for a spread over a period of ten year with detailed planning and budgeting exercise to fix the annual targets for programme implementation and the required budget for them .It is important that the action plan is realistic, practically implementable and correlates the physical outputs with cost estimates.
- Funding (central and State share) to SHEC/institutions: In addition to the State providing its share, it must also ensure that the money is transferred to the State Higher Education Councils within the time stipulated by RUSA. Funding is to be provided for government institutions subject to approvals for permitted activities based on certain norms and parameters
- Provide operational costs for the SHEC:The State Higher Education Councils (SHECs) would be supported by the project Directorate (created by the State Govt) and State Technical Support Group (TSGs) providing all operational, technical, logistical and managerial support.
- Decide on and support student support activities: The State governments shall take appropriate decisions to undertake activities related to student support services such as admissions, reservations, financial assistance etc. in order to achieve the objectives for expansion, excellence and equity in Higher education.

### **State Higher Education Council (SHEC)**

- Strategy and planning within the overall policy design of the State govt:The State Higher Education Council (SHECs) would be responsible for planned and coordinated development of higher education in the State and to foster sharing of resources between universities, benefit from synergy across institutions.
- Monitoring and evaluation of RUSA: The primary responsibility of monitoring will lie with State Higher Education Council (SHEC) It will monitor the progress of

institutional projects on a regular basis and shall provide guidance for improving the performance of the institutions in project implementation.

- Quality assurance and academic functions: State Higher Education Council (SHEC) shall advise the State governments on strategic investments in higher education. It shall also advise universities on statutes and ordinance formulation. It will include faculty quality enhancements initiatives, quality of examinations, maintaining quality of curriculum ,promoting innovations in research ,protecting the autonomy of State institutions ,providing approval to setting up of new institutions /colleges, and accreditation reforms etc.
- Impact assessment of schemes (RUSA etc.): Evaluating the State institutions on the basis of the norms and Key Performance Indicators (KPIs) developed under RUSA. For this matter the State Higher Education Councils (SHECs) may for their own develop additional norms as they deem fit.
- Research and innovation funding: The funds managed by the State Higher Education Council (SHEC) will include funds from RUSA as well as the State share-both of which will flow through the State government. It shall determine the appropriate methodology for timely transfer of the State share funds to the institutions. The funds will also be disbursed to the universities and colleges on the basis of the innovative and dynamic plans and transparent norms.

## **2. STATE PROJECT DIRECTORATE (SPD)**

The SPD is to consist of State Project Director and such adequate support staff as may be required for the effective functioning of the Directorate.

The State Project Director must be a senior officer of the rank of Commissioner /Secretary of State Government

### **FUNCTIONS**

- É Oversee project implementation at the State level.
- É Maintain statistical data and MIS reports.
- É Engage project auditors as required.

## **3. TECHNICAL SUPPORT GROUP**

The State council may appoint and decide the composition of TSG.

The TSG will monitor flow of funds and information, generic MIS report and provide all operational support through SHEC.

### **III. INSTITUTIONAL LEVEL STRUCTURE**

The project at institutional level will be managed by the bodies: the board of Governors (BoG) and Project Monitoring Unit.

#### **1. BOARD OF GOVERNERS**

##### **COMPOSITION**

- The BoG could be a 10- 15 member body chaired by an eminent individual.
- The Chairman need not be an academic but must have prior experience in a similar capacity.
- The board members should comprise eminent individuals from the institutions itself, State government, society, industry as well as the academia.

**FUNCTIONS:** Form, supervise and guide various Committees required for project implementation and internal project monitoring

#### **2. PROJECT MONITORING UNIT**

##### **COMPOSITION**

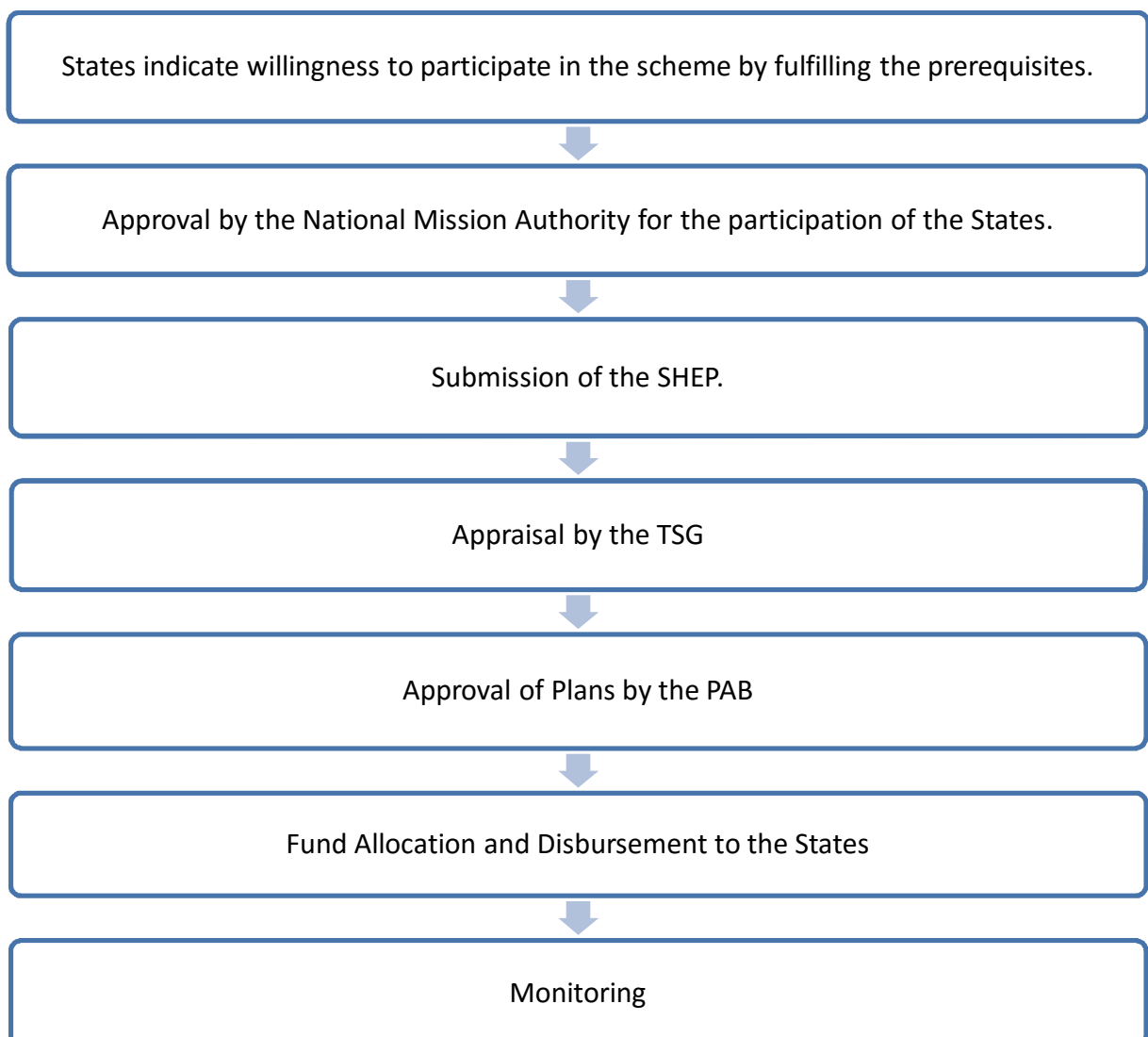
- Representative from academic officials of the Institution, faculty, senior administrative officers, technical and non-technical support staff and students.

**FUNCTIONS:** Responsible for monitoring of the project at the institutional level in order to implement the governance reforms proposed under RUSA.

## Chapter 3

### Process Flow under RUSA

RUSA follows a bottom-up approach for planning and budgeting to address multiple and graded inequalities and promote need based planning. The process flow of RUSA is given below:



## 1. States indicate willingness to enter into RUSA

To join RUSA, the States first need to indicate their willingness to participate in the scheme. The willingness from the State should consist of following:

- Undertaking from the State Government conveying the preparedness to participate in RUSA and commitment to fulfil the prerequisites under the Scheme. **(Annexure I)**
- A filled in checklist giving consent of the State Government to fulfil the prerequisites. **(Annexure II)**

## Prerequisites of RUSA

In order to realize the intended outcomes, a set of commitments towards reform process have to be made by the States which must be fulfilled during the course of the implementation of the RUSA. These are non-negotiable and are at two levels; commitment given by the States to the Centre and the commitment given by institutions to the State. Unless these commitments are fulfilled, the States and institutions will not be eligible to avail grants under the scheme. The prerequisites of RUSA are listed below, and described in detail in chapter 6 of this handbook:

Prerequisites	
Commitments of States to Centre	Commitments of Institutions to States
<ol style="list-style-type: none"><li>1. Setting up of SHEC</li><li>2. SHEP (including Perspective Plan, Annual Plan and Financial &amp; Work Plan).</li><li>3. Expenditure on Higher Education as % of Gross State Domestic Product (GSDP).</li><li>4. Separate RUSA Bank Account.</li><li>5. State funding commitment – share and timeliness</li><li>6. Filling up of faculty positions</li><li>7. Governance and administrative reforms</li><li>8. Accreditation reforms</li><li>9. Affiliation reforms</li><li>10. Academic and Examination reforms</li><li>11. To upload the information on AISHE regularly.</li></ol>	<ol style="list-style-type: none"><li>1. Institutional governance reforms</li><li>2. Academic and examination reforms</li><li>3. Accreditation Commitments</li><li>4. Project Management Teams</li><li>5. Separate RUSA Bank Account</li><li>6. Equity Commitments</li><li>7. Commitments on research and innovation efforts</li><li>8. Faculty recruitment and improvement</li><li>9. Establishment of MIS</li><li>10. Regulatory compliance</li><li>11. Registration on Know Your College Portal (KYC)</li></ol>



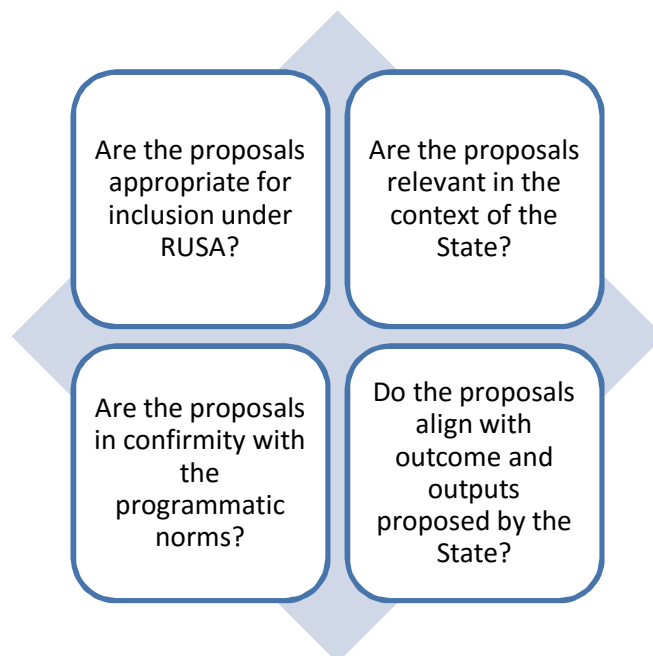
## 2. Approval by National Mission Authority for the inclusion of the States

- The National Mission Authority would give approval for inclusion of the States under RUSA based on the willingness submitted by the States and commitments given by them in conformity with the norms to bring in required reforms.
- After approval for inclusion of the States, preparatory grants would be released to the States (refer to chapter 8 for heads under which preparatory grants can be used).

## 3. Submission of SHEP

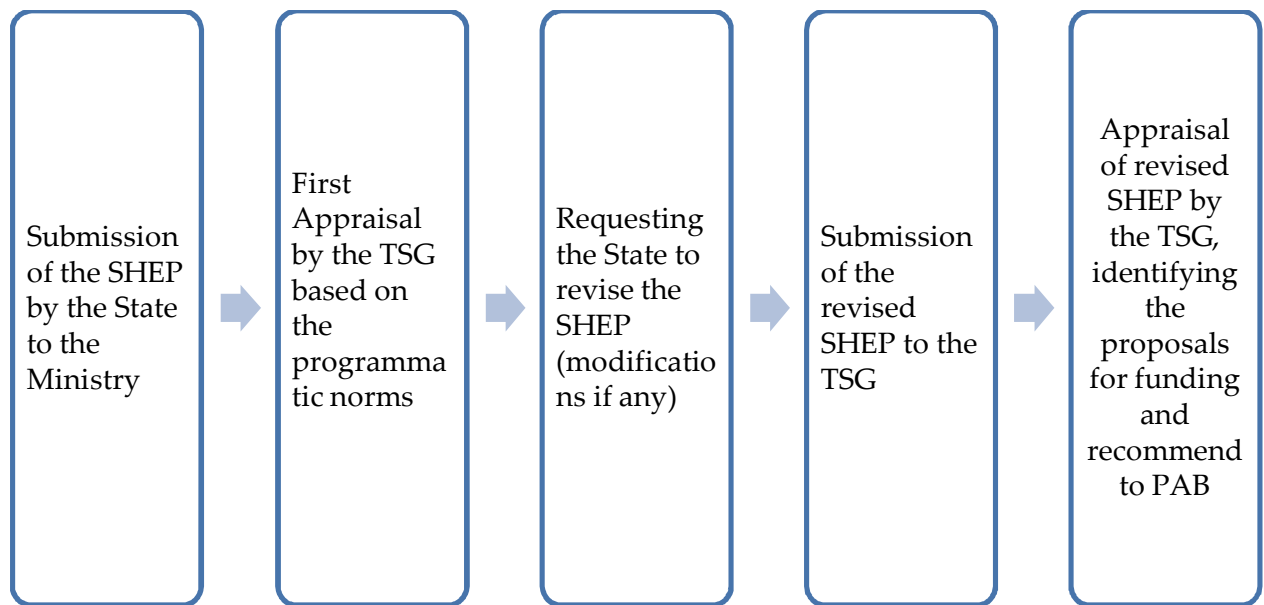
- A Perspective Plan (State Higher Education Plan) for higher education has to be drawn up for the 12<sup>th</sup> and 13<sup>th</sup> plan period by the State Higher Education Council and sent to the MHRD.
- The Perspective Plan is required to be broken down into annual plans with detailed planning and budgeting exercise to fix the annual targets for programme implementation.
- The SHEP would have mainly two components:
  - **Institutional component:** The bottom-up approach for planning and budgeting under RUSA begins at the institutional level with formation of “Institutional Development Plan” (IDP). The IDP in the prescribed format (**Annexure III**) should be sent to the SHEC by the institutions. These IDPs have to be aggregated by the State Higher Education Council.
  - **State component:** The State component should address issues related to excellence, spatial and geographical gaps, access, governance etc. The State has to identify un-served/under-served areas and make special provisions for the new institutions in those areas. The plans must also address the problem of institutional congestion and have a strategy to deal with the same. Similarly, State must also look at the State as a single entity to plan for affiliation reforms and creation of new universities etc.

- Excellence, Access and Equity should be the main thrust areas of the SHEP.
- The IDPs should be based on the inputs/ discussions with the multiple – stakeholders within the institution’s jurisdiction. Also, SHEC should engage in consultation with multiple stakeholders across the State to address regional requirements.
- SHEPs would serve as the benchmark against which the performance of a State and its institutions are graded.
- States should consider following points while including new proposals in the SHEP.



#### 4. Appraisal of SHEP by TSG

TSG’s appraisal at the Centre-level is a systematic process to identify the strengths and weaknesses of the SHEP. Although States would be free to prioritize the proposals under various components for funding under RUSA, all the proposals would be assessed at Central level. The appraisal would assess the relevance of the State’s proposals to receive funds (Refer to Chapter 6 for appraisal formats). It would ascertain eligibility of the institutions to receive funds under RUSA. A brief illustration of the appraisal process is given below:



## 5. Approval of Plans by the PAB

- The Project Approval Board (PAB) at the MHRD would undertake a detailed review of the SHEPs and the recommendations of the TSG on the SHEPs.
- It will also assess the performance of the State and look at the targets that have been set in the SHEPs.
- The PAB would approve the funds under various components based on certain parameters like the proposals' conformity with the programmatic norms, resource envelope available for a State, justification for the proposals, etc.
- The approval for disbursement of funds under various components by the PAB may be unconditional or conditional. In case of conditional approval, States would be required to submit a Detailed Project Report (DPR) for the approved proposals. The DPR would again be assessed by the TSG at the Central level before release of funds. (Refer to Chapter 7 for DPR templates)
- The Project Approval Board will review the progress periodically. All the future approvals by the PAB would take into account outcomes and achievements against the targets set

in the SHEPs. The emphasis would be not only on physical output, but also on the intended outcomes.

## 6. Disbursement of funds to the States

- After the respective Plan submitted by the State has been approved by the PAB, the Project Directorate, with the concurrence of the Integrated Finance Division (IFD) of the MHRD will carry out sanctions on the Public Finance Management System (PFMS) portal of the Controller General of Accounts (CGA). After this, funds would be transferred online to the States/ UTs consolidated fund.
- The States should contribute their share along with central share to the dedicated RUSA account(savings account only) of the SHEC within 15 days of receipt of the central share. SHEC should transfer the funds to the dedicated RUSA Bank Account of institutions within 15 days of the receipt of the combined pool of funds from State government.
- The releases made to institutions should be as per the approved Institutional Development Plans and after adjusting unspent balances from the previous year. Non-compliance will affect further allocation of grants in the future.
- The funds with the SHEC/institutions do not lapse at the close of financial year. SHEC/Institutions are empowered to utilize the unspent balance during the next financial year for the same purpose for which the funds were allocated. The amount shall however be taken into account while releasing funds for the next year.

## 7. Monitoring and Evaluation

**Monitoring from the Central level:** It would be done mainly through the following tools:

- **Public Financial Management System (PFMS):**The transfer of funds to States would take place through PFMS portal so as to ensure the following:
  - Track the flow of Funds
  - Online information of bank balance
  - Track the utilization of money
  - Ultimate e-payment to the beneficiary
  - Dissemination of relevant information to the end users
  - Decision Support System for all levels of program heads
  - Enhance transparency and accountability in public expenditure

- **Management Information System (MIS):** The setting up of a Management Information System is an important step towards capturing the required data in a timely fashion. The RUSA MIS shall be centrally designed, developed and implemented. A common tool shall be developed to generate standardized information that would help in monitoring progress of reforms, utilization of resources etc. States, Universities and colleges will be provided adequate infrastructural support to install the MIS and the required training to the personnel for using the system.
- **Utilization Certificate (UCs):** The States will have to present the UCs for all the grants received under the Scheme. Future grants would be released to the States only after the submission of the UCs of the previous grants received by the States.

#### **Monitoring from the State level**

- State governments/SHECs shall regularly monitor and evaluate the progress of institutions. Monitoring will be based on action plans prepared by each beneficiary institutions and achievements with respect to them.
- Focus would be mainly on the outcomes by way of implementation of reforms by institutions, achievements of the States and institutions under different components, procurement of resources and services, utilization of financial allocations, achievements in faculty and staff development, and management development activities.
- The management structure at the institutional level, i.e., the Board of Governors (BoG) will monitor the progress of institutional projects on a regular basis and shall provide guidance for improving the performance of the institutions in project implementation.

## Chapter 4

### General Norms under RUSA

Following norms are over arching/universal norms under RUSA applicable for all components:

1. All land will be provided free of cost by the State governments. The States shall be the exclusive owner of the land required for any activity under RUSA.
2. The State Government shall acquire and have undisputed possession of land in cases where a new institution is proposed to be set up or existing one is proposed to be expanded. Any future legal disputes will also be handled by the State Government and the Centre shall not be a party to any such dispute.
3. In case any Government aided institution is to be supported, the State shall provide a clear undertaking that any legal disputes arising out of ownership of land or building shall be defended/litigated by the State at its own cost and such costs shall not be loaded on to RUSA.
4. For all civil works, the cost estimates mentioned for RUSA components would constitute the upper limit, when deciding the central support under RUSA. However in case the State SSR (or SAR) is lower than the cost estimates of RUSA, it will be State SSR/SAR which shall apply for determining the Central share. In other words, central share for civil works under any component shall be restricted to either RUSA estimate or of the State SSR/SAR, whichever is lower.
5. However States would be free to enhance its own share for any component. It may also add new components, which are not mentioned under RUSA provided it is willing to bear the entire additional expenditure.
6. States will be free to leverage resources or add extra components on to any of the RUSA targets. They may also dovetail any of the existing schemes of the State or centre for fusion gains. These schemes may be Member of Parliament Local Area Development Division (MPLAD), local body funds (panchayat or municipality by

whatever name known), Jawaharlal Nehru Urban Renewal Mission (JNUrRM), National Mission on Education through Education and Information Technology (NMEICT), Rural Infrastructural Development Fund (RIDF) etc. (This list is only illustrative and not exhaustive).

7. States may engage any of the Central/State agencies such as the Central Public Works Department (CPWD), State Public Works Department (PWD) and State and Central PSUs for civil works. In all cases States would be required to follow the relevant State Treasury rules and procedures.
8. States would be required to procure all consumables, equipment, furniture, fixtures etc. in accordance with the State procurement policy and relevant rules for government procurement applicable to the States. In all such cases competitive bidding and e-procurement method should be adopted. RUSA PAB shall have a right to question any of the procurement which appears on a higher side.
9. Affiliation reforms and accreditation norms as elaborated in Section 4.8.7 in the RUSA document should be followed by States. Accreditation shall be a pre-requisite for all the existing institutions which are more than six years old.
10. Commitment of the institutions and the States to academic and examination reforms would critically evaluated by the TSG and PAB before sanctioning plans.
11. Wherever RUSA initiatives are to be supported by necessary legal instruments (like legislation or Rules or Orders), the same shall be binding on the State. Any consequences arising out of delay in passing the legislation or litigation shall be fully discharged and defended by the State Governments. RUSA shall be at liberty to stop grants, or even to recover the same in case of such an eventuality.
12. SHECs and Institutions participating in the programme shall maintain a separate single account in the name of RUSA, to be operated by an authorized representative of the SHEC or institution as the case may be. The account details will be shared with MHRD, and any subsequent change in account must be done in consultation with the Ministry.

13. All receipts and expenditure under RUSA shall be debited and credited to RUSA. Interest accrued, if any on such an account shall be credited to RUSA.
14. States must ensure that the State machinery and the State institutions necessarily become a part of the MIS developed by the RUSA Mission Authority since a robust MIS only can ensure optimum gains from the project.
15. States would be entitled to 1% of the total State allocation as Management Monitoring Evaluation and Research (MMER) to be spent on maintaining the State TSG and other institutional structures and corollary expenses. However, the salary of the government staff/officers deployed by the State shall be charged on to State exchequer only.



## Chapter 5

### Components under RUSA

#### Component 1: Creation of Universities by Up gradation of Existing Autonomous College

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##### 1.1 Abstract:

45 autonomous colleges (autonomy granted by University Grants Commission at least in 2010 or earlier) which have necessary infrastructural facilities, teaching strength and academic quality will be considered for up-gradation to Universities. The grant is subject to a maximum of Rs 55 crores for each institution during the XII Plan.

##### 1.2 Funding Priority:

Existing autonomous colleges which fulfil the following requirements will only be considered for up gradation:

###### (a) Physical Infrastructure

- Must have been in existence for at least 15 years.
- Must have autonomy status conferred in 2010 or before
- The land already available with the college must be enough to support the additional enrolments and capacity (at least 15 acres in mega cities, 20 acres in metro cities and 25 acres in rest of the country).
- Should have adequate library, hostel, laboratory, ICT and sports facilities.

###### (b) Academic Quality

- Should have been accredited by NAAC and must have received not less than an 'A' Grade.
- Should enjoy the status of College with Excellence or with Potential for Excellence (CPE) as conferred by the UGC.
- The minimum existing enrolment of the college must be 2000 and the proposed total enrolment of students must be enough to sustain the institution as a university with a minimum enrolment requirement of 4000 students.
- Should have teaching programmes both in undergraduate and postgraduate courses.
- It must also have credible research capacity as evidenced through research and publications of faculty members.
- The college must be multi-faculty (at least two or more faculties such as Arts, Commerce, Science, Engineering, Law etc)
- Should have inter-disciplinary programmes in teaching and research.

- Should have a healthy student–teacher ratio (25:1).The ratio will be counted by dividing the total filled positions to total regular student intake (during 2012-13).

**(c) Governance Structure**

- Must have or commit to a robust internal governance structure: with Academic Council, Board of Studies/Research Councils and Finance Committees as per the guidelines of the regulatory body (UGC).
- Must have enough administrative and non-teaching staff and the capacity to function and be managed as a University. States are required to sanction additional staff as soon as the approval of PAB is received to meet the desired ratio of 1:1.1.

**1.3 Future Commitments:**

Apart from clearly specifying the need for university status, the college seeking university status should commit to the requirements and expectations listed below:

**(a) Physical Infrastructure**

- Convert all the existing buildings into fully disabled friendly to improve access.
- Ensure special facilities/equipments for the disabled students.
- Adequate hostel and toilet facilities for girls.
- Per student availability: adequate classroom, lab and library space

**(b) Academic Quality**

- Inter-disciplinary and trans-disciplinary programmes should be encouraged; the upgraded institution should be a multi-disciplinary university.
- Commit to rigorous evaluation on the indicators under the Institutional Plan template with greater weightage on “Quality and Research index” after 3 years of its establishment as a University (see page 194 of RUSA Scheme document, September, 2013).
- Commit to adequate library, laboratory and hostel facilities.
- The institution must commit to inclusion of ICT in teaching and learning processes in all its colleges and provide internet access(preferably WiFi) to all students
- Specify the innovations contemplated in academics and governance.
- Specify how to make innovations sustainable and scale-up.
- Should have a teaching to non-teaching ratio of 1:1.1

**(c) Governance and related issues**

- Adherence to the provisions of the State Public Universities Act (if a single Act governs all Universities) or commit to a new Act (if separate Acts guides the functioning of institutions).
- The institution must be governed by a Board of Governors/governing body with a

different nomenclature having representation from academia, industry, public intellectualsetc

- The new university should be established as an affiliating university. The State government should clearly mention the jurisdiction of the university.
- The institution must maintain a reasonable ratio of teaching to non-teaching staff as per UGC recommendations.

**(d) Equity and Inclusion**

- Adherence to the reservation policy of State government in admission and faculty recruitment.
- Ensure that the campus is disabled friendly with all the requisite facilities

**1.4 Physical and Financial Outlay**

S. No	Item	Tier 1		Tier 2		Hilly	
		Area (SM)	Total Cost Per SM (Rs. 33,371 per Sq M) <i>In Rs. Lakh</i>	Area (SM)	Total Cost Per SM (Rs. 31,622 per Sq M) <i>In Rs. Lakh</i>	Area (SM)	Total Cost Per SM (Rs. 44,650 per Sq M) <i>In Rs. Lakh</i>
1	Administrative Area and Common Facilities	2000	667.42	2000	632.44	1000	446.5
2	School of Sciences	1085	362.07	1200	379.46	1000	446.5
3	School of Social Sciences	800	266.96	1050	332.03	750	334.87
4	School of Engineering, Technology & Computer Technology	1200	400.45	1400	442.7	1000	446.5
5	School of Teacher Education	750	250.28	850	268.78	590	263.43
6	School of Humanities & Liberal Arts	800	266.96	1050	332.03	750	334.87
7	Classrooms (Common)	5000	1668.55	5000	1581.1	3000	1339.5
8	Central Library along with Computer Centre/ e-resource centre	2000	667.42	2000	632.44	2000	893
9	Auditorium	1000	333.71	1000	316.22	1000	446.5
10	Canteen/ Cafeteria/ Toilet blocks/ Miscellaneous	750	250.28	750	237.16	500	223.25
<b>Total</b>		<b>15385</b>	<b>5134.1</b>	<b>16300</b>	5154.36	<b>11590</b>	5174.92
Cost of			(@ Rs.		(@ Rs.		(@ Rs.

Hostel per Sq. M			26096 per SM)		24722 per SM)		32581 per SM)
11	Hostel	1400	365.34	1400	346.1	1000	325.81
<b>Grand Total</b>		<b>19385</b>	<b>5499.44</b>	<b>20300</b>	<b>5500.46</b>	<b>12590</b>	<b>5500.73</b>

**Note:**

*Each institution has the flexibility of choosing the appropriate items based on their need (supported by evidence) in order for them to convert into a fully functional university.*

*Equipment, fixtures and furniture are part of the estimate.*

*Minimum size of a classrooms should be 80 SM.*

*Laboratory equipments can also be purchased by the Institution, if needed.*

*Per sq. Metre cost rate given is only relevant for New Construction, and not Renovation.*

*States ensure that the university would create at least three schools (including the existing schools) with at least two departments in each school*

## 1.5 Baseline Data

### 1. Details of the College(s) proposed for Up-gradation

	Unit	Autonomous College A	Autonomous College B	Autonomous College C & so on.
Whether Govt./ Aided/ Pvt.	Category			
Year of Establishment	Year			
Year of Autonomous Status conferred by UGC	Year			
Land Area of the College	Acres			
Location of College				
University to which college is affiliated				
Whether College is conferred with Potential for Excellence (CPE)	Yes/no			
Accreditation Grade, Year and Cycle of Accreditation	Grade			
Total Students Enrolled in Undergraduate programme	Number			
Total Students Enrolled in Postgraduate programme	Number			
SC	Number			

ST	Number			
OBC	Number			
Female	Number			
Total existing enrolment of Institution	Number			
Proposed additional enrolment after upgradation	Number			
Total Number of Teachers (sanctioned positions)	number			
Total Number of Teachers (actual in position)	Regular teachers			
	Contractual or ad-hoc teachers			
Student Teacher Ratio(Filled position)	Ratio			
Whether college is multi-faculty?	Yes/No			
Number of Departments	Number			
If yes, no. of courses offered presently	Number			
Additional no. of courses to be offered after upgradation	Number			
Total number of Administrative and Support Staff	number			
Teaching to Non-Teaching Ratio	Ratio			
Number of Books in Library	Number			
Number of Computers	Number			
Total Student in Hostels	Number			
SC Girls	%			
SC Boys				
ST Girls				
ST Boys				
OBC Girls				
OBC Boys				
Other Girls				
Other Boys				
Whether college has a separate Sports Complex	Yes/no			
Whether Board of Studies/Research Councils in position	Yes/no			

Whether Finance Committees in position	Yes/no			
Adherence to financial norms for creation of infrastructure	Yes/no			
Jurisdiction mentioned for the proposed university whether unitary or Affiliating?	Unitary/ Affiliating			
Reservation for socially & economically weaker sections- existing	SC (in %)			
	ST (in %)			
	OBC (in %)			

## 2. Physical & Financial Proposal

		Autonomous College A		Autonomous College B		Autonomous College C & so on.	
Tier Category of proposed college (Tier-1/Tier-2/Tier-3)							
Details for the proposed college	Whether New Construction/ Renovation/ Equipment	Physical Value (Area in Sq. Mt.)	Financial Value (Rs. in lakhs)	Physical Value (Area Sq. Mt.)	Financial Value (Rs. in lakhs)	Physical Value (Area Sq. Mt.)	Financial Value (Rs. in lakhs)
Administrative Area							
School of Sciences							
School of Social Sciences							
School of Engineering, Technology & Computer Technology							
School of Teacher Education							
School of Humanities and Liberal Arts							
Classrooms (Common)							
Central library							
Auditorium							
Canteen/Cafeteria/							

Toilet Blocks/Misc.							
Hostel							
<b>Total</b>							

*The State needs to mention whether they would utilize the funds for Construction or Renovation in a particular item. In case a certain item needs both, it should be explicitly mentioned within the same row.*

### 3. Commitments required to be furnished (Yes/ No)

<b>Commitment</b>	<b>Autonomous College A</b>	<b>Autonomous College B</b>	<b>Autonomous College C &amp; so on.</b>
<b>Physical Infrastructure</b>			
Convert all the existing buildings into fully disabled friendly to improve access.			
Ensure special facilities/equipments for the disabled students.			
Adequate hostel and toilet facilities for girls.			
Per student availability: adequate classroom, lab and library space			
<b>Academic Quality</b>			
Inter-disciplinary and trans-disciplinary programmes should be encouraged;the upgraded institution should be a multi-disciplinary university.			
Commit to rigorous evaluation on the indicators under the Institutional Plan template with greater weightage on “Quality and Research index” after 3 years of its establishment as a University			
Commit to facilitate research after up gradation to University			
Commit to adequate library, laboratory and hostel facilities.			
The institution must commit to inclusion of ICT in teaching and learning processes in all its colleges and provide internet access(preferably WiFi) to all students			
Should have a teaching to non-teaching ratio of 1:1.1			
<b>Governance and related issues</b>			
Adherence to the provisions of the State Public Universities Act (if a single Act governs all Universities) or commit to a new Act (if separate Acts guide the functioning of institutions).			

The institution must be governed by a Board of Governors/governing body with a different nomenclature having representation from academia, industry, public intellectuals etc			
<b>Equity and Inclusion</b>			
Adherence to merit-based admission of students.			
50% of hostel seats should be reserved for socially and economically weaker sections.			
Adherence to the reservation policy of State government in admission and faculty recruitment.			

**4. 5 vital reasons for Up gradation & justification of value addition to Institution if converted into a University**

S. No.	Name of College	Reason

**5. Research publications of all the teachers of the proposed Autonomous colleges (Maximum 3 publications per teacher)**

Name of the department	Name of the teacher	Title of the paper	Research journal (only referred)

**1.6 Conditionality**

The State is required to submit a Detailed Project Report (DPR) for the approved proposal to MHRD for review and appraisal, to avail the fund release. It should contain the detailed conversion plan for institution. The DPR template is given in chapter 7 of this Handbook.



## **Component 2 - Creation of Universities by conversion of colleges in a Cluster**

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### **2.1 Abstract**

35 new cluster universities would be created during the current Plan period with an average allocation of Rs.55 crore per university through the clustering of existing affiliated government and government-aided colleges. These universities will be created by pooling the resources of 3 to 5 existing colleges (2 to 3 colleges for NER States) that have adequate academic, physical and technical infrastructural facilities.

### **2.2 Funding Priority**

- Colleges identified as Colleges with Excellence or Colleges with Potential for Excellence or any other criteria which amply demonstrate the various quality parameters of an institution will be considered as the lead institution or a nucleus around which the cluster university would be established.
- Colleges joining the cluster must have the capacity to function as a university when coalesced. This would include, among other factors, the strength and experience of the administrative staff, the number of years that the individual colleges have been functioning, degree of autonomy they have enjoyed in the past, etc.
- The conversion plan for the creation of universities must include stage-wise planning with regard to expansion in infrastructure, number of students, schools and departments, administration, academic functions, research activities, etc. It must also cover the timelines and concrete steps that will be taken for the integration of all the concerned colleges as well as the expected end State of the new University.
- Agree to a Memorandum of Understanding which should clearly specify the nature and extent of relationship among partnering colleges and lay down the modalities for the functioning of the cluster.

#### **Other requirements that needs to be fulfilled**

##### **(a) Physical Infrastructure**

- At least two of the participating colleges should have been in existence for 15 years.
- Should have an existing combined enrolment of 2000 students and the proposed total enrolment of students must be enough to sustain the institution as a university with a minimum enrolment requirement of 4000 students.

- As the university would be a multi-campus university, the physical proximity of the institutions should be such that they are able to share physical and human resources and would be able to facilitate student and faculty mobility (ideally within a maximum radius of 15-20 kms from the lead institution (to take into account the special condition of North East Region States).
- The State government should identify a nucleus college or ensure the availability of necessary land required for the university in and around the nucleus college to build university super-structure. The combined land availability should be at least 15 acres in mega cities, 20 acres in metro cities and 25 acres in rest of the country.

#### **(b) Academic Quality**

- The new cluster university may be a combination of colleges with autonomous status/ Colleges with Excellence/ College with Potential for Excellence status.
- All participating colleges should have NAAC accreditation, higher grades will be preferred. 'A' grade is desirable.
- Should have teaching programmes in undergraduate and postgraduate courses.
- Must have a few faculty members with excellent research performance through publications, undertaking research projects and guiding research students.
- Should have demonstrated high academic performance in inter-disciplinary teaching and research programmes.
- Should have a Student–teacher ratio (25:1) (combined based on sanctioned strength)
- The combined graduate and postgraduate departments proposed by the institutions must be able to lay the foundation for a multi-disciplinary institution and should have appropriate diversity in teaching and research.

#### **(c) Governance and related issues**

The participating colleges should have:

- A robust internal governance structure as per the guidelines of the regulatory body. Also it is advisable that such institutions should have an Academic Council/ Board of Studies/Research Councils and Finance Committees.
- Ability to raise /mobilize resources from sources other than public funding.

#### **(d) Equity and Inclusion**

- Reservation as per State norms
- Make all the buildings disabled friendly

## 2.3 Future Commitments

The proposed university should commit to the requirements and expectations listed below:

### (a) Physical Infrastructure

- Convert all the existing buildings into fully disabled friendly to improve access.
- Commit to hostels for boys and girls.
- Per student availability: adequate classroom, lab and library space

### (b) Academic Quality

- Agree to share existing facilities in partner colleges and undertake common ventures in promoting access, equity and quality of education.
- Agree to academic reforms

### (c) Governance and related issues

- Agree to certain principles of governance like equal status to participating institutions, collective decision-making, autonomy and accountability, independence and interdependence, physical proximity, optimal size, partnership of publicly funded institutions, etc.
- Agree to a governance structure which should ensure equal and adequate representation of partnering institutions for democratic decision-making and effective implementation of academic programmes, financial autonomy and social accountability.
- An appropriate governance structure for cluster universities shall be detailed by respective States through a new Act or amendments to the existing Act within a year from the date of establishment.

### (d) Equity and Inclusion

- Due preference for hostel accommodation should be given to for socially and economically weaker sections.
- Convert existing buildings into fully disabled friendly ones.

## 2.4 Physical and Financial Estimates

Physical estimates for civil works (including equipment, fixtures and furniture):

S. No	Item	Tier 1		Tier 2		Hilly	
		Area (SM)	Tier 1 (@ Rs. 33371 per SM)	Area (SM)	Tier 2 (@ Rs. 31622 per SM)	Area (SM)	Hilly (@ Rs. 44650 per SM)

			Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
1	Administrative Area& Common Facilities	2000	667.42	2000	632.44	1000	446.5
2	School of Sciences	1085	362.07	1200	379.46	1000	446.5
3	School of Social Sciences	800	266.96	1050	332.03	750	334.87
4	School of Engineering, Technology & Computer Technology	1200	400.45	1400	442.7	1000	446.5
5	School of Teacher Education	750	250.28	850	268.78	590	263.43
6	School of Humanities & Liberal Arts	800	266.96	1050	332.03	750	334.87
7	Classrooms (Common)	5000	1668.55	5000	1581.1	3000	1339.5
8	Central Library along with Computer Centre/ e-resource centre	2000	667.42	2000	632.44	2000	893
9	Auditorium	1000	333.71	1000	316.22	1000	446.5
10	Canteen/ Cafeteria/ Toilet blocks/ Miscellaneous	750	250.28	750	237.16	500	223.25
Total		15385	5134.1	16300	5154.36	11590	5174.92
			(@ Rs. 26096 per SM)		(@ Rs. 24722 per SM)		(@ Rs. 32581 per SM)
11	Hostel	1400	365.34	1400	346.1	1000	325.81
Grand Total		19385	5499.44	20300	5500.46	12590	5500.73

Note:

- A detailed conversion plan must be submitted by the institution.
- Minimum size of a classroom should be 80 SM.
- Each institution has the flexibility of choosing the appropriate items based on their need (supported by evidence) in order for them to convert into a fully functional university. The institutional plan will be appraised and evaluated at the State level and objective decision will be taken to support reasonable plans.
- Equipment, fixtures and furniture are part of the estimate
- States ensure that the university would create at least three schools (including the existing schools) with at least two inter-related/inter-disciplinary departments and one centre in each school.
- Staff -
  - (a) Non-teaching – The State Governments will fill/appoint additional non-teaching staff in order to achieve the ideal teaching to non-teaching ratio of 1:1.1.

(b) Teaching – State Governments will fill vacant positions and create additional positions. Institutions with a Student Teacher ratio of 20:1 or below can approach RUSA for support of these additional positions in order to achieve the target of 15:1

- Estimates need to clearly give details about existing land, buildings and facilities/ equipment and additional requirements for existing land, buildings and facilities/ equipment.

### **1.5 Data Capture Format**

#### **1 Willingness to be up graded to the university status**

<b>Details</b>	<b>Lead College (Cluster College 1)</b>	<b>Cluster college 2</b>	<b>Cluster college 3</b>	<b>Cluster college 4</b>	<b>Cluster college 5</b>
Willing to upgrade to university by clustering with other colleges					
Willing to pool together all the academic, physical and technical infrastructural facilities/ resources as university.					
Commit to adhere to the State norms/ policies including Reservation.					
Elucidate five important reasons for clustering into a university					

#### **2 Details of the proposed institutions**

<b>Details</b>	<b>Unit</b>	<b>Lead College (Cluster College 1)</b>	<b>Cluster college 2</b>	<b>a. Cluster college 3</b>	<b>Cluster college 4</b>	<b>Cluster college 5</b>
Name of College and address with district name						
Whether Govt./ Aided	Category					
University to which college is affiliated						
Distance from Lead						

College (KM)						
Available Land Area of the College						
Year of Establishment						
Whether Autonomous college						
Whether College with Potential for Excellence (CPE)						
NAAC Accreditation Status/ Grade						
Whether college is multi-faculty?	Yes/No					
If yes, no. of courses offered presently	Number					
Number of Departments						
Total Students Enrolled in undergraduate programme						
Total Students Enrolled in postgraduate programme						
SC	Number					
ST	Number					
OBC	Number					
Female	Number					
Total existing enrolment of Institution	Number					
Total Number of Teachers (sanctioned positions)						
Student Teacher Ratio(Filled up position)						
Total Number of Teachers (actual in position)						
Total number of Administrative and Support Staff						
Number of Books in Library	Number of Books in Library					
Number of Computers	Number of					

	Computers					
Student in Boys Hostels	Number					
SC Girls	%					
SC Boys						
ST Girls						
ST Boys						
OBC Girls						
OBC Boys						
Other Girls						
Other Boys						
Student in Girls Hostels	%					
SC Girls						
SC Boys						
ST Girls						
ST Boys						
OBC Girls						
OBC Boys						
Other Girls						
Other Boys						
Proposed additional enrolment after becoming a university	Number					
Whether Academic Council in position						
Whether Board of Studies/Research Councils in position						
Whether Finance Committees in position						
Adherence to financial norms for creation of infrastructure	Yes/no					
Jurisdiction mentioned for the proposed university whether unitary or Affiliating?	Unitary/ Affiliating					
Reservation for socially & economically weaker sections- existing	SC (in %)					
	ST (in %)					
	OBC (in %)					

### 3. Physical & Financial Proposal

S. No	Item	College 1 (Tier 1/2/Hilly)		College 2 (Tier 1/2/Hilly)		College 3 (Tier 1/2/Hilly)	
		Area (SM)	Tier 1 (@ Rs. 33371 per SM)	Area (SM)	Tier 2 (@ Rs. 31622 per SM)	Area (SM)	Hilly (@ Rs. 44650 per SM)
			Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
1	Administrative Area& Common Facilities						
2	School of Sciences						
3	School of Social Sciences						
4	School of Engineering, Technology & Computer Technology						
5	School of Teacher Education						
6	School of Humanities & Liberal Arts						
7	Classrooms (Common)						
8	Central Library along with Computer Centre/ e-resource centre						
9	Auditorium						
10	Canteen/ Cafeteria/ Toilet blocks/ Miscellaneous						
Total							
11	Hostel						
Grand Total							

Note: Details of New Construction/ Renovation/ Equipment needs to be furnished clearly.

### 4. 5 vital reasons for Up gradation & justification of value addition to Institution if converted into a University

S. No.	Name of College	Reason



**5. Research publications of all the teachers of the proposed colleges  
(Maximum 3 publications per teacher)**

Name of the Department	Name of the Teacher	Title of the Paper	Research Journal (only refereed)

**6. Commitment**

The State must commit to the following when proposing the new university

S. No	Commitment	Yes/ No
1	Agree to a shared vision and principles of association	
2	Agree to certain principles of governance like equal status to participating institutions, collective decision-making, autonomy and accountability, independence and interdependence, physical proximity, optimal size, partnership of publicly funded institutions, etc.	
3	Agree to a Memorandum of Understanding which should clearly specify the nature and extent of relationship among partnering colleges and lay down the modalities for the functioning of the cluster.	
4	Agree to a governance structure which should ensure equal and adequate representation of partnering institutions for democratic decision-making and effective implementation of academic programmes, financial autonomy and social accountability.	
5	Agree to share existing facilities in partner colleges and undertake common ventures in promoting access, equity and quality of education.	
6	Adequate hostels and toilets for boys and girls	
7	The university should not affiliate more than 100 colleges as per UGC norms	
8	Conversion of Existing buildings into disabled friendly buildings	
9	Adequate per student provisions for classrooms, library and laboratory facilities	
10	Inclusion of ICT in teaching-learning processes and provision of internet access to all students	
11	Implementation of all academic, examination and governance reforms	
12	Aim to achieve the Student teacher ratio of 1:15	
13	Aim to achieve the Teaching to Non-Teaching ratio of 1:1.1	
14	Bear the recurring expenditures of the university	

## **1.7 Conditionality**

The State is required to submit a Detailed Project Report (DPR) for the approved proposal for review and appraisal of MHRD, for release of Central grants. It should contain the detailed conversion plan for institution. The DPR template is given in chapter 7 of this Handbook.

## Component 3: Infrastructure Grants to Universities

### 3.1 Abstract:

Infrastructure grants shall be utilized for meeting critical infrastructural requirements in 150 public universities with a grant of Rs.20 crore each during the XIIth Plan period.

### 3.2 Funding Priorities

Universities will be prioritized on the basis of following criteria:

- Universities which have not been included under section 12B- further prioritized on basis of NAAC accreditation, enrolments & antiquity.
- Universities included under section 12B but have not received funding.
- Universities which are Non 12B further prioritized on basis of NAAC accreditation, enrolments & antiquity.

### 3.3 Physical and Financial Outlay

#### Creation of New Facilities

Item	Norms
Hostels (separate for boys and girls)	New construction
Toilets (separate for boys and girls)	New construction
Laboratories	New construction
Computer Centre	New construction
Classrooms (including technologically enabled classrooms)	New construction
Canteen/Cafeteria	New construction
Common room for Students	New construction

#### Renovation/Upgradation of Existing Facilities

Item	Norms
Academic building	Renovation/Upgradation of Existing Facilities
Administrative buildings	Renovation/Upgradation of Existing Facilities
Campus development	Beautification, amenities, water supply, drainage, water harvesting, alternate energy sources, etc.
Hostels	Renovation/Upgradation of Existing Facilities
Toilets	Renovation/Upgradation of Existing Facilities
Library	Renovation/Upgradation of Existing Buildings/ Facilities; Digitisation of

	Existing Resources/Automations
Classrooms	Renovation/Upgradation of Existing Buildings/ Facilities
Auditorium	Renovation/Upgradation of Existing Buildings/ Facilities
Canteen/Cafeteria	Renovation/Upgradation of Existing Buildings/ Facilities
Laboratory	Renovation/Upgradation of Existing Buildings/ Facilities
Computer Centre	Up scaling of existing network to enable wi fi
Playground	Upgradation of Existing Facilities

### New Equipments/ Facilities

Item	Norms
Sports Facility	New Equipments/ Facilities
Computers	New Equipments/ Facilities
Books/ Journals	Purchase of new books
E Resources	Subscription of new journals
Lab Equipment	New Equipments/ Facilities

### 3.4 a) Baseline Data

	Unit	University1	University 2	University 3
Name of the University				
NAAC Accreditation ( if none, status of application)	Grade			
Year of Accreditation & Cycle				
Whether included under 12B of UCG Act	Yes /no			
Year of Establishment				
No. of Students				
Total Sanctioned Post				
No. of regular faculty				
Courses/ Dept.				
Autonomous/ CPE				
Special Attributes , if any				
Future Commitments :	a) University shall agree to abide by a Disclosure Management Framework			
	b) University shall abide by the principle of mid course assessment and evaluation			

**b) Physical and Financial Detail**

	Details	University 1		University 2		University 3	
		Physical Value (Area in Sq.Mt.)-	Financial Value (Rs. in lakhs)	Physical Value (Area in Sq.Mt.)	Financial Value (Rs. in lakhs)	Physical Value (Area in Sq.Mt.)	Financial Value (Rs. Inlakhs)
Creation of New Facilities	Hostels (separate for boys and girls)						
	Toilets (separate for boys and girls)						
	Laboratories						
	Computer Centre						
	Classrooms (including technologically enabled classrooms)						
	Canteen/Cafeteria						
	Common room for Students						
Renovation/ Up gradation of Existing Facilities	Academic building						
	Administrative buildings						
	Campus development						
	Hostels						
	Toilets						
	Library						
	Classrooms						
	Auditorium						
	Canteen/Cafeteria						
	Laboratory						
	Computer Centre						
New Equipments/ Facilities	Playground						
	Sports Facility						
	Computers						
	Books/ Journals						
	E Resources						
	Lab Equipment						
Any other item, that the State deems fit.							

***The State can spend maximum 40% of the total cost in case of new construction, renovation/upgrade and equipment respectively.***

**c) Proposed Plan**

<b>Item</b>	<b>Renovation/New Construction/Equipment</b>	<b>Existing Infrastructure</b>	<b>Proposed Infrastructure</b>	<b>Financials</b>	<b>Justification</b>
Eg. Classroom	New Construction	10	5	10 lakh per class	More seats required for more classes required for additional courses

**d) A consolidated table may be given as follows in order of priority, highest to lowest**

<b>Name of the university</b>	<b>2014-15</b>	<b>2015-16</b>	<b>2016-17</b>	<b>Total cost (Rs. lakhs)</b>
1.				
2.				
....				
....				

## Component 4: New Model Degree Colleges

### **Abstract:**

RUSA envisages setting up of a MDC in 374 Educationally Backward Districts of total 640 districts of the country. 60 New Model Degree Colleges would be sanctioned during the current plan period.

The this component setting up of a new MDC by way of New construction the proposed college is eligible for a funding of Rs. **12 Cr (max) for the plan period** and any over and above amount is to be borne by the State government.

### **Funding priorities:**

- Districts will be categorised into categories
  - Category 1: with 0-1 college
  - Category 2: with 2-4 colleges
- Low College Population Index(CPI)
- High proportion of socially and economically backward population
- Low female , SC/ST GER

### **Specifications:**

#### **1. LOCATION OF MODEL DEGREE COLLEGE:**

The following criteria may be considered for identifying the location.

- The location of the college must be such that there exist no other college in the radius of 10 km.
- Predominantly rural population is preferred.
- A new college as an additional college in the vicinity may only be permitted only if the existing college has more than 1000 students; or there is no separate college for women in area of 10 Km radius.
- The location should be accessible and well connected by transport facilities.
- The population density in the proposed location must be higher in comparison with the contending locations.

## **2. INFRASTRUCTURE**

### **2.1. PHYSICAL INFRASTRUCTURE**

- 2.1.1. **LAND:** the minimum land requirement in a non-metropolitan urban area is 5 acres while in a Non-urban location is 10 acres.
- 2.1.2. **BUILDING:** the colleges proposed must have an administrative and academic building along with enough space to accommodate the academic requirement (as specified by the University for which the MDC may become the constituent college).
- 2.1.3. **CIVIC FACILITIES:** essentials like water, electricity, ventilation, toilets in conformity with the norms lay down by State PWD.
- 2.1.4. **FURNITURES:** appropriate furniture's for student and staff based on the strength.

### **2.2. ACADEMIC INFRASTRUCTURE**

#### **2.2.1. FACULTY:**

- For a multi-Faculty co-education college- at least 50 Faculties.
- For a multi Faculty Women's college- at least 25 faculty members.

#### **2.2.2. BOOKS IN LIBRARY:** Availability of high quality online database

#### **2.2.3. LAB EQUIPMENT:** Costing at least RS. 20 lakh for basic courses and Rs. 10 Lakh for innovative courses.

#### **2.2.4. LANGUAGE / COMMUNICATION LABS:** At least 20 computer stations with required software have and trained personals.

#### **2.2.5. COMPUTER CENTRE:** with internet and intranet facility and sufficient computers to provide for the available students.

#### **2.2.6. STUDENTS:**

- If college is in non-metro urban area- Min. 1000 students.
- If college is in backward area-Min. 500 students
- Women's college in Non-Metropolitan urban area- min 300 students
- Women college in a backward area- Min. 150 Students



2.2.7. **TEACHER STUDENT RATIO:** preferably 1:20

2.2.8. **TEACHING-NONTEACHING RATIO:** preferably 1:1.1

### 3. NATURE OF MODEL DEGREE COLLEGE

Preferred that the MDC be established as the constituent college of a University.

### 4. PHYSICAL AND FINANCIAL LAYOUT (NON- RECURRING ITEMS)

FINANCIAL NORM	NO	ITEM	TIER 1 CITIES		TIER 2 CITIES		HILLY AREAS	
			AREA (SM)	COST PER SM= 33371	AREA (SM)	COST PER SM= 31622	AREA (SM)	COST PER SM= 44600
			TOTAL		TOTAL		TOTAL	
				Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
	1	Administrative Buildings, Faculty rooms	800	266.96	800	252.97	525	234.41
	2	Laboratories	410	136.82	500	158.11	300	133.95
	3	Classrooms	810	270.3	870	275.11	730	325.94
	4	Library	350	116.79	400	126.48	300	133.95
	5	Computer Centre/E-campus	175	58.39	175	55.33	100	44.65
	6	Toilet Blocks separate for boys and girls	175	58.39	175	55.33	100	44.65
	7	Miscellaneous	95	31.7	95	30.04	50	22.32
		TOTAL	2815	939.35	3015	953.37	2105	939.87
FINANCIAL NORM	NO	ITEM	TIER 1 CITIES		TIER 2 CITIES		HILLY AREAS	
			AREA (SM)	COST PER SM= 33371	AREA (SM)	COST PER SM= 31622	AREA (SM)	COST PER SM= 44600
			TOTAL		TOTAL		TOTAL	
				Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
		Hostel for 100 students separate for boys and girls on 60:40 ratio	1000	260.96	1000	247.22	800	260.64
		<b>GRAND TOTAL</b>	<b>3815</b>	<b>1200.31</b>	<b>4015</b>	<b>1200.59</b>	<b>2905</b>	<b>1200.51</b>

**A. BASELINE DATA**

	<b>Indicator/ Unit</b>	<b>Model college 1</b>	<b>Model college 2</b>	<b>Model college 3</b>
District under which model college is proposed				
Is it EBD District	<b>Yes/No</b>			
Number of colleges in the concerned district	<b>Number</b>			
No of Colleges per 1,00,000 students of 18-23 year age group in the district (CPI)	<b>Number</b>			
Percent of SC and ST population to total in the district	<b>Ratio</b>			
Percent of Female students enrolled to 18-23 year age group female population in the district ( GER)	<b>Ratio</b>			
Percent of SC and ST students enrolled to 18-23 year age group SC and ST population in the district ( GER)	<b>Ratio</b>			
Does the State commit to bear recurring expenses	<b>Yes/No</b>			
does the State commit to provide girls hostel and toilet	<b>Yes/No</b>			
Reservation for socially & economically weaker section	<b>Yes/No</b>			
does the State commit to provide disabled friendly campus	<b>Yes/No</b>			
does the State commit to provide special facilities/equipment's for disabled	<b>Yes/No</b>			
Whether college is constituent or govt.				
Whether a new MDC	<b>Yes/No</b>			
Sanctioned /Established after 01.01.2008	<b>Date</b>			
Available land area	<b>in Acres</b>			
No of colleges within 10 Km radius	<b>Number</b>			
Student Intake proposed	<b>Number</b>			
Faculty Proposed	<b>Number</b>			
Non-teaching staff proposed	<b>Number</b>			

## B. FINANCIAL PROPOSAL

### CIVIL COMPONENT

Proposed College Falls under, (Tier-1/Tier-2/Tier-3)	Model College-1		Model College - 2		Model College - 3	
	Physical Value (Sq. Mt)	Financial Value ( lakh)	Physical Value (Sq. Mt)	Financial Value ( lakh)	Physical Value (Sq. Mt)	Financial Value ( lakh)
Administrative Buildings including faculty room						
Academic Building						
Laboratories						
Classrooms (Number)						
Library						
ComputerCentre						
Toilet- Boys						
Toilet -Girls						
Hostel- Boys						
Hostel- Girls						
Auditorium						
Canteen/Cafeteria						
Fixing and fixtures						
Other						
<b>TOTAL</b>						
<b><u>NON-CIVIL COMPONENT</u></b>						
	Model College-1		Model College - 3		Model College - 3	
	Physical Value	Financial Value ( lakh)	Physical Value	Financial Value ( lakh)	Physical Value)	Financial Value ( lakh)
No. of books in Library proposed						
No. of computers proposed (Including in admin block)						
Cost of procuring lab equipment's						
Sports equipment						
<b>TOTAL</b>						
<b>GRAND TOTAL</b>						

*The cost for fixture and furniture for all headers may be written separately and only the construction cost may be mentioned against headers*

### C. CONSOLIDATED SHEET

Model College	Total cost (Rs. lakhs)	Reasons in support of model college
A		
B		
C		
D		
E		

### D. CONDITIONS FOR FUNDING

The funding in this component is subject to submission of a Detailed Project Report (DPR) by the State.

### E. SOME IMPORTANT POINTS

#### 1. Total number of classrooms in a MDC :

Total area allocated for classroom= 810 Sq. Mt.

Area per class = 80 Sq. Mt.

Total classroom: 10

2. **Nature College:** MDC may be set up as a constituent college which means that the funding of the new college will be routed through University or as an affiliated college which means that funding will be routed through the State government.

3. **The recurring expenditure to be borne by the State.**

4. **Implementation of governance and institutional reforms.**

### F. Conditionality

The State is required to submit a Detailed Project Report (DPR) for the approved proposal to MHRD for review and appraisal, to avail the fund release. The DPR template is given in chapter 7 of this Handbook.

## **Component 5: Up gradation of existing Degree Colleges to Model Degree Colleges**

### **Abstract**

Under this component funds will be provided for upgrading existing government colleges into Model Degree Colleges, located in Non- Educationally Backward Districts of the Country. However, priority would be given to those districts that have not yet established a new 'Model Degree College' under the UGC/RUSA. The support would be to a maximum of 54 Colleges with financial allocation of Rs. 4 crore to each college.

### **1. Priority for funding**

- Districts with low CPI.
- Better NAAC Accreditation Status(higher NAAC grades would be preferred).
- High proportion of socially and economically backward population in the district where the college is located.
- Low GER of SC/ST and female students in the district where the college is located.
- Colleges with large student population.
- Colleges with special attributes.

**2. Physical and Financial Proposal** (each institution has the flexibility of choosing the appropriate items from below (based on the needs and supported by evidence). **For the physical & financial layout please refer to table in component 4: New Model Degree College.**

## **PHYSICAL AND FINANCIAL LAYOUT**

- *In order of priority.*
- *State is flexible to choose the item as per need*

<b>Table 1. New construction (maximum 40 %)</b>				
Items	Model college 1		Model college 2	
	Physical unit	Financial unit	Physical unit	Financial unit
Administrative building				
Seminar room				
Committee room				
Classrooms				
Library				
Laboratory				
Common room for students				
Toilet-boys				
Toilet- girls				
Hostel- girls				
Hostel- boys				
Other common facility				

<b>Table 2. Upgradation/ renovation (maximum 40 %)</b>				
Items	Model college 1		Model college 2	
	Physical unit	Financial unit	Physical unit	Financial unit
Academic building				
Administrative building				
Library				
Clasroom				
Laboratory				
Computer centre				
Wi-fi enabling				
Hostels				
Toilets				
Auditorium				
Canteen/ cafeteria				
Campus development				
Playground upgradation				

- *In order of priority.*
- *State is flexible to choose the item as per need*

Table 3. New equipment/ facility (maximum 40 %)				
Items	Model college 1		Model college 2	
	Physical unit	Financial unit	Physical unit	Financial unit
No. Of computer				
Laboratory equipments				
Books & journals/e-resources				
Sports facility				
Any other				

- State is flexible to choose the item as per need

### 3. BASELINE DATA:

	Indicator/Unit	College 1 (name)	College 2 (name)	College 3 (name)
District where the college is located	Name			
Number of colleges in the district	Number			
Is it an EBD District	Yes/No			
No of Colleges per 1,00,000 students of 18-23 year age group in the district(CPI)	number			
District GER	%			
Percent of Female students enrolled to 18-23 year age group female population in the district (Female GER)	%			
Percent of SC and ST students enrolled to 18-23 year age group SC and ST population in the district( SC/ST GER)	%			
Percent of SC and ST population to total in the district	%			
Year of Establishment of the proposed college	Year			

NAAC Accreditation Status(if the accreditation is not valid or the institution is not accredited yet, please specify whether application has been submitted for reaccreditation or Letter of Intent for accreditation)	Grade. Year/ Cycle/ Application Status			
Total Number of Students	Number			
Whether the proposed college is a government – run institution?	Yes/No			
Land area available to the college				

#### 4. Future Commitments

Colleges that will be upgraded into Model Degree Colleges would have to fulfil the following requirements:

- Girl’s hostels and girls toilets.
- 50% of the capacity of new hostels would be used for socially and economically weaker sections.
- Ensure a disabled-friendly campus.
- Ensure special facilities/equipments for the disabled.

#### 5. Conditions to be met before the release of funds

The State is required to submit a Detailed Project Report (DPR) for the approved proposal to MHRD for review and appraisal, to avail the fund release. The DPR template for this component is given in chapter 7 of this Handbook.



## **Component 6: New Colleges (Professional)**

### **6.1: Abstract**

Grants will be provided for establishing 40 new professional colleges in the 12<sup>th</sup> plan period. States which are over-saturated in terms of institutional density and vacant seats will not be considered for grants.

The Grant would be maximum of Rs. 26 crores for each institution. All technical colleges other than Agriculture and Medical would be considered subject to PAB approval.

### **6.2: Funding Priorities**

Districts will be graded into category A and B on the basis of the following criteria:

District with 0 -1 professional college (Government or Private) – Category A

District with 2 or more professional colleges (Government or Private) – Category B

Districts in category A will be given priority over B

Priority would be given to Districts with following characteristics:

- Without colleges
- High proportion of socially and economically backward population
- Low GER for female students
- Low GER (SC/ST)
- High Student Population

### **6.3 Commitments by the State Government**

State Governments will have to commit the following for getting grant under this component:

- To provide separate hostels and toilets for girls.
- Reservation for socially and economically weaker section as per State Government policy.
- To ensure special facilities/ equipments for the disabled.
- To have student teacher ratio of 25:1.
- To have teaching to non-teaching ratio of 1:1.1.

### 6.3: Physical and Financial Outlay

	No	Item	TIER 1 Cities		TIER 2 Cities		Hilly Areas	
			Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM
				<b>33371</b>		<b>31622</b>		<b>44650</b>
				Rs. in lakh		Rs. in Lakh		Rs. in Lakh
	1	Administrative Building	1200	400.45	1200	379.46	800	357.2
	2	Seminar Room	300	100.11	300	94.86	200	89.3
	3	Library	300	100.11	300	94.86	300	133.95
	4	Academic Block (classrooms etc)	1000	333.71	1000	316.22	1000	446.5
	5	Electronics Lab	300	100.11	350	110.67	200	89.3
	6	IT Lab Electrical	300	100.11	350	110.67	200	89.3
	7	CNC Lab	250	83.42	250	79.05	200	89.3
	8	Mechatronics Lab	300	100.11	350	110.67	200	89.3
	9	Chemical Lab	200	66.74	250	79.05	175	78.13
	10	Civil Lab	200	66.74	250	79.05	175	78.13
	11	Instrumentation Lab	300	100.11	350	110.67	200	89.3
	12	Workshop	250	83.42	250	79.05	250	111.62
	13	Computer Centre cum Cyber Café	700	233.59	700	221.35	400	178.6
	14	Conference Room	250	83.42	250	79.05	250	111.62
	15	Confidential Room	200	66.74	200	63.24	150	66.97
	16	Committee/Syndicate Room	300	100.11	300	94.86	150	66.97
	17	Common Room for students	150	50.05	150	47.43	150	66.97
	18	Toilet Block	200	66.74	220	69.56	150	66.97
	19	Cafeteria	90	30.03	100	28.45	50	22.32
		<b>Total</b>	<b>6790</b>	<b>2265.82</b>	<b>7120</b>	<b>2248.22</b>	<b>5200</b>	<b>2321.75</b>
				<b>Rs. 26096 Per SM</b>		<b>24722 Per SM</b>		<b>32581 Per SM</b>
	20	Hostel	1280	334.02	1420	351.05	855	278.56
		<b>Grand Total</b>	<b>7690</b>	<b>2599.84</b>	<b>8140</b>	<b>2599.27</b>	<b>5750</b>	<b>2600.31</b>

**Note 1:** Each institution has the flexibility of choosing the appropriate items based on their need (supported by evidence) in order for them to convert into a fully functional college.

**Note 2:** Equipment, fixtures and furniture are part of the estimate

**Note 3:** Staff -

(a) Non-teaching – The State Governments will fill/appoint additional non-teaching staff in order to achieve the ideal teaching to non-teaching ratio of 1:1.1.

(b) Teaching – State Governments will fill vacant positions and create additional positions with a Student Teacher ratio of 25:1 or below can approach RUSA for support of these additional positions in order to achieve the target of 15:1

#### 6.4: Baseline Data

A maximum of 5 Proposals from a particular State may be proposed under the new professional college scheme. At the State level, Directorate of Technical Education may be consulted for setting up of new professional colleges in the State.

The following information should be given:

**Table 6.1: Baseline data for new professional colleges**

Items	Indicator /Unit	Prof college A	Prof college B	Prof college C	Prof college D	Prof college E
District under which professional college is proposed	Name					
GER of the District	number					
Technical GER of the District	number					
Number of Government Professional colleges or university in the concerned district						
Number Private colleges or university in the concerned district						
Total number of Professional colleges or universities(Govt. & Private) in the concerned district	number					
No of professional Colleges per 1,00,000 students of 18-23 year age group in the district (CPI)	number					

No. of Polytechnics in the District						
No. of ITIs in the Districts						
No. of vocational colleges in the District						
Total School passouts in the District	Number & year					
Total population of 18-23 age group in the district	Number					
Total SC and ST population in the district	Number					
Percent of SC and ST population to total in the district	%					
Total Female population of 18-23 age group in the district	Number					
Percent of Female students enrolled to 18-23 year age group female population in the district (Female GER)	%					
Total SC and ST population of 18-23 age group in the district	Number					
Percent of SC and ST students enrolled to 18-23 year age group SC and ST population in the district (SC/ST GER)	%					
Number of major industries in the District	Heavy Industries					
	MSME					
	Small and micro Enterprises					
Number of major industries in the adjoining Districts						

**Table 6.2: Commitments of the State Government**

Commitments	Yes/No
Does the State commit to provide separate hostels and toilets for girls	
Does the State commit for reservation of socially and economically weaker section as per State Government policy.	
Does the State commit to ensure special facilities/ equipments for the disabled	
Does the State commit to have student teacher ratio of 20:1.	
Does the State commit to have teaching to non-teaching ratio of 1:1.1.	

**Table 6.3: Physical and Financial proposal**

Items	Professional college – A		Professional college – B		Professional college – C		Professional College -D		Professional College-E	
	Physical Value (Area in Sq.Mt)	Financial Value (Rs. in lakhs)	Physical Value (Area in Sq.Mt.)	Financial Value (Rs. in lakhs)	Physical Value (Area in Sq.Mt.)	Financial Value (Rs. in lakhs)	Physical Value (Area in Sq.Mt.)	Financial Value (Rs. in lakhs)	Physical Value (Area in Sq.Mt.)	Financial Value (Rs. in lakhs)
The proposed college falls under, please specify (Tier-1/Tier-2/Tier-3)										
Administrative Building										
Seminar room										
Library										
Academic Block (classrooms etc)										
Electronics Lab										
IT Lab										
Electrical										
CNC Lab										
Mechatronics Lab										
Chemical Lab										
Civil Lab										
Instrumentatio										

n Lab										
Workshop										
Computer Centre cum Cyber Café										
Conference Room										
Confidential Room										
Committee/Sy nd icate Room										
Common Room for students										
Toilet Block										
Cafeteria										
Hostel										
<b>Total</b>										

**Note 1:** Each institution has the flexibility of choosing the appropriate items based on their need. **Note 2:** Equipment, fixtures and furniture are part of the estimate

**Table 6.4: Cost of Equipment, fixtures and furniture.**

Items	Professional college – A		Professional college – B		Professional college – C		Professional College -D		Professional College-E	
	Physical unit	Financial Value (Rs. in lakhs)	Physical unit	Financial Value (Rs. in lakhs)	Physical unit	Financial Value (Rs. in lakhs)	Physical unit	Financial Value (Rs. in lakhs)	Physical unit	Financial Value (Rs. in lakhs)
No. of computer										
Laboratory equipment										
Books & journals/e-resources										

Sports facility										
Any other										

**Table 6.5: Consolidated table of proposed new professional colleges in order of priority:**

Professional College	Total cost (Rs. lakhs)	Justification in support of new professional college
College A		
CollegeB		
CollegeC		
CollegeD		
CollegeE		

### **6.5: Conditionality**

The State Governments would be required to submit the Detailed Project Report (DPR) for each approved college as per the DPR template given in Chapter 7.

## Component 7: Infrastructure Grants to Colleges

### 7.1 Abstract:

Infrastructure grants shall be utilized for meeting critical infrastructural in 3500 colleges with a grant of Rs.2 crore each during the XIIth Plan period.

### 7.2 Funding Priorities

Colleges will be prioritized on the basis of following criteria:

- i) Colleges included under **section 12B**:
  - Which have valid NAAC Accreditation (Grade 'B' or above)
  - If not valid NAAC Accredited as on date, its status of Lol application would be considered
- ii) Colleges which have **not been included under section 12B**- would be considered once they acquire a valid NAAC Grade after 6 years of existence.

Colleges will be divided into category A, B & C on the basis of following criteria:

- No of Students
- Year of Establishment
- % of SC/ST/OBC and Women students

### 7.3 Physical and Financial Outlay

#### Creation of New Facilities

Item	Norms
Hostels (separate for boys and girls)	New construction
Toilets (separate for boys and girls)	New construction
Laboratories	New construction
Computer Centre	New construction
Classrooms (including technologically enabled classrooms)	New construction
Canteen/Cafeteria	New construction
Common room for Students	New construction



## Renovation/Upgradation of Existing Facilities

Item	Norms
Academic building	Renovation/Upgradation of Existing Facilities
Administrative buildings	Renovation/Upgradation of Existing Facilities
Campus development	Beautification, amenities, water supply, drainage, water harvesting, alternative energy sources, etc.
Hostels	Renovation/Upgradation of Existing Facilities
Toilets	Renovation/Upgradation of Existing Facilities
Library	Renovation/Upgradation of Existing Buildings/ Facilities; Digitisation of Existing Resources/Automations
Classrooms	Renovation/Upgradation of Existing Buildings/ Facilities
Auditorium	Renovation/Upgradation of Existing Buildings/ Facilities
Canteen/Cafeteria	Renovation/Upgradation of Existing Buildings/ Facilities
Laboratory	Renovation/Upgradation of Existing Buildings/ Facilities
Computer Centre	Up scaling of existing network to enable wi fi

## New Equipments/ Facilities

Item	Norms
Sports Facility	New Equipments/ Facilities
Computers	New Equipments/ Facilities
Laboratory	New Equipments/ Facilities
Books/ Journals	Purchase of new books
E Resources	Subscription of new journals

*Note 1: The institution may choose from the components above for upgrading the existing facilities. Item costs would be restricted to those mentioned in Components 4, wherever new construction is permitted.*

*Note 2: Repairs and maintenance cost shall not exceed 20% of total cost*

*Note 3: Creation of New Facilities, Up gradation of Existing Facilities & Purchase of new equipment shall not exceed a maximum 50% of the total cost*

*Note 4: Each institution has the flexibility of choosing the appropriate items based on their need (supported by evidence) in order for them to convert into a fully functional College.*

### 3.4 a) Baseline Data

	Indicator	Unit	College 1	College 2	College 3
Name of the College					
Year of establishment		Year			
Category (Govt./Aided)		Category			
NAAC Accreditation( if none, status of application)		Grade			
Year of Accreditation & Cycle					
Whether included under 12B of UCG Act		Yes /no			
Area of the proposed College fall under	Pls. Specify (Tier-1/Tier-2/Tier-3 )	Category			
Number of students enrolled		Number			
SC	Number/total	Ratio			
ST	Number/total	Ratio			
OBC	Number/total	Ratio			
Women students	Number/total	Ratio			
Special Attributes , if any					

**b) Physical and Financial Details:**

Details of existing college	College – 1			College - 2			College - 3		
	New Construction /Renovation (Pls. Specify)	Physical Value (Area in Sq.M t))	Financial Value (Rs. in lakhs )	New Construction /Renovation	Physical Value (Area in Sq.M t.)	Financial Value (Rs. in lakhs )	New Construction /Renovation	Physical Value (Area in Sq.M t.)	Financial Value (Rs. in lakhs )
Hostels (Separate for boys and girls)									
Toilets (Separate for boys and girls)									
Laboratory									
Computer Centre									
Classrooms (including technologically enabled classrooms)									
Common room for students									
Canteen/Cafeteria									
Academic Buildings									
Administrative buildings									
Campus development									
Library									
Auditorium									
Sports facility									
Books/Journals/e-Resources									

**d) A consolidated table may be given as follows in order of priority, highest to lowest**

Name of the College in descending order of importance	2014-15	2015-16	2016-17	Total
<b>1</b>				
<b>2</b>				
....				
....				

**d) Details of Proposals with Justification**

Item	Renovation/New Construction/Equipment	Existing Infrastructure	Proposed Infrastructure	Financials	Justification
Classroom as example	New Construction	10	5	10 lakh per class	More seats required for more classes required for additional courses

## **Component 8: Research, Innovation & Quality Improvement**

### **Abstract:**

During the current plan period, 10 States will receive funds under this component to facilitate research and innovations.

### **Financial Outlay:**

An amount of Rs. 120 crore would be given to each of the 10 States which meet the prerequisites. States will have to prepare a Research and Innovation Plan (RIP) with components. PAB will be at liberty to approve the plan in its entirety or restrict it to a few selected interventions.

### **Specifications:**

- States that have either already implemented reforms or given the commitment to the earliest implementation of reforms that would facilitate research and innovation at institutional level.
- Plans for providing facilities that support research hubs/parks etc.
- Adoption of meta-university concept that offer cross university education and credit transfer facility to students
- Procure high quality e-resources
- Upgrade library and laboratory facilities
- Facilities like incubation centers, innovation hubs, etc.
- Initiatives to attract top-rated international faculty
- Competitive compensation for faculty
- Initiatives to attract high quality researchers and students
- Institutions that offer merit-based scholarships, fully-funded doctoral fellowships, post-doctoral fellowships
- Exposure visits for both faculty and students
- Faculty and students exchange programmes with world-class institutions
- Initiatives to scale up industry-academia partnership
- Promotion of inter-disciplinary and trans-disciplinary research centers
- Promotion of research and entrepreneurial activities
- Support for the setting up of science parks and cutting edge technology and instrumentation facility
- Support different types of research programs – Base Research, Key Technology (R&D), High end (R&D), etc.

- Develop a network of top quality University – Convergence model
- Outreach and public engagement facility
- Staff Excellence and organizational Stewardship
- Support in bifurcating undergraduate, postgraduate and research programmes
- Identify a few departments or fields of critical importance and move them into a position of world leadership while striving to prevent others from losing such stature.

**Note 1:** *Expenditure on hard components would be restricted to 60% of the total cost of the estimate. 40% would be towards expenditure on soft components. Hard components include buildings, furniture, fixtures, equipments etc. However, computers and ICT infrastructure, books and consumables would not be treated as hard components.*

**Note 2:** *Each institution has the flexibility of choosing the appropriate items based on their need (supported by evidence) in order for them to convert into a fully functional university. The institutional plan will be appraised and evaluated at the State and Technical Support Group levels and objective decision will be taken to support reasonable and balanced plans*

**Note 3:** *States may decide the about unit of implementation. It can be either the State as a whole or a few select institutions.*

## Component 9: Equity Initiatives

### 9.1 Abstract

During the 12th Plan period, 20 States will receive funds under this component. All State universities and colleges will be eligible to receive grants for equity initiatives. Innovative approach/schemes to ensure greater inclusion will be considered on priority. Each State would be funded an amount of Rs. 5 crores.

### 9.2 Funding Priorities

- Better participation rate of Females, SC/ST/OBCs & other economically weaker sections against specified percentages of reservations in institutions.
- The number of institutions that have/plan to create:
  - Equal opportunity cells
  - Gender/ Social groups sensitization awareness and campaign
  - Remedial classes, Computer Classes, etc.
  - Disabled friendly campus
  - Enhancing soft skills: Personality Development, Communication, Interview, Business Communication, etc.
  - Other innovative schemes/programs to enhance equity and inclusion. E.g., Self-defense classes for girls, etc.

### 9.3 Future Commitments

- Adherence to need-based admission of students.
- 50% of hostel seats should be reserved for socially and economically weaker sections.
- Adherence to the reservation policy of State government in admission and faculty recruitment.

### 9.4 Financial Outlay

**Each State would be given an amount of Rs. 5 crore.** States will be at liberty to design State-specific strategies. Even the unit of implementation can be either the State as a whole or a few select institutions.

## 9.5 Baseline Data

### 1. Details of the College(s) proposed to undertake Equity Initiatives

Scrutiny at the State level should carefully examine the funding priority given in the RUSA guideline. The information is given in the institutional plan of college and PG Departments. Based on Institutional Development Plan of a college, Prioritize the college in descending order of importance with respect to **Equity Initiatives** grant to college with a maximum limit of Rs. 3 lakhs for each college and present the information in the following table:

Basic Information		
Has the State prioritized colleges for funding	Yes/No	
Colleges prioritized for funding	Number	

### 2. Physical and Financial Proposal

Details - University & College wise						
Details	University-1		University-2		University-3 & C	
	Physical (Number)	Financial (Rs. In lakhs)	Physical (Number)	Financial (Rs. In lakhs)	Physical (Number)	Financial (Rs. In lakhs)
Equal Opportunity Cells						
Plan to create remedial classes Computer Classes, etc.						
Hostels (SC/ST/OBC/Females)						
Disabled Friendly Campus						
Enhancing Soft Skills of Students						
Other innovative schemes / programs to enhance equity & inclusion (please specify)						



**University A: Priority Order of Colleges for Equity Initiatives (Rs. lakhs)**

Name of the College in descending order of importance	2014-15	2015-16	2016-17	Total

**3. Commitments required to be furnished (Yes/ No)**

Commitment	College A	College B	College C & so on.
<b>Equity and Inclusion</b>			
Adherence to merit-based admission of students.			
50% of hostel seats should be reserved for socially and economically weaker sections.			
Adherence to the reservation policy of State government in admission and faculty recruitment.			

**4. 5 vital reasons for prioritization & justification of grants to Institution for Equity Initiatives**

S. No.	Name of College	Reason

**5. Outcome-Output Targets for Equity Initiatives**

Outcome	Output	Indicator	Unit	2015-16	2016-17
Better equity	SC	Estimated increase in GER for these categories	In %		
	ST				
	OBC				
	Women				

## Component 10: Faculty Recruitment Support

### 10.1 Abstract

- (i) **Name of the Component:**-Faculty Recruitment Support
- (ii) **Eligible amount under RUSA:** - Rs. 5.8 lakh for each faculty position (only in regular/ permanent post) per year. This is a fixed amount and any excess over and above this amount due to higher scales, grade pay or DA increase has to be borne by the State Government.
- (iii) **Total No.of faculty position to be supported:** - 5000 faculty position to be supported during the XII five year plan.
- (iv) **Timeline:**-State must commit to take over the liability of faculty positions at the end of the scheme after 5-8 years, depending on the year in which such position are sanctioned.

### 10.2 Priority for funding:

- (i) Priority will be given to those States which have filled all their vacant sanctioned positions. After filling the positions, RUSA would assist the States in hiring additional faculty to bring the Student-Teacher Ratio to 1:20.
- (ii) For new Institutions created under RUSA:  
RUSA may support faculty positions in New Institutions created under RUSA, only after the State fills all the vacant positions (up to 85%) through regular recruitment and brings the STR to 25:1.

### 10.3 Baseline Data:

**Faculty Recruitment Support** grant to college with a maximum limit of 3 (Ministry to decide) teachers per subject for each college and present the information in the following table:

#### State Information

- (i) Has the State /UT committed to or is committing to take over liability of faculty positions at end of 13<sup>th</sup> plan.
- (ii) Commitment for recruiting only regular faculty
- (iii) State STR ( 2015-16)  
Formula total filled faculty/ total students Enrolled (regular) only in government and government aided State institution
- (iv) Sanctioned Posts : a. filled b. vacant
- (v) Timeline for filling vacant positions

- (vi) Commitment to filling sanctioned position to reach STR of 20%
- (vii) Recruitment in last 3 years ( Regular)

**Details Institution wise**

Details	Indicator	Unit	University -1	University -2	College -1	College- 2
Total Assistant Professors permanent ( proposed)		Number				
Existing or new		Yes/No				
If existing sanctioned posts		Ratio				
STR		Ratio				
FRS Grants proposed		Ratio				
Student teacher ratio		Ratio				
FRS grants Proposed		In lakhs				

**Faculty Recruitment Support Grant to Colleges (Rs. lakhs)**

Name of the Institution in descending order of importance	2014-15	2015-16	2016-17	Total
<b>Grand Total</b>				

## Component 11: Faculty Improvement

### 11.1 Abstract:

Academic Staff Colleges / University/ Institutions will be given funds to improve infrastructure and resources for training and capacity-building activities. In the 12th plan a total of 20 States will be funded Rs 10 cr each. The total outlay in the 12th plan is 200 cr.

### 11.2 Funding Priorities

Funding would be provided to those Academic Staff Colleges which are categorized as 'Performers' in the UGC review process.

Funding would be provided for the facilities which are not supported by UGC for enhancing the skills and domain knowledge of faculty in State Universities and Colleges.

### 11.3 Base line Data

	Approved	Filled	Vacant
<b>No. of Faculty Positions</b>			
<b>No. of Non- Teaching Positions</b>			

### 11.4 Physical and Financial Outlay

(The list given is illustrative and States will be at liberty to design State specific details)

Activity	Norms	Indicator	Training Institute	University	Academic Staff college
<b>Construction</b>	Building Academic & Administrative	Area (In Sq. M)			
		Amount (In lakhs)			
	Hostel (Sq. M.)	Area			
		Amount(In lakhs)			
	Network Room	Area (In Sq. M)			
		Amount(In lakhs)			

	Classroom	Area (In Sq. M)			
		Amount(In lakhs)			
	Laboratory	Area			
		Amount(In lakhs)			
<b>Up-gradation, renovation and repairs</b>	Building Academic & Administrative	Area (In Sq. M)			
		Amount(In lakhs)			
	Hostel (Sq. M.)	Area (In Sq. M)			
		Amount(In lakhs)			
	Classroom	Area (In Sq. M)			
		Amount(In lakhs)			
	Laboratory	Area (In Sq. M)			
		Amount(In lakhs)			
<b>Equipment</b>	Funds required for Books / e-resources	Amount(In lakhs)			
	Funds required for repairs and renovation	Amount(In lakhs)			
	Furniture/Equipment	Amount(In lakhs)			
	Others	Amount(In lakhs)			
<b>Courses</b>	No of refresher courses organised	Amount(In lakhs)			
	Academic faculty	Amount(In lakhs)			
	Administrative & Support Staff	Amount(In lakhs)			
	Programme cost	Amount(In			

		lakhs)			
	% of Vacancy in permanent faculty position	Amount(In lakhs)			
	Financial support planned by the State	Amount(In lakhs)			
	Funds for training / other faculty improvements	Academic faculty			
		Other Administrative & Support Staff			
	Details of UGC funds for ASC				
	Other*				
	Total (in INR Lac)				

\*Other may include the following but not be limited to:

Library Digitization, Computer Lab (including equipment like chair ,table, software, server etc), wifi ,Projectors, Visual Presenters, Interactive Boards, Movie and Digital Cameras, Sound systems etc.

Item	Infrastructure	Human Resources	Training Program
Funds received from UGC			
Funds received from other sources			
Funds required under RUSA			

### 11.5 Conditionality

The State is required to submit a Detailed Project Report (DPR) for the approved proposal to MHRD for review and appraisal, to avail the fund release. The DPR template is given in chapter 7 of this Handbook.

## **Component 12: Vocationalization of Higher Education**

### **12.1 Abstract**

Funds for vocationalisation will be given to all the States/State universities. Rs. 15 crore would be given to each of the identified States. 20 States will be supported in the current plan period. This will be used to support State Universities in the States.

### **12.2 Funding Priority**

- **Implementing National Vocational Education Qualifications Framework(NVEQF)**
- Strengthening governance, management and financing for vocational education, modernization of management and governance policies, procedures and instructional structures , design and implementation of effective mechanisms for monitoring and evaluation of the projects, support for project coordination, implementation and management
- Developing educational standards and core curriculum as the basis for the institution to design new program, preparation of teacher-training programs for design and delivery of competency- based and modularized curriculum
- Enhancing skills delivery including development and delivery of competency based training and continuous skill upgradation
- Counseling for choice of training and career planning
- Infrastructure support towards the creation and delivery of new programs
- Curriculum reforms with backward and forward linkages so as to integrate school curriculum with job market demand
- Career oriented courses

## **Component 13: Leadership Development of Educational Administrators**

### **13.1 Abstract**

The component is the Centrally Sponsored Scheme which is being executed through TISS in partnership with States to develop leaders in Higher Education. This scheme will support leadership development programmes for department heads, deans, registrars, principals, vice-principals, vice-chancellors, pro vice-chancellors, SHEC members, State project directors, commissioners, secretaries etc. Besides, capacity building initiatives will be provided to State-level policy makers and members of governing bodies at the institutional level. The States should leverage the trained participants through such programs for enhancing the performance of institutions/ system.

### **13.2 Funding Priorities**

All States/State Universities and Colleges (government and government-aided) will be eligible.

### **13.3 Financial Outlay**

An amount of Rs. 100 crores has been earmarked for centrally administering leadership training and development programmes.

### **13.4 Future Commitment**

- All those undergoing training under this scheme should be provided appropriate leadership positions at the institutional level in accordance with established procedures.
- All the participants of such training programmes shall be tracked periodically to ensure that the knowledge acquired from such programmes are implemented at the institutional level.
- Preference in selection for training shall be given to those faculty/educational administrators who are below the age of 50 and have demonstrated leadership skills in their respective institutions.
- Women faculty shall be highly encouraged to participate in this program.



## **Component 14: Institutional Restructuring and Reforms**

### **14.1 Abstract**

Funds will be provided to States and Union Territories (depending on the size of the States) to enable them to create/strengthen necessary institutional framework for efficient and effective sectoral reforms. These funds can be utilized for setting up/strengthening State Higher Educational Councils, State Resource Centers and State Project Directorate.

### **14.2 Funding Priorities**

The States can utilize these resources in organizing meetings, consultations, workshops, trainings, hiring consultants and other preparatory work to prepare the State for the reforms and for setting up/strengthening State Higher Educational Councils, State Resource Centers and State Project Directorate.

### **14.3 Financial Outlay**

Each State will be given Rs. 10 crore repeated in two installments. 20 States will be eligible to be covered during the 12<sup>th</sup> Plan period.

## **Component 15: Capacity Building and Preparation, Data Collection and Planning**

### **15.1 Abstract:**

Funds will be given to States and Union Territories to

- Undertake baseline surveys
- Data collection and compilation.
- Organise meetings, consultations, workshops, trainings
- Hire consultants
- Preparation of State perspective plans/strategy reports

### **15.2 Funding Priority:**

Funds will be given upfront to all the States which agree to participate in RUSA to undertake baseline surveys (to the extent of Central share).

Baseline survey shall be able to identify critical gaps in higher education and which would help in undertaking capacity building exercises to prepare SHEPs through strategic thinking.

### **15.3 Financial Outlay:**

Each State will be given a total amount of Rs.10 crore repeated in two installments.20 States will be supported during the current plan period.

### **Component 16: Management Information System**

The MIS would be Centrally Administered. Funds will be provided to create and maintain strong data systems at the State level for surveys and analysis that could provide information to the national MIS. The RUSA MIS and All India Survey on Higher Education (AISHE) will be integrated. Hence all the participating institutions/States will be mandated to participate in the AISHE and provide detailed information so that the data on State Universities and Colleges can be consolidated.

### **Component 17: Support to Polytechnics**

The Component would be funded under the scheme 'Sub-Mission on polytechnics,' but the requirements under this component should be reflected in the State Higher Education Plan.

## Chapter 6

### State Higher Education Plan

#### **A. Prerequisites**

A cornerstone of RUSA will be the stipulation of a set of a priori prerequisites, or commitments that must be made by the State governments as well as institutions in order to be eligible for receiving grants under RUSA. These conditions are in the nature of categorical policy imperatives that would ensure that the higher education in the country is guided on desirable paths by all the States.

The prerequisites are at two levels, commitments given by States to center and the commitments given by institutions to the States. Unless these commitments are fulfilled, the States and institutions will not be able to avail of grants under RUSA. The States are expected to fulfill the a-priori requirements and also honor the commitments made towards certain conditions which must be fulfilled during the course of RUSA implementation.

#### **a) State Higher Education Council:**

In order for the State Higher Education system to function effectively, States need to set up State Higher Education Councils (SHECs). These councils may be formed through an executive order to begin with, but must be converted into statutory bodies by Acts of the State legislature within two years. The councils will perform multiple roles such as strategy and planning, monitoring and evaluation etc.

#### **b) State Higher Education Plan:**

Under RUSA, a perspective plan -State Higher Education Plan (SHEP) for Higher education in the States is to be drawn up for a spread over a period of ten years which would be reviewed after five years. The States must make a detailed State Higher Education Plan in the prescribed format keeping in mind the norms and indicators under RUSA.

The detailed format for the State Higher Education Plan is provided in the chapter six. The States may elaborate the same with additional information.

#### **c) Financial Contribution to Higher Education as a % of GSDP**

The State is required to increase the expenditure on Higher Education as % of GSDP to 2% by the end of XII Plan and also elaborate on how it is planning to increase it over the years.

**d) State funding- commitment and timelines:**

The State government must gradually increase to spend on the State higher education sector 2% its GSDP during the course of implementation. Any State which was spending more than 2% of GSDP on higher education is expected to maintain the same level.

In addition to the State providing its share, it must also ensure that the funds are transferred to the State Higher Education Councils (SHECs) within the stipulated time period of 15 days failing which they would be liable for payment of interest.

**e) Agreement to create separate fund for RUSA:**

To facilitate transfer of funds, proper banking arrangements at all levels is crucial. The SHECs and beneficiary institutions should open a dedicated RUSA account in a scheduled commercial bank, preferably a nationalised bank. The account details will be mapped on PFMS portal of CGA to facilitate on line fund transfer and monitoring purpose

**f) Filling Faculty Positions:**

The States must ensure that the faculty positions are filled in a phased manner. If any State has imposed a ban on regular recruitment of faculty, the State must ensure lifting of all such ban, and requisite proof must be produced. States must also present a coherent action plan to fill up all the vacant positions in a time bound manner. RUSA seeks to support only a limited number of existing regular faculty positions are to be supported for the entire duration of the scheme. At all times, the % of filled faculty positions should remain at 85%.

**g) Accreditation reforms:**

Accreditation is a mandatory quality assurance framework for funding under RUSA for all the existing institutions which are six years old.

**h) Academic and Examination reforms:**

**Academic reforms:**

Academic reforms are a key towards imparting better quality education that is oriented towards employability and innovation. In addition to changes in the existing system, new policies, that would make higher education more flexible to the needs of the students and the society, have to be introduced. Following are some of the details regarding the academic reforms that may be undertaken by the State:

**(i) Semester System:**

Deliberation and Decisions regarding student faculty contact hours (for class room work, fieldwork, laboratory work, workshop practice and other curricular work in various subjects.) during a semester in different programmes at all levels

(ii)Choice Based Credit System (CBCS)

It is an instructional package developed to suit the needs of students to keep pace with the developments in higher education worldwide taking him/her out of isolated compartmentalized learning environment which clearly indicates for each level of certification learning effort required on the part of the student in terms of credits to be earned as well as participation in instructional hours to be spent through either regular mode or through distance education mode. The student in this system has considerable freedom in choosing courses and so making his / her own personalized programme/ bouquet in a cafeteria mode keeping in mind necessary requirements of a major course.

Review of curricular contents for all the courses at all levels with relative weight age of the core and elective credits.

(iii)Curriculum Development:

The hall mark of vibrant educational institutions and disciplines is their curricular content, which evolves continuously and comprehensively. Curricular revision should be an ongoing academic activity involving all the faculty members All curricular updates are to be reviewed and endorsed by concerned Departmental, schools, committee and other university and college authorities.at regular intervals

(iv) Admission reforms:

As a part of academic reforms, institutions of higher education in the country need to pay very serious attention to the procedures for merit based admission to the all the courses at all levels .Institutions and universities need to make maximum use of all media for keeping the details with respect to the seats available, eligibility calendar of dates etc. for all the courses in the public domain to maintain transparency, fair selection etc.

Examination reforms:

Higher education in India has thus far been largely examination centered. Examination only at the end of academic session or year, more often than not, insulates students from the quest of knowledge, the excitement of discovery and the joy of learning. Often the annual examination, along with marks, percentages and divisions, leads to insensitive cramming up of superficial information. it may be more prudent that the assessment of the student performance be carried out through a combination of continuous internal and external evaluation.

(i) Continuous Internal Evaluation:

Aiming to assess values, skills and knowledge imbibed by students, internal assessment is to be done by the concerned faculty member, department, school or the centre at all the levels in all the courses on a continuous basis.

(ii) End of Semester Evaluation:

This is to be carried out at the end of each semester, and will aim to assess skills and knowledge acquired by the students through classroom instruction, field work, and laboratory work and/or workshop practice. The evaluation can be in form of written examination, laboratory work and/or workshop assignment. The evaluation process should be verified and transparent. Towards this end, the following steps may be adopted:

- i. All the students pursuing certificate, diploma, undergraduate, postgraduate and research courses have to undergo external evaluation at the end of each semester as per syllabi or credit schedule.
- ii. With regard to practical and workshop assignment, the internal faculty may associate themselves with external examiners in the examination process.
- iii. In case of written examination, whatever the format (objective type, essay type etc.), test paper could be moderated by committees proficient in the concerned subjects.
- iv. Answer books or -sheets are to be 'encoded' (before being passed onto the examiner/evaluator, and decoded before tabulation).

(iii) Integration of Continuous and End of Semester Evaluation:

The following points need to be considered for effecting the integration of continuous and end-of- semester evaluation:

- i. The integration procedure should be applicable to all the students pursuing various courses at all the levels
- ii. University committees on the recommendations of Department committees and concerned faculty should discuss and decide on the relative weightage of continuous and end-of- semester evaluations. This weightage could be flexible and could vary from institution to institution.
- iii. The weightage assigned to internal evaluation may range from 25 to 40 percent.

**(i) Governance and Administrative reforms:**

There are in particular two strands of governance viz sectoral (with a strategic framework and appropriate accountability) and institutional (with autonomy in the structures and processes within institutions) that must be improved.

The State may have to carry out legislation/amendments ensuing autonomy to the institutions for the detailed policy, planning and supervision functions in the sector or to provide sector wide services

✓ Affiliation reforms:

- i. Limit the number of colleges to be affiliated to any university to 100. However it would mean establishing more affiliating universities than the present numbers.
- ii. Establish campuses of existing universities to better serve colleges in their physical proximity.
- iii. Large autonomous colleges may be encouraged to develop into universities.

**(j) Participation in AISHE:**

It is mandated under RUSA that all the State Institutions participate in the AISHE and institutions provide requisite data to help prepare a robust database at the National level.

**Baseline Data:**

S.No.	Prerequisite	Key Questionnaire	State's response (YES/NO)/ Commitment as per a set timeline
1	State Higher Education Council	Does the State agree to Create the State Higher Education Council according to the suggestion made under RUSA	
2	State Perspective Plan	Does the State agree to create and submit the State Higher Education Plan according to prescribed guidelines	
3	Financial Contribution to Higher Education as a % of GSDP	Does the State agree to scale up to and maintain prescribed levels of funding to higher education as a % of State Gross Domestic Product (GSD)	
4	Adherence to timelines for fund release	Does the State agree to share the project cost of the Government funded and aided institutions with MHRD in the applicable ration (10:90, 40:60)	
5	Agreement to create separate fund for RUSA	Does the State agree to create separate fund for RUSA	
6	Filling Faculty	Does the State agree to fill up vacant	

	Vacancies	faculty positions	
7	Accreditation reforms	Does the State commit for all State HEIs to apply for accreditation	
8	Academic, Affiliation and examination reforms	Does the State agree to implement all reforms mentioned under RUSA	
9	Governance and Administrative reforms at State Level	Does the State agree to implement all the sectoral governance reforms mentioned under RUSA	
10	Institutional governance (Administrative) reforms	Does the State agree to implement all the Institutional governance/Administrative reformes mentioned under RUSA	
11	Participation in AISHE	Does the State agree for all institutions to participate in AISHE survey and provide requisite data yearly?	



## B. Fund Equalization Formula

S. No.	Criteria	Value
1	Population (Age Group: 18-23) (- <i>As per Census 2011</i> )	
2	Per Capita Income (- <i>as per 2011-12</i> )	
3	Gross Enrolment Ratio ( <i>As per 2011-12</i> )	

4	Performance	2012-13	2013-14	2014-15	2015-16
	<b>Improvement in GER</b>				
	GER- All categories				
	GER- SCs				
	GER- STs				
	<b>Gender Parity Index</b>				
	GPI- All Categories				
	GPI- SCs				
	GPI- STs				
	<b>Expenditure on Higher Education</b>				
	Per Capita Expenditure				
	Expenditure as % of GSDP				
	College - Population Index*				
	Institutional Density				
	Teacher - Student Ratio				
	Research Output				
	No. of Ph.D's Produced ( in thousands)				
	No. of Citations				
5	<b>Special Problems</b>				
	Special Problems may be highlighted by the States that they face according to terrain or problems of very special nature, if they exist in their State.				
	Some suggestive problems could be:				
	a) Very difficult terrain as in Ladhak, J&K				
	b) Naxalite effected area				
	c) Remote Tribal /Hilly Areas, etc.				
	d) Areas which are prone to Vagaries of nature, Andaman & Nicobar island, Lakshadweep				

## C. State Plan at a Glance

### I. **Brief State Profile**

#### 1. Geographic, Demographic and Special Features

a. Geographical Map of the State outlining all the Districts

b. Brief Narrative on State Geographical Profile:

Indicator	Total	Rural	Urban	Tribal	Hilly
Area (in sqkms)					
Number of Districts					

Indicator	State Details
Special Location Features (Sharing of border, etc.)	
Special Problems of the State*	
Any other	

\*Special Problems may be difficult terrain, Naxalite effected area, Remote Tribal /Hilly Areas, Areas which are prone to Vagaries of nature, etc.

c. State Demographic Profile

Total Population (in Lakhs) as per Census 2011										
	SC		ST		OBC		General		Total	
	M	F	M	F	M	F	M	F	M	F
Urban										
Rural										
Total										

Population 18-23 years (In Lakhs) as per the Census 2011										
	SC		ST		OBC		General		Total	
	M	F	M	F	M	F	M	F	M	F
Urban										
Rural										
Total										

2. State Education Profile (School and Higher Education)

a. School Transition Rate

Board	2011	2012	2013	Average of 3 Years
State Board Schools				
CBSE Schools				
Other Board Schools				
Total				

b. Student Enrolment (2011 Census) across socio-economic categories

Enrolments										
	SC		ST		OBC		General		Total	
	M	F	M	F	M	F	M	F	M	F
Urban										
Rural										
Total										

c. State Higher Education Data

Indicator	Overall (2011)	Male	Female	SC	ST
Gross Enrolment Ratio (GER)					
Gender Parity Index (GPI)					

S. No.	Indicator	Data
1	Institutional Density (ID)	
2	College Population Index (CPI)	
3	State's Expenditure on HE as a % of GSDP	
4	Student-Teacher Ratio	

d. District Qualitative Profile

d.1 No. of EBDs in the State (as per UGC list of 374 EBDs): \_\_\_\_\_

d.2 Identification of weakest and strongest districts (max. 5) in State based on their Education profile

Weakest 5 districts	Reasons
Dist 1	
Dist 2	
Dist 3	
Dist 4	
Dist 5	

Strongest 5 Districts		Reasons	
Dist 1			
Dist 2			
Dist 3			
Dist 4			
Dist 5			
Districts with special Needs		Reasons	
Dist 1			
Dist 2			
Dist 3			
Dist 4			
Dist 5			

### 3. Analysis of State's Performance against specific indicators and future targets under RUSA

S. No.	Goals under RUSA	Existing Deficiencies in State HE system	Strategy to overcome deficiencies	Proposed targets under RUSA
3.1	Excellence (Quality)	1. Poor academic quality, less NAAC Institutions	Upgrade academic facilities, new schools	Upgradation to MDC, University
		2.		
		3.		
3.2	Equity	1.		
		2.		
		3.		
3.3	Access	1. Low GER	Increase capacity intake	Additional Greenfield Institutions
		2.		
		3.		
3.4	Others			

## II. District Higher Education Profile

### 1. District wise Education Profile (Overall) (Baseline Data 2012-13)

S. No.	District Name	Total Population (In lakh)	Total 18-23 year age Population (In lakh)	School Passouts (+2) (In lakh)	GER				CPI	ID
					Overall	SC	ST	Female		
1										
2										
3..										
<b>Total</b>										

2. District wise Institution Profile (Baseline Data 2012-13)

S. No.	District Name	State Universities (No.)	Constituent Colleges (No.)	Affiliated Govt. Colleges		Affiliated Govt. Aided Colleges		Affiliated Private colleges (unaided)		Polytechnics		Private Universities (No.)	Govt. approved Institutions that offer Diploma (e.g. ITIs, etc.)	Institutions of National Importance (INIs)
				General	Prof.	General	Prof.	General	Prof.	Govt.	Pvt.			
1														
2														
3..														
<b>Total</b>														

**III. State Institutional Data**

1. University Data (State Overall)

	State Public University	Central University	State Private University	Deemed University	Institutions of National Importance	Others (IITs, IIMs, NITs, etc. not declared as INI)	Total
<b>No.</b>							

2. College Data (State Overall)

	Affiliated Govt. Colleges		Affiliated Govt. Aided Colleges		Affiliated Private colleges (unaided)		Polytechnics		Total
	General	Professional	General	Professional	General	Professional	Govt.	Pvt.	
<b>No.</b>									

3. University wise College Data

S. No.	Name of State University	District (where it is located)	Type of University (Govt/Pvt /Deemed)	Nature of University (General/ Technical/ Agr/Medical , etc.)	Whether Multi-disciplinary or Unitary	Whether Affiliating/ Non-Affiliating	No. of Constituent Colleges	Affiliated Govt. Colleges		Affiliated Govt. Aided Colleges		Affiliated Private colleges (unaided)		Polytechnics		Others	Total
								Gen	Prof.	Gen	Prof.	Gen	Prof.	Govt.	Pvt.		
1																	
2																	
3..																	
<b>Total</b>																	

4. NAAC and UGC 12(B) Status of Institutions (Overall)

<b>Institutions</b>	<b>Category</b>	<b>Total</b>	<b>2f (No.)</b>	<b>12B (No.)</b>	<b>No. of institutions with valid NAAC Accreditation</b>
<b>Universities</b>	State Universities				
	State Private Universities				
	Deemed Universities				
<b>Colleges</b>	Government Colleges				
	Aided Colleges				
	Private Colleges				
	Academic Staff Colleges		<b>NA</b>	<b>NA</b>	
	Any Other (Mention)				
<b>Total</b>					

5. NAAC and UGC 12(B) Status of Institutions (Breakup)

a. University wise details

S. No	Name of University	Year of Establishment	Type of University (Govt./Pvt/Deemed)	Status (whether UGC 2f/Non 2f))	Status (whether UGC 12(B)/Non 12(B))	Accreditation Grade	Accreditation Year and Cycle	Total Teachers in position (All categories)	Total Student Strength	Student-Teacher Ratio (Filled positions)	% Women students	% SC Students	% ST Students	% OBC Students	% Minority Students	Total
1																
2																
3																
4..																
<b>Total</b>																

b. College wise details

S. No	Name of College	Year of Establishment	Affiliated University	Status (whether UGC 2f/Non 2f))	Status (whether UGC 12(B)/Non 12(B))	Category (Govt./Govt. Aided/Pvt /Constituent/ Auto)	Accreditation Grade, Year and Cycle	Total Teachers in position (All categories)	Total Student Strength	Student-Teacher Ratio (Filled positions)	% Women students	% SC Students	% ST Students	% OBC Students	% Minority Students	Total
1																
2																
3																
4..																
<b>Total</b>																



c. Details on Polytechnics

S. No	Name of Polytechnic	Year of Establishment	Category (Govt./ Govt. Aided/Pvt/ Constituent / Auto)	Accreditation Grade, Year and Cycle	Total Teachers in position (All categories)	Total Student Strength	Student-Teacher Ratio (Filled positions)	% Women students	% SC Students	% ST Students	% OBC Students	% Minority Students	Total
1													
2													
3													
4..													
<b>Total</b>													

6. Student-Teacher Ratio in University's Constituent and Affiliated Colleges

Category	University Dept. & Constituent Colleges				Affiliated Colleges			
	Number of Colleges	Number of Students (All Levels)	Number of Teachers in Position	Student Teacher Ratio (Filled Positions)	Number of Colleges	Number of Students (All Levels)	Number of Teachers in Position	Student Teacher Ratio (Filled Positions)
<b>State Public Universities</b>								
1								
2								
3..								
<b>Deemed University</b>								

1								
2								
3..								
<b>State Private University</b>								
1								
2								
3..								
<b>Total</b>								

7. Autonomous Colleges

S. No.	Name	Affiliating University	District where it is Located	Funding (Private/ Govt./ Govt. Aided)	Accreditation Grade, Year & Cycle	Enrolment (in Thousands)	Number of Teachers in Position	Student Teacher Ratio (Filled Positions)
1								
2								
3..								
<b>Total</b>								

8. College with Potential for Excellence Status (Baseline Data 2012-13)

S. No.	Name of College	University	District	Funding ( Govt./ Govt Aided/ Pvt)	Cycle of Extension
1					
2					
3..					
<b>Total</b>					

#### IV. Faculty-wise Baseline & Perspective Data

Faculty – 2012-13 Baseline data												
	Professors				Readers & Associate Professors				Lecturers & Assistant Professors			
	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total
Sanctioned												
Filled												
Vacant												
Ad-hoc/ Contract												
Applies only to faculty that is employed by/paid for directly or indirectly by the Government												
A/S/C – Arts/Science/Commerce												
Prof – Professional courses such as Engineering, BBA, MBA etc												
Others – Any other courses that do not fall in the above categories												

Faculty – 2013-14 Baseline Data												
	Professors				Readers & Associate Professors				Lecturers & Assistant Professors			
	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total
Sanctioned												
Filled												
Vacant												
Ad-hoc/ Contract												
Applies only to faculty that is employed by/paid for directly or indirectly by the Government												
A/S/C – Arts/Science/Commerce												
Prof – Professional courses such as Engineering, BBA, MBA etc												
Others – Any other courses that do not fall in the above categories												

Faculty – 2014-15 Perspective data												
	Professors				Readers & Associate Professors				Lecturers & Assistant Professors			
	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total
Sanctioned												
Filled												
Vacant												
Ad-hoc/ Contract												
Applies only to faculty that is employed by/paid for directly or indirectly by the Government												
A/S/C – Arts/Science/Commerce												
Prof – Professional courses such as Engineering, BBA, MBA etc												

Others – Any other courses that do not fall in the above categories

**Faculty – 2015-16 – Perspective data**

	Professors				Readers & Associate Professors				Lecturers & Assistant Professors			
	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total
Sanctioned												
Filled												
Vacant												
Ad-hoc/ Contract												

Applies only to faculty that is employed by/paid for directly or indirectly by the Government  
A/S/C – Arts/Science/Commerce  
Prof – Professional courses such as Engineering, BBA, MBA etc  
Others – Any other courses that do not fall in the above categories

**Faculty – 2016-17 – Perspective data**

	Professors				Readers & Associate Professors				Lecturers & Assistant Professors			
	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total
Sanctioned												
Filled												
Vacant												
Ad-hoc/ Contract												

Applies only to faculty that is employed by/paid for directly or indirectly by the Government  
A/S/C – Arts/Science/Commerce  
Prof – Professional courses such as Engineering, BBA, MBA etc.  
Others – Any other courses that do not fall in the above categories

**V. Research Studies Baseline Data (2012-13)**

Faculty/Disciplines	Total Enrolment (in Hundreds)		% of Total Enrolment		Average Annual Enrolment (in Hundreds)		% Annual Average Enrolment	
	M	F	M	F	M	F	M	F
Arts								
Humanities								
Languages								
Sciences								

Commerce								
Management								
Agriculture								
Medicine & Allied Health Science								
Engineering Technology								
Law								
Veterinary Science								
Others								
<b>Total</b>								

## VI. Financial Details (Baseline & Perspective)

Year	Financial Outlays (Baseline Data)					
	State GDP (in Rs. Crore)	Total Expenditure on Education (in Rs. Crore)	Total Expenditure on HE as % of GSDP	Total Expenditure on HE as % of Total Expenditure on Education	Total Expenditure on Technical Education as % of GSDP	Total Expenditure on Tech. Edn as % of Total Expenditure on Education
2012-13						
2013-14						

Financial Outlays (Perspective Plan Data)						
Year	State GDP (in Rs. Crore)	Total Expenditure on Education (in Rs. Crore)	Total Expenditure on HE as % of GSDP	Total Expenditure on HE as % of Total Expenditure on Education	Total Expenditure on Technical Education as % of GSDP	Total Expenditure on Tech. Edn as % of Total Expenditure on Education
2014-15						
2015-16						
2016-17						

## VII. Preparation of State Plan

1. Methodology

a. Methodology adopted in preparation of State Plan

b. Has the State conducted a baseline survey? If yes, details

2. Stakeholder Consultation

a. Has the State Higher Education Plan been prepared by the State Higher Education Council? If yes, details

b. Details of Stakeholder Consultation

S. No.	Date of Meeting/ Workshop	Venue of Meeting/ Workshop	Chairman of Meeting	Participants (VCs, Principals, Faculty, Administrators/ Industry/ Alumni)	Outcome

**VIII. Source of Funds & Financial Outlays under RUSA**

1. Source of Funds

Source	Funds Received 2014-15 (In Rs. crores)	Funds Expected 2015-16 (In Rs. crores)	Funds Expected 2016-17 (In Rs. crores)	Total
1. RashtriyaUchchaShikshaAbhiyan				
2. Grants from UGC				
3. Grants from State Higher Education Department				
4. Grants from other State departments				
5. Grants from Central Departments				
6. Raised from private sector, institutions, foundations and organizations				
7. Resources raised by higher education institutions from internal sources like student fees, examination fees etc				
<b>Total</b>				

2. Major Targets and Financial Outlays under RUSA

Component	Number/ target				FinancialOutlay				Adherence to Programmatic Norms and future commitments
	2014-15	2015-16	2016-17	Total	2014-15	2015-16	2016-17	Total	
Up gradation of existing autonomous colleges to Universities									
Conversion of colleges to Cluster Universities									
Infrastructure grants to Universities									

New Model Colleges (General)									
Up gradation of existing degree colleges to model colleges									
New Colleges (Professional)									
Infrastructure grants to colleges									
Research, innovation and quality improvement									
Equity initiatives									
Faculty Recruitment Support									
Faculty improvements									
Vocationalisation of Higher Education									
Leadership Development of Educational Administrators									
Institutional restructuring & reforms									
Capacity building & preparation, Data collection & planning									
Management Information System									
<b>Total</b>									

### IX. Outcome and Output Targets

S. No.	Outcome	Output	Indicator	Unit	2012-13	2013-14	2014-15	2015-16	2016-17
1.	Quality	Higher no. of Institutions accredited (NAAC)	Universities	No.					
			Colleges	No.					
		Faculty	No. of	No.					



			Teachers						
			Improved Student-Teacher Ratio	Ratio					
		Academic reforms	CBCS	% of institutions covered					
			Semester system	% of institutions covered					
		Autonomy	Increase in no. of autonomous colleges	No.					
			Upgradation of Autonomous colleges to universities	No.					
		CPE	More institutions of higher quality	No.					
2.	Greater investment in higher education	Increase in resource allocation at State Level	investment as a% of GSDP	%					
3.	Better transition	Increased number of students from secondary to higher education	Increased number	lakhs					
			Higher percentage	%					
4.	Higher GER	Number of HEIs	Creation of new Universities (Cluster)	No.					
			Creation of new	No.					

			Colleges (MDC, New Professional )							
			Upgradation of Auto. colleges to Universities	No.						
			Upgradation of Colleges to MDC	No.						
		Enrolments	Total	No.						
			SC							
			ST							
			OBC							
			Female							
		GER	Higher GER	%						
5.	Better Equity	SC	Increased GER for these categories	%						
		ST								
		Women								
6.	Better Employability	Vocationalisation	Greater pool of trained manpower	In lakhs						
		Polytechnics	New polytechnics	No.						
			Upgradation of polytechnics	No.						
7.	Better research yields	PhDs	Increase in number produced	No. of PhDs per year						
		M Phils	Increase in number produced	No. of M.Phils per year						
		Investment	Percentage of GSDP spent on R&D	%						

**D. Appraisal format on SHEP prepared by TSG**

**E. DCF 1: Adherence to Prerequisites**

<b>S. No.</b>	<b>Particulars /Component (with reference)</b>	<b>Proposal</b>	<b>Response of the State Govt.</b>	<b>Comments of TSG &amp; Action to be taken by State</b>
1.1.	S. No. 1	State Higher Education Council (SHEC)		
1.2	S. No.2	State Higher Education Plan (SHEP)		
1.3	S. No.3	Financial contribution to higher education as a part of GSDP		
1.4	S. No.4	Adherence to timelines for fund release		
1.5	S. No.5	Creation of a new separate account for RUSA		
1.6	S. No.6	Filling faculty Vacancies		

1.7	S. No.7	Accreditation reforms		
1.8	S. No.8	Affiliation and Examination Reform		
1.9	S. No.9	Governance and Administrative reforms		
1.10	S. No.10	Institutional governance (Administrative) reforms		
1.11	S. No. 11	Participation in AISHE		

### F. DCF 2: Fund Equalisation Formula

S. No.	Reference	Particulars / Component	Response of the State Govt.	Observation/ Action to be taken
2.1	S. No .1	Population (Age Group: 18-23)		
2.2	S. No. 2	Per Capita Income		
2.3	S. No. 3 &4	Improvement in GER		
2.4	S. No. 4	Gender parity index (GPI)		
2.5	S. No. 4	Expenditure on Higher Education		
2.6	S. No. 4	Teacher-Student ratio (1:20 required)		
2.7	S. No. 4	Research Output		
2.8	S. No. 4	No. of PHDs produced		
2.9	S. No. 4	No. of citations		
2.10	S. No. 5	Special Problem		

### G. DCF 3: Component Wise Details

<b>Component 1: Creation of universities by way of up gradation of existing Autonomous Colleges</b>			
Total fund claimed:			
<b>Proposal</b>			
S. No.	Particulars /	Response of the State Govt.	TSG Recommendation/

	<b>Requirement</b>		<b>Action to be taken</b>
3.1.1.a	Minimum 15 years of Existence		
3.1.1.b	Minimum Enrolment of 2000		
3.1.1.c	Land Availability		
3.1.1.d	Adequate Provisions of Library, Hostel, Laboratory, ICT & Sports		
3.1.1.e	NAAC Accreditation		
3.1.1.f	CPE Status		
3.1.1.g	Teaching Program in UG & PG		
3.1.1.h	Multi Faculty College		
3.1.1.i	Interdisciplinary Programs		
3.1.1.j	Student-Teacher Ratio		
3.1.1.k	Internal Governance Structure		
3.1.1.l	Administrative Staff		
3.1.1.m	Jurisdiction (Affiliating or Unitary)		
3.1.1.n	Commitment for Disabled friendly building and equipments, hostels & Toilets for girls		
3.1.1.o	Commitment for Academic quality, use of ICT & Affiliation reforms		

3.1.1.p	Commitment for Governance reforms		
3.1.1.q	Commitment for Equity and Inclusion		
3.1.1.r	Physical & Financial Plan		
3.1.1.s	Reservation for socially and economically weaker sections		

<b>Component 2: Creation of universities by conversion of colleges in a cluster</b>
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<b>Total fund claimed:</b>
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<b>Proposal</b>			
<b>S. No.</b>	<b>Particulars / Requirement</b>	<b>Response of the State Govt.</b>	<b>TSG Recommendation/ Action to be taken</b>
3.2.1.a	Minimum 15 years of Existence		
3.2.1.b	Minimum Enrolment of 2000		
3.2.1.c	Distance of cluster colleges from lead college		
3.2.1.d	Land Availability		
3.2.1.e	Adequate Provisions of Library, Hostel, Laboratory, ICT & Sports		
3.2.1.f	NAAC Accreditation		
3.2.1.g	Combination of Autonomous college/ CPE Status/ Centres		

	of Excellence		
3.2.1.h	Teaching Program in UG & PG		
3.2.1.i	Foundation for multi-disciplinary institution		
3.2.1.j	Interdisciplinary Teaching & Research Programs		
3.2.1.k	Student-Teacher Ratio		
3.2.1.l	Internal Governance Structure		
3.2.1.m	Administrative Staff		
3.2.1.n	Commitment for Disabled friendly building and equipments, hostels & Toilets for girls		
3.2.1.o	Commitment for Academic quality, use of ICT & Affiliation reforms		
3.2.1.p	Commitment for Governance reforms		
3.2.1.q	Commitment for Equity and Inclusion		
3.2.1.r	Physical & Financial Plan		
3.2.1.s	Reservation for socially and economically weaker sections		

**Component 3: Infrastructure Grants to University****Total fund claimed:**

<b>S. No.</b>	<b>Particulars /Component</b>	<b>Response of the State Govt.</b>	<b>Observation/ Action to be taken</b>
3.3.a	NAAC Accreditation		
3.3.b	Whether included in section 12B of UGC Act		
3.3.c	Details about Antiquity (Year of establishment)		
3.3.d	Category of the domicile city of universities in terms of Tier 1, 2 or 3		
3.3.e	Details of Financial Plan		
3.3.f	Details of Physical Plan		
3.3.g	Break-up of new facilities, renovation & upgradation, equipments		
3.3.h	Implementation of governance, academic and examination reforms		
3.3.i	Other general information		
3.3.j	Future commitments		



**Component 4: New Model Degree Colleges (General)****Total fund claimed:**

<b>S. No.</b>	<b>Particulars</b>	<b>Proposal/commitment of the Govt.</b>	<b>Observation/ Action to be taken</b>
4.4.a	Whether College (Govt./Aided)		
4.4.b	College Population Index		
4.4.c	Percentage of SC/ST population in the district		
4.4.d	GER of females in the district		
4.4.e	GER of SC/ST		
4.4.f	Details of Financial Plan		
4.4.g	Details of Physical Plan		
4.4.h	Future commitments		

**Component 5: Upgradation of existing Degree Colleges to Model Degree Colleges****Total fund claimed:**

<b>S. No.</b>	<b>Particulars /Component</b>	<b>Response of the State Govt.</b>	<b>Observation/ Action to be taken</b>
3.5.a	College Population Index		
3.5.b	Percentage of SC/ST population in the district		
3.5.c	GER of SC/ST in the district		
3.5.d	Details about Antiquity (Year of		

	establishment)		
3.5.e	GER of females in the district		
3.5.f	Details of Financial Plan		
3.5.g	Details of Physical Plan		
3.5.j	Break-up of new facilities, renovation & upgradation, equipments		
3.5.k	Future commitments		

<b>Component 6: New Professional Colleges</b>
<b>Total fund claimed:</b>

<b>S. No.</b>	<b>Particulars /Component</b>	<b>Response of the State Govt.</b>	<b>Observation/ Action to be taken</b>
3.6.a	No. of Professional colleges in the district		
3.6.b	Percentage of SC/ST population in the district		
3.6.c	GER of SC/ST in the district		
3.6.d	GER of females in the district		
3.6.e	Details of Financial Plan		
3.6.f	Details of Physical Plan		
3.6.g	Commitment to hostel and toilets for girls, 50% reservation for weaker		

	sections and disabled-friendly campus		
3.6.h	Future commitments to achieve target of 15:1 student-teacher ratio & 1:1.1 teaching to non-teaching ratio		

### Component 7: Infrastructure Grants to Colleges

Total fund claimed:

S. No.	Particulars /Component	Response of the State Govt.	Observation/ Action to be taken
3.7.a	NAAC Accreditation		
3.7.b	Whether included in section 12B of UGC Act		
3.7.c	Details about Antiquity (Year of establishment)		
3.7.d	Total Students Enrolled (number)		
3.7.e	GER of SC/ST students		
3.7.f	GER of female students		
3.7.g	Category of the domicile city of universities in terms of Tier 1, 2 or 3		
3.7.h	Details of Financial Plan		

3.7.i	Details of Physical Plan		
3.7.j	Break-up of new facilities, renovation & upgradation, equipments		

<b>Component 8: Research, Innovation and Quality Improvement</b>
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Total fund claimed:
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S. No.	Particulars /Component	Response of the State Govt.	Observation/ Action to be taken
3.8.a	Research and innovation Plan		
3.8.b	Financial Norms		

<b>Component 9: Equity Initiatives</b>
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Total fund claimed:
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S. No.	Particulars /Component	Response of the State Govt.	Observation/ Action to be taken
3.9.	Equity Initiatives		

<b>Component 10: Faculty Recruitment Support</b>
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Total fund claimed:
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S. No.	Particulars /Component	Response of the State Govt.	Observation/ Action to be taken
3.10.	Faculty Recruitment Support		

<b>Component 11: Faculty Improvement</b>
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Total fund claimed:
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S. No.	Particulars /Component	Response of the State Govt.	Observation/ Action to be taken
3.11	Faculty Improvement		

**Component 12: Vocationalization of Higher Education**

**Total fund claimed:**

S. No.	Particulars /Component	Response of the State Govt.	Observation/ Action to be taken
3.11	Vocationalisation of Higher Education		

**H. DCF 4: State Plan at a Glance**

S. No.	Particulars /Component	Response of the State Govt.	Observation/ Action to be taken
<b>1. Introduction</b>			
4.1.1	Vision		
4.1.2	Mission		
4.1.3	Goals		
<b>2. Background Information</b>			
4.2.1	Basic information		
4.2.2	Category Wise Population Break-Up		
4.2.3	Population (18-23 Years) for Socio and Economic categories		
4.2.4	Rural- Urban Categorization Of Population		
4.2.5	Enrolment- Across Categories		
4.2.6	Transition data of School Pass Outs		

4.2.7	District Wise Baseline HE Data		
4.2.8	District Wise Perspective Plan HE Data		
4.2.9	Qualitative Profile for Weakest And Strongest Districts		
<b>3. Institutional Data</b>			
4.3.1	No. Of Institutions & Universities covering the State		
4.3.2	Details of Autonomous Colleges in the State		
4.3.3	NAAC Accreditation Status For Colleges (Baseline Data, 2013-14)		
4.3.4	NAAC Accreditation Status Of Colleges (Perspective Plan Data)		
4.3.5	College With Potential Of Excellence- Baseline Data (2013-14)		
4.3.6	College With Potential Of Excellence- Perspective Plan Data (2014-17)		
4.3.7	Faculty Baseline Data (2013-14)		
4.3.8	Faculty- Perspective Plan Data		
<b>4. State Higher Education Development Plan</b>			
4.4.1	Basic Profile Of Higher Education Institutions		

4.4.2	University Wise Students And Teachers		
4.4.3	State Data For Colleges Across The State		
4.4.4	State Data For Universities Across The State		
4.4.5	Undergraduate Studies- Baseline Data (2013-14)		
4.4.6	Undergraduate Studies- Perspective Plan Data		
4.4.7	Post Graduate Studies- Baseline Data: 2013-14		
4.4.8	Post-Graduate Studies- Perspective Plan Data		
4.4.9	Research Studies: Baseline Plan (2013-14)		
4.4.10	Research Studies: Perspective Plan (2014-17)		
<b>5. Analysis of Past Performance</b>			
4.5.1	State Performance against Specific Indicators		
4.5.2	History of HE in the State		
4.5.3	SWOT Analysis		
<b>6. Financial Plan</b>			
4.6.1	Financial Outlays (Baseline and Perspective Data)		
<b>7.Preparation of State Plan</b>			
4.7.1	Methodology&Stakeholder		

	Consultation		
4.7.2	Eight-year Perspective Plan		
4.7.3	Source of Funds		
4.7.4	Major Targets and Financial Outlays for XII Plan		
4.7.5	Outcome and Output Targets		
4.7.6	State Data-Baseline and Perspective		



## Chapter 7

### Detailed Project Report Templates

#### A. Creation of Universities by Upgradation of Existing Autonomous College

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##### Section 1: Preamble

##### A. Introduction

##### B. Details of the College

1. Name of the college:
2. University under which affiliated:
3. Location:
4. Year of Establishment:
5. Year of Autonomous Status conferred by UGC:
6. Accreditation Status:
  - Year of accreditation by NAAC
  - Grade
  - Cycle of accreditation
7. Year of conferment of CPE status:

##### C. Justification for proposing up gradation into a university. Please attach separate document.

##### D. SWOT analysis of autonomous college and proposed university:

##### E. Overall Educational Scenario in the State:

Sl. No.	Colleges			Universities			
	Total No.	No of Govt/aided Colleges	Enrolment	Total No.	No of State Universities	Enrolment	No of affiliated colleges
State							
District in which proposed university is							

located							
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## Section 2: Vision and Mission

- A. Vision of the Institution:**
- B. Mission**
- C. Objectives of the proposed university:**

## Section 3: Land Availability

- A. Existing Land Availability (in acres):**
- B. Total Land requirement for the University (in acres):**
- C. Land ownership certificate for proposed additional land requirement, if any**
- D. Map of the land duly signed by competent authority**
- E. Declaration that land is offered by the State Govt. free of cost and not included as a part of RUSA estimate**
  
- F. Existing Buildings in college campus**

<b>Sl. No</b>	<b>Description of Building (s)</b>	<b>Total Area Sq. m</b>	<b>Remarks</b>

- G. Renovation/ Modernization of existing buildings required:**

Sl. No	Description of Building (s)	Proposed Renovation/modernisation	Proposed Area Sq. m	Proposed Cost (Rupees in lakhs/ crore)		Justification
				Rate Per Sq.M	Total Cost	

H. New Buildings (if any) proposed:

Sl. No	Description of Building (s)	No. required	Proposed Area Sq. m	Proposed cost	Justification

**Details of Executing Agency of the Project:**

**I. New Equipment/Furniture/Fixture requirement**

Sl. No	Name of the equipment	Quantity	Cost per Unit	Total Cost	Justification

**Section 4: University Act and Jurisdiction:**

- A. Timeline to enact the legislation for the new university:**
- B. Jurisdiction of the University**
- C. Adherence to provisions of State Public Universities Act or commit to new act (if separate acts guides the functioning of institutions)**

## Section 5: Details of Governance Structure of University

### A. Proposed Board of Governors:

### B. Organizational Structure and Chart for day to day Operations and Management

### C. Role and Responsibilities of Key Senior Positions

### D. Details of existing and proposed Internal Governance Structure:

1. Academic Council
2. Board of Studies/ Research Council
3. Finance Committees
4. Others (If any)

## Section 6: Academic and Administrative Programs

### A. Academic Divisions and programmes

Programs/ Courses	Existing Programs	Proposed Programs	Existing Enrolment	Targeted Enrolment (5 yr window)	Proposed Schools
UG					
PG					
PG+					

### B. Admission policy for the proposed University:

1. Eligibility criteria:
2. Mode of Selection:
3. Reservations:
4. % of hostel seats reserved for Socially and economically weaker sections:
5. Scholarships and stipends including fee concessions etc. proposed:

### C. Details of Teaching Staff

1. Student-teacher ratio (existing & proposed)
  - a. Existing

- b. Proposed
- c. Proposed by date

2. Positions filled with regular incumbents - Professor/Associate Professor/Asst. Professor wise and Department wise, college wise

<b>Teaching staff</b>	<b>Positions sanctioned</b>	<b>Positions filled with regular incumbents</b>	<b>GAP</b>	<b>Recruitment strategy</b>
Professor				
Associate Professor				
Asst. Professor				
<b>Total</b>				

3. Additional posts to be created to achieve ideal Student Teacher Ratio and man the proposed Academic Departments/Centres /Schools

<b>Teaching staff</b>	<b>Additional Posts</b>	<b>To be filled by</b>
Professor		
Associate Professor		
Asst. Professor		

D. Details of Non-Teaching Staff

1. Teaching to non teaching staff ratio (existing & proposed)
  - a. Existing
  - b. Proposed
  - c. Proposed by date

2. Non-Teaching staff positions sanctioned and occupied - category wise :

<b>Non-teaching staff</b>	<b>Positions sanctioned</b>	<b>Positions filled with regular incumbents</b>	<b>GAP</b>	<b>Recruitment strategy</b>
Administrative				
Technical				
Others				
Total				

3. Additional posts to be created to achieve ideal Teaching to Non-Teaching staff Ratio:

<b>Non-teaching staff</b>	<b>Additional Posts</b>	<b>To be filled by</b>
Administrative		
Technical		

**E. Proposed Outcomes –**

1. In terms of Better Employability (Output in terms of Inter disciplinary and cross disciplinary learning)
2. Quality gains (Output in terms of Governance, Faculty (ratio), Academic reforms, Autonomy)
3. Better research yields (Output in terms of, Publications, PhDs, M Phils, Investment)
4. Output in terms of Access, Excellence and Equity

## Section 7: Physical and Financial Details of Proposed University

### A. Physical estimates for civil works (including equipment, fixtures and furniture):

Sl. No	Item	Minimum Area Requirement (SM)			State's Proposal Area (SM)		
		Tier 1	Tier 2	Hilly	2014-15	2015-16	2016-17
1	Administrative Area and Common Facilities	2000	2000	1000			
2	School of Sciences	1085	1200	1000			
3	School of Social Sciences	800	1050	750			
4	School of Engineering, Technology & Computer Technology	1200	1400	1000			
5	School of Teacher Education	750	850	590			
6	School of Humanities & Liberal Arts	800	1050	750			
7	Classrooms (Common)	5000	5000	3000			
8	Central Library along with Computer Centre/ e-resource centre	2000	2000	2000			
9	Auditorium	1000	1000	1000			
10	Canteen/ Cafeteria/ Toilet blocks/ Miscellaneous	750	750	500			
Total		1538	1630	1159			
		5	0	0			
11	Hostel	1400	1400	1000			
Grand Total		1938	2030	1259			
		5	0	0			

**B. Financial estimates for construction works (including furniture & fixture, equipment):**

S. No	Item	Minimum Financial Requirement (In Rs. Lakhs)		State's Proposal (Rs. in Lakhs)			
		Tier 1 (@ Rs. 33371 per SM)	Tier 2 (@ Rs. 31622 per SM)	Hilly (@ Rs. 44650 per SM)	2014-15	2015-16	2016-17
1	Administrative Area and Common Facilities	667.42	632.44	446.5			
2	School of Sciences	362.07	379.46	446.5			
3	School of Social Sciences	266.96	332.03	334.87			
4	School of Engineering, Technology & Computer Technology	400.45	442.7	446.5			
5	School of Teacher Education	250.28	268.78	263.43			
6	School of Humanities & Liberal Arts	266.96	332.03	334.87			
7	Classrooms (Common)	1668.55	1581.1	1339.5			
8	Central Library along with Computer Centre/ e-resource centre	667.42	632.44	893			
9	Auditorium	333.71	316.22	446.5			
10	Canteen/ Cafeteria/ Toilet blocks/ Miscellaneous	250.28	237.16	223.25			
Total		5134.1	5154.36	5174.92			
		(@ Rs. 26096 per SM)	(@ Rs. 24722 per SM)	(@ Rs. 32581 per SM)			
11	Hostel	365.34	346.1	325.81			
Grand Total		5499.44	5500.46	5500.73			

**Note:**

- Please enclose all relevant documents to support the DPR, architectural blueprints and elevation drawings etc. for the proposed university
- Maximum Central Grant will be limited to Rs. 49.5 crores or 90% (whichever is less) for Special Category States and Rs35.75 crores or 65% (whichever is less) for Others.



- c. State must commit to bear the excess expenditure over and above the central share and provide this commitment in the form of a declaration.

Section 8: Conversion Plan for University

**A. Timeline for Physical Infrastructure work and Financial Expenditure:**

Phase	Item	Financial Target (as a % of approved cost)		Physical Target (appropriate unit)	
		Start Date	End Date	Start Date	End Date
	Administrative Area and Common Facilities				
	School of Sciences				
	School of Social Sciences				
	School of Engineering, Technology & Computer Technology				
	School of Teacher Education				
	School of Humanities & Liberal Arts				
	Classrooms (Common)				
	Central Library along with Computer Centre/ e-resource centre				
	Auditorium				
	Canteen/ Cafeteria/ Toilet blocks/ Miscellaneous				
	Hostel				

(Please arrange selected items in col. 2 phase-wise)

**B. Timeline for Academic and Administrative Targets:**

Item	Start Date	End Date
Constitution of BoG		
Constitution of Academic Council		
Constitution of Board of Studies		

Constitution of Research Council			
Constitution of Finance Committee			
Others			
Introduction of new courses & Programmes (create rows below for each)	UG		
	PG		
	PG+		
Creation of new	Departments		
	Centres		
	Schools		
Recruitment (to achieve target ratios)	Teaching Staff		
	Non – Teaching Staff		
Enrolment (to achieve targets)	UG		
	PG		
	PG+		

*Please indicate phases/milestones between start and end dates for items as deemed appropriate*

#### Section 9: Overall Action Plan for Implementation with Timelines

##### A. Activity Chart:

Start Year	Activity	Year of Completion

The Activity Chart should be prepared linking it to all the activities proposed under relevant chapters.

#### Section 10: Commitments:

The State must commit to the following when proposing the new university:

- A. A new Act should be created
- B. Adequate hostels and toilets for girls

- C. Follow the State reservation policy
- D. The university should not affiliate more than 100 colleges as per UGC norms
- E. Buildings to be disabled friendly and also ensure special facilities/equipment for the disabled
- F. Adequate per student provisions for classrooms, library and laboratory facilities
- G. Inclusion of ICT in teaching-learning processes and provision of internet access to all students
- H. Implementation of all academic, examination and governance reforms
- I. Aim to achieve the Student teacher ratio of 1:15
- J. Aim to achieve the Teaching to Non-Teaching ratio of 1:1.1
- K. Bear the recurring expenditures of the university
- L. Commit to rigorous evaluation on the indicators under the Institutional plan template with greater weight age on “Quality and research Index”
- M. Commit to provide inter disciplinary and trans disciplinary programmes
- N. Commit to bear any expenditure for the proposed university exceeding the grants received through RUSA and other central agencies
- O. Any dispute arising from this conversion must be handled by the State. RUSA will not be a party to any dispute and RUSA grants will not be utilized to defray Legal or any other expenses related to such disputes.

**Note Again:**

- a. Please enclose all relevant documents to support the DPR, architectural blueprints and elevation drawings etc. for the proposed university**
- b. Maximum Central Grant will be limited to Rs. 49.5 crores or 90% (whichever is less) for Special Category States and Rs35.75 crores or 65% (whichever is less) for Others.**
- c. State must commit to bear the excess expenditure over and above the central share and provide this commitment in the form of a declaration.**

## B. Creation of a University by conversion of colleges in a Cluster

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### Section 1: Preamble

F. Introduction:

G. Proposed Name of the University:

H. Name of the Lead college:

I. Justification for clustering the colleges into a University:

J. Details of participating colleges:

Sl. No.	Participating Colleges	Complete Address	Year of establishment	Whether Govt/ Govt. Aided	Distance from Lead College (in kms)	Accreditation status (grade and Cycle)	CPE Status
1.							
2.							
3.							
4.							
5.							

K. Overall Educational Scenario in the State and District(s) where proposed cluster university is located

Sl.No.	Colleges			Universities			
	Total No.	No of Govt/aided Colleges	Enrolment	Total No.	No of State Universities	Enrolment	No of affiliated colleges
State							
District 1							
District 2							

### Section 2: Vision and Mission:

A. Vision of the proposed University

B. Mission and broad objectives of the participating colleges and alignment with the objectives of RUSA.

### Section 3: Land Details:

S. No.	College Name	Existing Land (in acres)	Additional Land if Required (in acres)	Total (in acres)
1.				
2.				
3.				
4.				
5.				
Total				

A. If additional land is required, then please provide:

1. Land ownership certificate from competent authority for proposed additional land requirement, if any:
2. Location of land (Mega/Metro/Other):
3. Map of the land duly signed by competent authority:
4. Declaration that additional land is offered by the State Govt. free of cost and not included as a part of RUSA estimate:

B. Existing Buildings in proposed campus

Sl. No	Description of Building (s)	Location (name of college)	Total Area (sq. m)	Remarks

C. Renovation/ Modernization of existing buildings proposed:

Sl. No	Description of Building (s)	Location (name of college)	Renovation/ modernisation proposed	Proposed Area Sq. m	Proposed Cost (Rupees in lakhs)		Justification
					Rate Per Sq.M	Total Cost	

D. New Buildings proposed:

Details of Executing Agency of the Project:

Sl. No	Description of Building (s)	Location (name of college)	Proposed Area Sq. m	Total Area Sq. m	Purpose	Justification


**E. Equipment**

Sl. No	Name of the equipment	Quantity	Cost per Unit	Total Cost	Justification

**Section 4: University Act and Jurisdiction:**

**D. Timeline to enact the legislation for the new university:**

E. Jurisdiction of the University

F. Adherence to provisions of State Public Universities Act or commit to new act (if separate acts guides the functioning of institutions)

**Section 5: Details of Governance Structure of University:**

A. Proposed Board of Governors

B. Organizational Structure and Chart for day to day Operations and Management

C. Role and Responsibilities of Key Senior Positions

D. Details of Internal Governance Structure:

5. Academic Council

6. Board of Studies

7. Research Council

8. Finance Committee

9. Others (If any)

E. Timeline to enact the legislation for the new university:

**(Please attach additional sheets if necessary)**

**Section 6: Academic and Administrative Details:**

**F. Academic Divisions and programmes**

Programs/	Existing	Proposed	Existing	Targeted	Proposed
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Courses	Programs	Programs	Enrolment	Enrolment (5 yr window)	Schools
UG					
PG					
PG+					

**G. Admission policy for the proposed University:**

6. Eligibility criteria:
7. Mode of Selection:
8. Reservations:
9. % of hostel seats reserved for Socially and economically weaker sections:
10. Scholarships and stipends including fee concessions etc. proposed:

**H. Details of Teaching Staff**

4. Student-teacher ratio (existing & proposed)
  - a. Existing
  - b. Proposed
  - c. Proposed by date
5. Positions filled with regular incumbents - Professor/Associate Professor/Asst. Professor wise and Department wise, college wise

Teaching staff	Positions sanctioned	Positions filled with regular incumbents	GAP	Recruitment strategy
Professor				
Associate Professor				
Asst. Professor				
Total				

6. Additional posts to be created to achieve ideal Student Teacher Ratio and man the proposed Academic Departments/Centres /Schools

<b>Teaching staff</b>	<b>Additional Posts</b>	<b>To be filled by</b>
Professor		
Associate Professor		
Asst. Professor		

I. Details of Non-Teaching Staff

4. Teaching to non teaching staff ratio (existing & proposed)

- a. Existing
- b. Proposed
- c. Proposed by date

5. Non-Teaching staff positions sanctioned and occupied - category wise :

<b>Non-teaching staff</b>	<b>Positions sanctioned</b>	<b>Positions filled with regular incumbents</b>	<b>GAP</b>	<b>Recruitment strategy</b>
Administrative				
Technical				
Others				
Total				

6. Additional posts to be created to achieve ideal Teaching to Non-Teaching staff Ratio:

<b>Non-teaching staff</b>	<b>Additional Posts</b>	<b>To be filled by</b>
Administrative		
Technical		



**J. Proposed Outcomes –**

5. In terms of Better Employability (Output in terms of Inter disciplinary and cross disciplinary learning)
6. Quality gains (Output in terms of Governance, Faculty (ratio), Academic reforms, Autonomy)
7. Better research yields (Output in terms of, Publications, PhDs, M Phils, Investment)
8. Output in terms of Access, Excellence and Equity

**Section 7: Physical and Financial Details of Proposed University**

(Please note that all figures are for the entire cluster university and cover all colleges in the proposal. Separate estimates for each participating college must be provided in the format given below. The total space and financial requirements must add up to the minimum requirements Stated in the tables below)

**C. Physical estimates for civil works (including equipment. fixtures and furniture):**

S. No	Item	Minimum Area Requirement (SM)			State's Proposal Area (SM)		
		Tier 1	Tier 2	Hilly	2014-15	2015-16	2016-17
1	Administrative Area and Common Facilities	2000	2000	1000			
2	School of Sciences	1085	1200	1000			
3	School of Social Sciences	800	1050	750			
4	School of Engineering, Technology & Computer Technology	1200	1400	1000			
5	School of Teacher Education	750	850	590			
6	School of Humanities & Liberal Arts	800	1050	750			
7	Classrooms (Common)	5000	5000	3000			
8	Central Library along with Computer Centre/ e-resource centre	2000	2000	2000			
9	Auditorium	1000	1000	1000			
10	Canteen/ Cafeteria/ Toilet blocks/ Miscellaneous	750	750	500			
Total		15385	16300	11590			
11	Hostel	1400	1400	1000			
Grand Total		19385	20300	12590			

**D. Financial estimates for construction works (including furniture & fixture, equipment):**

S. No	Item	Minimum Financial Requirement (In Rs. Lakhs)			State's Proposal (Rs. in Lakhs)		
		Tier 1 (@ Rs. 33371 per SM)	Tier 2 (@ Rs. 31622 per SM)	Hilly (@ Rs. 44650 per SM)	2014-15	2015-16	2016-17
1	Administrative Area and Common Facilities	667.4 2	632.44	446.5			
2	School of Sciences	362.0 7	379.46	446.5			
3	School of Social Sciences	266.9 6	332.03	334.87			
4	School of Engineering, Technology & Computer Technology	400.4 5	442.7	446.5			
5	School of Teacher Education	250.2 8	268.78	263.43			
6	School of Humanities & Liberal Arts	266.9 6	332.03	334.87			
7	Classrooms (Common)	1668. 55	1581.1	1339.5			
8	Central Library along with Computer Centre/ e-resource centre	667.4 2	632.44	893			
9	Auditorium	333.7 1	316.22	446.5			
10	Canteen/ Cafeteria/ Toilet blocks/ Miscellaneous	250.2 8	237.16	223.25			
Total		5134. 1	5154.3 6	5174.9 2			
		(@ Rs. 26096 per SM)	(@ Rs. 24722 per SM)	(@ Rs. 32581 per SM)			
11	Hostel	365.3 4	346.1	325.81			
Grand Total		5499. 44	5500.4 6	5500.7 3			

**Note:**

- d. Please enclose all relevant documents to support the DPR, architectural blueprints and elevation drawings etc. for the proposed university
- e. Maximum Central Grant will be limited to Rs. 49.5 crores or 90% (whichever is less) for Special Category States and Rs35.75 crores or 65% (whichever is less) for Others.
- f. State must commit to bear the excess expenditure over and above the central share and provide this commitment in the form of a declaration.

## Section 8: Conversion Plan for conversion of colleges into a cluster University

### C. Timeline for Physical Infrastructure Development

Phase	Item	Financial Target (as a % of approved cost)		Physical Target (appropriate unit)	
		Start Date	End Date	Start Date	End Date
	Administrative Area and Common Facilities				
	School of Sciences				
	School of Social Sciences				
	School of Engineering, Technology & Computer Technology				
	School of Teacher Education				
	School of Humanities & Liberal Arts				
	Classrooms (Common)				
	Central Library along with Computer Centre/ e-resource centre				
	Auditorium				
	Canteen/ Cafeteria/ Toilet blocks/ Miscellaneous				
	Hostel				

(Please arrange selected items in Col.2 phase wise)

#### D. Timeline for Academic and Administrative Action

Item	Start Date	End Date
Constitution of BoG		
Constitution of Academic Council		
Constitution of Board of Studies		
Constitution of Research Council		
Constitution of Finance Committee		
Others		
Introduction of new courses & Programmes (create rows below for each)	UG	
	PG	
	PG+	
Creation of new	Departments	
	Centres	
	Schools	
Recruitment (to achieve target ratios)	Teaching Staff	
	Non – Teaching Staff	
Enrolment (to achieve targets)	UG	
	PG	
	PG+	

*Please indicate phases/milestones between start and end dates for items as deemed appropriate*

### Section 9: Overall Action Plan for Implementation with Timelines

#### C. Activity Chart:

Start Year	Activity	Year of Completion

The Activity Chart should be prepared linking it to all the activities proposed under relevant chapters.

## **Section 10: Commitments:**

The State must commit to the following when proposing the new university

- P. A new Act should be created
- Q. Adequate hostels and toilets for girls
- R. Follow the State reservation policy
- S. The university should not affiliate more than 100 colleges as per UGC norms
- T. Buildings to be disabled friendly and also ensure special facilities/equipment for the disabled
- U. Adequate per student provisions for classrooms, library and laboratory facilities
- V. Inclusion of ICT in teaching-learning processes and provision of internet access to all students
- W. Implementation of all academic, examination and governance reforms
- X. Aim to achieve the Student teacher ratio of 1:15
- Y. Aim to achieve the Teaching to Non-Teaching ratio of 1:1.1
- Z. Bear the recurring expenditures of the university
- AA. Commit to rigorous evaluation on the indicators under the Institutional plan template with greater weight age on “Quality and research Index”
- BB. Commit to provide inter disciplinary and trans disciplinary programmes
- CC. Commit to bear any expenditure for the proposed university exceeding the grants received through RUSA and other central agencies
- DD. Any dispute arising from this conversion must be handled by the State. RUSA will not be a party to any dispute and RUSA grants will not be utilized to defray Legal or any other expenses related to such disputes.

### **Note Again:**

- a. Please enclose all relevant documents to support the DPR, architectural blueprints and elevation drawings etc. for the proposed university
- b. Maximum Central Grant will be limited to Rs. 49.5 crores or 90% (whichever is less) for Special Category States and Rs35.75 crores or 65% (whichever is less) for Others.
- c. State must commit to bear the excess expenditure over and above the central share and provide this commitment in the form of a declaration.

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## C. Creation of a New Model Degree College

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### Section 1: Preamble

- A. Name of the College:
- B. Name of University to be affiliated with:
- C. Proposed year of opening:
- D. Name of the District in which MDC is to be located:
- E. Is the district of the MDC location a EBD?
- F. Has the district been carved out from one of the 374 EBDs?
- G. In case the district has been carved out of an existing EBD has any MDC been approved under MDC scheme for the untruncated EBD?
- H. Details of Higher Education Institutions (including Govt., Govt. Aided & Private in the District/Region)

District	Total No.	No. of Colleges/Universities			Enrolment
		Govt.	Govt. Aided	Private	

#### I. District Higher Education Profile

College Population Index (CPI)	Institutional Density (ID)	Gross Enrolment Ration (GER)	Gender Parity Index (GPI)

### Section 2: Details about the new MDC:

- A. Vision& Mission of the proposed College
- B. Broad objectives of the proposed college

### Section 3: Land Details:

**A. Existing Land Availability (in acres):**

**B. Proof of Land availability for proposed college:**

5. Land ownership certificate from competent authority for proposed additional land requirement, if any:
6. Location of land:
7. Certification of the location: Non Encumbrance Certificate
8. Map of the land duly signed by competent authority:
9. Declaration that land is offered by the State Govt. free of cost and not included as a part of RUSA estimate:
10. Details of the executing agency of project:

**C. Details of Buildings proposed to be constructed:**

Sl. No	Description of Building (s)	Location	Proposed Area Sq. m	Total <u>Cost</u> per Sq. m	Purpose	Justification

**D. Equipment**

Sl. No	Name of the equipment	Quantity	Cost per Unit	Total Cost	Justification

### Section 4: Proposed Governance Structure of College

- A. Organizational Structure for Operations and Management**
- B. Role and Responsibilities of Key Positions/bodies**
- C. Board of Governance of University to which college will be affiliated.**

Please attach extra sheets if required

## Section 5: Academic and Administrative Details:

### A. Academic Divisions and programmes of the proposed college

Sl. No.	Departments	Course Offered	Duration	Year-wise Enrolment Targets for first 5 years	Whether course approved by UGC
6.					
7.		UG		UG	
8.		PG		PG	
9.		PG+		PG+	
10.					
11.					

### B. Admission policy for the proposed MDC:

SL. No	Course	Eligibility criteria	Mode of Selection
	UG		
	PG		
	PG+		

### C. Details of Teaching and Non-teaching Staff:

1. Teaching staff numbers proposed for the MDC:



Department		Sanctioned Posts
	Assistant Professor	
	Associate Professor	
	Professor	

2. Recruitment Strategy and Commitment to employ teachers on Regular basis:

D. Details of Non-Teaching Staff

Department	Sanctioned Posts
Administrative	
Technical	
Others	

7. Teaching staff: non teaching ratio(proposed ratio)

8. Recruitment Strategy:

**E. Proposed Outcomes –**

9. In terms of Better Employability (Output in terms of Inter disciplinary and cross disciplinary learning)

10. Quality gains (Output in terms of Governance, Faculty (ratio), Academic reforms, Autonomy)

11. Output in terms of Access, Excellence and Equity

12. Anticipated enrolment in demographic categories:

Course	SC		ST		OBC		Minority		Females		General	
	18-23 population in district	Anticipated Enrolment	18-23 population in district	Anticipated Enrolment	18-23 population in district	Anticipated Enrolment	18-23 population in district	Anticipated Enrolment	18-23 population in district	Anticipated Enrolment	18-23 population in district	Anticipated Enrolment

UG												
PG												

## Section 6: Physical and Financial Details of Proposed College

### A. Physical estimates for civil works (including equipment, fixtures and furniture):

S. No.	Item	Minimum Area Requirement (SM)			State Proposal Area (SM)		
		Tier 1	Tier 2	Hilly	2014-15	2015-16	2015-16
1	Administrative Buildings, Faculty rooms	800	800	525			
2	Laboratories	410	500	300			
3	Classrooms	810	870	730			
4	Library	350	400	300			
5	Computer Centre/E-campus	175	175	100			
6	Toilet Blocks separate for Boys & Girls	175	175	100			
7	Miscellaneous	95	95	50			
Total		2815	3015	2105			
8	Hostel for 100 students separate for boys & girls on 60:40 ratio	1000	1000	800			
Grand Total		3815	4015	2905			

### B. Financial estimates for construction works (including furniture & fixture, equipment):

S. No.	Item	Minimum Financial Requirement (In Rs. Lakhs)			State's Proposal (Rs. in Lakhs)		
		Tier 1 (@ Rs. 33371 per SM)	Tier 2 (@ Rs. 31622 per SM)	Hilly (@ Rs. 44650 per SM)	2014-15	2015-16	2016-17
1	Administrative	266.96	252.97	234.41			

	Buildings, Faculty rooms						
2	Laboratories	136.82	158.11	133.95			
3	Classrooms	270.3	275.11	325.94			
4	Library	116.79	126.48	133.95			
5	Computer Centre/E-campus	58.39	55.33	44.65			
6	Toilet Blocks separate for Boys & Girls	58.39	55.33	44.65			
7	Miscellaneous	31.7	30.04	22.32			
Total		939.35	953.37	939.87			
	<u>Item</u>	(@ Rs. 26096 per SM)	(@ Rs. 24722 per SM)	(@ Rs. 32581 per SM)			
8	Hostel	260.96	247.22	260.64			
Grand Total		1200.31	1200.59	1200.51			

**Note:1) Please enclose all relevant documents to support the DPR, architectural blueprints and elevation diagrams, maps of the land signed by the competent authority etc. for the proposed college**

**2) Maximum Central Grant will be limited to Rs. 10.80 crores or 90% (whichever is less) for Special Category States and Rs. 7.8 crores or 65% (whichever is less) for others.**

**3) State must commit to bear the excess expenditure over and above the central share and provide this commitment in the form of a declaration.**

## Section 7: Plan

### E. Timeline for building Physical Infrastructure:

Phase	Item	Percentage of completion	Physical Target (appropriate unit)		Financial Target (as a % of approved cost)	
			Start Date	End Date	Start Date	End Date
	Administrative					

	Buildings, Faculty rooms					
	Laboratories					
	Classrooms					
	Library					
	Computer Centre/E-campus					
	Toilet Blocks separate for Boys & Girls					
	Miscellaneous					
	Hostel for 100 students separate for boys & girls on 60:40 ratio					

(Please arrange selected items in Col.2 phase-wise and repeat if necessary)

#### F. Timeline for Academic and Administrative Matters

Item		Start Date	End Date
Introduction of new courses & Programmes (create rows below for each)	UG		
	PG		
	PG+		
Creation of new	Departments		
	Centres		
	Schools		
Recruitment (to achieve target ratios)	Teaching Staff		
	Non – Teaching Staff		
Enrolment (to achieve targets)	UG		
	PG		
	PG+		

*Please indicate phases/milestones between start and end dates for items as deemed appropriate*

## Section 8: Overall Action Plan for Implementation with Timelines

### D. Activity Chart:

Start Year	Activity	Year of Completion

The Activity Chart should be prepared linking it to all the activities proposed under relevant chapters.

## Section 9: Commitments:

The State must commit to the following when proposing for the New Model Colleges:

### A. Adequate Girls hostels and Girls Toilets

### E. Follow the State reservation policy

### F. Buildings to be disabled friendly and also ensure special facilities/ equipments for the disabled

### G. Adequate per student provisions for classrooms, library and laboratory facilities

### H. Inclusion of ICT in teaching-learning processes and provision of internet access to all students

### I. Implementation of all academic, examination and governance reforms

### J. Aim to achieve the Student teacher ratio of 1:15

### K. Aim to achieve the Teaching to Non-Teaching Staff ratio of 1:1.1

### L. Declaration that all the recurring expenditures (including salaries) would be met by the State Government.

M. The new MDC must be located in an area (Block/Municipality) with high proportion of socially vulnerable population (SC/ST/OBC/Women/Minorities) which is not served by a similar government institution nearby.

### Note again :

1) Please enclose all relevant documents to support the DPR, architectural blueprints and elevation diagrams, maps of the land signed by the competent authority etc. for the proposed college

2) Maximum Central Grant will be limited to Rs. 10.80 crores or 90% (whichever is less) for Special Category States and Rs. 7.8 crores or 65% (whichever is less) for others.

3) State must commit to bear the excess expenditure over and above the central share and provide this commitment in the form of a declaration.

### **D. Up gradation of an Existing College to a New Model Degree College**

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#### Section 1: Preamble

- J. Name of the College:
- K. Name of Affiliating University:
- L. Year of Establishment of the college:
- M. Name of the District of location of the college:
- N. Does the district have any existing MDC? If yes, please specify the number of MDCs:
- O. Status of NAAC Accreditation of the college:
- P. Details of Higher Education Institutions (including Govt., Govt. Aided & Private in the District/Region)

District/Region	No. of Colleges/Universities			Enrolment
	Total No.	Govt.	Govt. Aided	

#### J. District Higher Education profile

College Population Index (CPI)	Institutional Density (ID)	Gross Enrolment Ration (GER)	Gender Parity Index (GPI)

#### Section 2: Objectives:

- A. Details of specific outcomes and outputs to be achieved in areas of excellence.

### Section 3: Land Details:

- E. Existing Land Availability (in acres):
- F. Proof of Land availability for proposed college (for existing and additionally required land):
- G. Land ownership certificate from competent authority for proposed additional land requirement, if any:
- H. Declaration that land is offered by the State Govt. free of cost and not included as a part of RUSA estimate:
- I. Details of existing building:

S.No	Description of Building(s)	Location	Total Area (Sq. m)	Purpose

- J. New Buildings proposed:

S.No	Description of Building (s)	Location	Proposed Area Sq. m	Total Area Sq. m	Purpose	Justification

#### Details of the Executing agency of the project:

- K. Equipment

Sl. No	Name of the equipment	Quantity	Cost per Unit	Total Cost	Justification

### Section 4: Existing/Proposed Governance Structure of College

- D. Organizational Structure for Operations and Management
- E. Role and Responsibilities of Key Positions/bodies

## Section 5: Academic and Administrative Details:

### E. Academic Divisions and programmes

(i) Details of Existing Programs/Courses at UG/PG/PG+ levels:

Sl. No.	Departments	Course Offered	Duration	Current Enrolment	Whether course approved by UGC	Students Enrolled		
						SC	ST	Girls
12.								
13.		UG		UG				
14.		PG		PG				
15.		PG+		PG+				
16.								
17.								

(ii) Proposed New Courses

Sl. No.	Departments	Course to be Offered	Duration	Year-wise Enrolment Targets for first 5 years	Whether course approved by UGC	Target Enrolment		
						SC	ST	Girls
18.								
19.		UG		UG				
20.		PG		PG				
21.		PG+		PG+				
22.								
23.								

### F. Admission policy for the proposed College:

SL. No	Course	Eligibility criteria	Mode of Selection
	UG		
	PG		
	PG+		



**G. Details of Teaching and Non-teaching Staff:**

(i) Teaching Staff: As on date:

Department	Existing Courses					Proposed New Posts Required	Total Sanctioned Posts (3+7)
		Sanctioned Posts	Filled Posts (Regular)	Adhoc Posts	Guest Lecturers		
1	2	3	4	5	6	7	8
	Assistant Professor						
	Associate Professor						
	Professor						

7. Additional posts to be created to achieve ideal Student Teacher Ratio and man the proposed Academic Departments

8. Recruitment Strategy and Commitment to employ teachers on Regular basis:

(ii) Non-Teaching Staff: As on date

Category	Existing Status			Proposed New Posts Required	Total Sanctioned Posts (2+ 5)
	Sanctioned Posts	Filled Posts (Regular)	Adhoc Posts		
1	2	3	4	5	6
Administrative					
Technical					
Others					

9. Additional posts to be created to achieve ideal Teaching to Non-Teaching staff Ratio of 1:1.1

10. Recruitment Strategy:

**D. Proposed Outcomes –**

13. In terms of Better Employability (Output in terms of Inter disciplinary and cross disciplinary learning)
14. Quality gains (Output in terms of Governance, Faculty (ratio), Academic reforms, Autonomy)
15. Better research yields (Output in terms of, Publications, PhDs, M Phils, Investment)
16. Output in terms of Access, Excellence and Equity

## Section 6: Physical and Financial Details of Proposed College

### E. Physical estimates for civil works (including equipment, fixtures and furniture):

S. No.	Item	Minimum Requirement (SM)			State Proposal Area (SM)		
		Tier 1	Tier 2	Hilly	2014-15	2015-16	2015-16
1	Administrative Buildings, Faculty rooms	800	800	525			
2	Laboratories	410	500	300			
3	Classrooms	810	870	730			
4	Library	350	400	300			
5	Computer Centre/E-campus	175	175	100			
6	Toilet Blocks separate for Boys & Girls	175	175	100			
7	Miscellaneous	95	95	50			
8	Hostel for 100 students separate for boys & girls on 60:40 ratio	1000	1000	800			

### F. Financial estimates for construction works (including furniture & fixture, equipment):

S. No	Item	Maximum Financial Requirement (In Rs. Lakhs)			State's Proposal (Rs. in Lakhs)		
		Tier 1 (@ Rs. 33371 per SM)	Tier 2 (@ Rs. 31622 per SM)	Hilly (@ Rs. 44650 per SM)	2014-15	2015-16	2016-17
1	Administrative Buildings, Faculty rooms	266.96	252.97	234.41			
2	Laboratories	136.82	158.11	133.95			
3	Classrooms	270.3	275.11	325.94			

4	Library	116.79	126.48	133.95			
5	Computer Centre/E-campus	58.39	55.33	44.65			
6	Toilet Blocks separate for Boys & Girls	58.39	55.33	44.65			
7	Miscellaneous	31.7	30.04	22.32			
8	Hostel	260.96 (@ Rs. 26096 per SM)	247.22 (@ Rs. 24722 per SM)	260.64 (@ Rs. 32581 per SM)			

Note:1) Please enclose all relevant documents to support the DPR, architectural blueprints and elevation drawings etc. for the proposed college

2) Maximum Central Grant will be limited to Rs. 3.6 crores or 90% of proposed amount (whichever is lesser) for Special Category States and Rs. 2.6 crores or 65% of proposed amount (whichever is lesser) for Others.

3) State must commit to bear the excess expenditure over and above the central share and provide this commitment in the form of a declaration.

4) Creation of new facilities shall not exceed 35%; renovation/ Upgradation of existing facilities (including repairs and maintenance cost) shall not exceed 35%; and purchase of new equipment shall not exceed 30% of the total cost of the project.

## Section 7: Plan

### G. Timeline for developing Physical Infrastructure

Phase	Physical Target		Financial Target	
	Start Date	End Date	Start Date	End Date
(i) Creation of new facilities (35% of total project cost)				
(ii) Renovation/ Up gradation (35% of total project cost)				
(iii) Equipment (30% of total project cost)				

### H. Timeline for Academic and Administrative Matters

Item	Start Date	End Date

Introduction of new courses & Programmes (create rows below for each)	UG		
	PG		
	PG+		
Creation of new	Departments		
	Centres		
Recruitment (to achieve target ratios)	Teaching Staff		
	Non – Teaching Staff		
Enrolment (to achieve targets)	UG		
	PG		
	PG+		

*Please indicate phases/milestones between start and end dates for items as deemed appropriate*

## Section 8: Overall Action Plan for Implementation with Timelines

### D. Activity Chart:

Start Year	Activity	Year of Completion

The Activity Chart should be prepared linking it to all the activities proposed under relevant chapters.

## Section 9: Commitments:

The State must commit to the following when proposing the new college

- A. Adequate hostels and toilets for girls
- B. Prescribed no. of hostel seats for socially and educationally backward classes
- C. Buildings to be disabled friendly and also ensure special facilities/equipment for the disabled.
- D. Adequate per student provisions for classrooms, library and laboratory facilities
- E. Inclusion of ICT in teaching-learning processes and provision of internet access to all students
- F. Implementation of all academic, examination and governance reforms
- G. Aim to achieve the Student Teacher Ratio of 15:1
- H. Aim to achieve the Teaching to Non-Teaching ratio of 1:1.1
- I. Bear the recurring cost of the college

**Note:**

- 1. Please enclose all relevant documents to support the DPR, architectural blueprints and elevation drawings etc. for the proposed college**
- 2. Maximum Central Grant will be limited to Rs. 3.6 crores or 90% of proposed amount (whichever is lesser) for Special Category States and Rs. 2.6 crores or 65% of proposed amount (whichever is lesser) for Others.**
- 3. State must commit to bear the excess expenditure over and above the central share and provide this commitment in the form of a declaration.**
- 4. Creation of new facilities shall not exceed 35%; renovation/ Upgradation of existing facilities (including repairs and maintenance cost) shall not exceed 35%; and purchase of new equipment shall not exceed 30% of the total cost of the project.**

\*\*\*

## E. New Professional College

### Section 1: Preamble

A. Name of the College:

B. Name of University to which affiliation is proposed:

C. Proposed year of opening:

D. Name of the District for college location:

E. District Higher Education profile

College Population Index (CPI)	Institutional Density (ID)	Gross Enrolment Ration (GER)	Gender Parity Index (GPI)	Total Population 18-23 year

F. Details of Higher Education Institutions in the district

Institution	Total No.	Govt.	Govt. Aided	Private	Technical college	Enrolment
Colleges						
Universities						

### Section 2: Vision and Mission:

A. Vision of the proposed College

B. Mission

### Section 3: Land Details:

**F. Existing Land Availability (in acres):**

**G. Proof of Land availability for proposed college:**

**H. Land ownership certificate from competent authority for proposed additional land requirement, if any:**

**I. Declaration that land is offered by the State Govt. free of cost and not included as a part of RUSA estimate:**

**J. New Buildings proposed:**

Sl. No	Description of Building (s)	Location	Proposed Area Sq. m	Total Area Sq. m	Purpose	Justification

**K. Equipment**

Sl. No	Name of the equipment	Quantity	Cost per Unit	Total Cost	Justification

### Section 4: Proposed Governance Structure of College

**F. Organizational Structure for Operations and Management**

**G. Role and Responsibilities of Key Positions/ bodies**

### Section 5: Academic and Administrative Details:

**A. Academic Divisions and programmes:**

Details of Programs/Courses at UG/PG/PG+ levels:

Sl. No.	Departments	Course Offered	Duration	Year-wise Enrolment Targets of first 5 years	Whether course approved by UGC /AICTE
24.		UG		UG	

25.		PG			PG	
26.		PG+			PG+	
27.						

**B. Admission policy for the proposed University:**

SL. No	Course	Eligibility criteria	Mode of Selection
	UG		
	PG		
	PG+		

**C. Details of Teaching and Non-teaching Staff:**

Recruitment strategy for [Teaching Staff](#):

Department		Sanctioned Posts	Filled Posts (Regular)	Adhoc Posts	Guest Lecturers
	Assistant Professor				
	Associate Professor				
	Professor				

9. Student: Teacher Ratio (Proposed to be achieved)

Recruitment strategy for [Non-Teaching Staff](#):

	Sanctioned Posts	Filled Posts (Regular)	Ad hoc Posts
Administrative			
Technical			
Others			



11. Teaching staff: non teaching ratio (proposed to be achieved)

**D. Proposed Outcomes –**

1. In terms of Better Employability (Output in terms of Inter disciplinary and cross disciplinary learning)
2. Quality gains (Output in terms of Governance, Faculty (ratio), Academic reforms, Autonomy)
3. Better research yields (Output in terms of, Publications, PhDs, M Phils, Investment)
4. Output in terms of Access, Excellence and Equity

**Section 6: Physical and Financial Details of Proposed College**

**G. Physical estimates for civil works (including equipment. fixtures and furniture):**

S. No	Item	Minimum Requirement (SM)			State Proposal Area (SM)		
		Tier 1	Tier 2	Hilly	2014-15	2015-16	2015-16
1	Administrative Buildings, and Common Facilities	1200	1200	800			
2	Seminar room	300	300	200			
3	Library	300	300	300			
4	Academic block	1000	1000	1000			
5	Electronics Lab	300	350	200			
6	IT Lab Electrical	300	350	200			
7	CNC Lab	250	250	200			
8	Mechatronics Lab	300	350	200			
9	Chemical Lab	200	250	175			
10	Civil Lab	200	250	175			
11	Instrumentation Lab	300	350	200			
12	Workshop	250	250	250			
13	Computer Centre cum Cyber Cafe	700	700	400			
14	Conference Room	250	250	250			
15	Confidential Room	200	200	150			
16	Committee / Syndicate Room	300	300	150			
17	Common room	150	150	150			

18	Toilet block	200	220	150			
19	Cafeteria	90	100	50			
<b>Total</b>	<b>6790</b>	<b>7120</b>	<b>5200</b>				
20	Hostel	1280	1420	855			
<b>Grand Total</b>	<b>7690</b>	<b>8140</b>	<b>5750</b>				

**H. Financial estimates for construction works (including furniture & fixture, equipment):**

S. No	Item	Minimum Financial Requirement (In Rs. Lakhs)			State's Proposal (Rs. in Lakhs)		
		Tier 1 (@ Rs. 33371 per SM)	Tier 2 (@ Rs. 31622 per SM)	Hilly (@ Rs. 44650 per SM)	2014-15	2015-16	2016-17
1	Administrative Buildings, and Common Facilities	400.45	379.46	357.2			
2	Seminar room	100.11	94.86	89.3			
3	Library	100.11	94.86	133.95			
4	Academic block	333.71	316.22	446.5			
5	Electronics Lab	100.11	110.67	89.3			
6	IT Lab Electrical	100.11	110.67	89.3			
7	CNC Lab	83.42	79.05	89.3			
8	Mechatronics Lab	100.11	110.67	89.3			
9	Chemical Lab	66.74	79.05	78.13			
10	Civil Lab	66.74	79.05	78.13			
11	Instrumentation Lab	100.11	110.67	89.3			
12	Workshop	83.42	79.05	111.62			
13	Computer Centre cum Cyber Cafe	233.59	221.35	178.6			
14	Conference Room	83.42	79.05	111.62			
15	Confidential Room	66.74	63.24	66.97			
16	Committee / Syndicate Room	100.11	94.86	66.97			
17	Common room	50.05	47.43	66.97			
18	Toilet block	66.74	69.56	66.97			
19	Cafeteria	30.03	28.45	22.32			
<b>Total</b>	<b>2265.82</b>	<b>2248.22</b>	<b>2321.75</b>				
20	Hostel	334.02	351.05	278.56			
		(@ Rs. 26096 per SM)	(@ Rs. 24722 per SM)	(@ Rs. 32581 per SM)			
<b>Grand Total</b>	<b>2599.84</b>	<b>2599.27</b>	<b>2600.3</b>				

**Note:**

1) Please enclose all relevant documents to support the DPR, architectural blueprints and elevation drawings etc. for the proposed college

2) Maximum Central Grant will be limited to Rs. 23.40 crores or 90% (whichever is less) for Special Category States and Rs 16.90 crores or 65% (whichever is less) for Others.

3) State must commit to bear the excess expenditure over and above the central share and provide this commitment in the form of a declaration.

## Section 7: Plan and Timelines

### I. Plan for Physical Infrastructure

Phase	Item	Physical Target		Financial Target	
		Start Date	End Date	Start Date	End Date
	Administrative Buildings, Faculty rooms				
	Laboratories				
	Classrooms				
	Library				
	Computer Centre/E-campus				
	Toilet Blocks separate for Boys & Girls				
	Miscellaneous				
	Hostel for 100 students separate for boys & girls on 60:40 ratio				

(Please arrange selected items in Col.2 phase-wise and repeat if necessary)

### J. Plan for Academic and Administrative Matters

Item		Start Date	End Date
Introduction of new courses & Programmes (create rows below for each)	UG		
	PG		
	PG+		
Creation of new	Departments		

	Centres		
	Schools		
Recruitment (to achieve target ratios)	Teaching Staff		
	Non – Teaching Staff		
Enrolment (to achieve targets)	UG		
	PG		
	PG+		

Please indicate phases/milestones between start and end dates for items as deemed appropriate

## Section 8: Overall Action Plan for Implementation with Timelines

### F. Activity Chart:

Start Year	Activity	Year of Completion

The Activity Chart should be prepared linking it to all the activities proposed under relevant chapters.

## Section 9: Commitments:

The State must commit to the following when proposing the new university:

- A. Adequate hostels and toilets for girls**
- B. Follow the state reservation policy**
- C. Buildings to be disabled friendly and also ensure special facilities/equipment for the disabled**
- D. Adequate per student provisions for classrooms, library and laboratory facilities**
- E. Inclusion of ICT in teaching-learning processes and provision of internet access to all students**
- F. Implementation of all academic, examination and governance reforms**
- G. Aim to achieve the Student teacher ratio of 1:15**
- H. Aim to achieve the Teaching to Non-Teaching ratio of 1:1.1**
- I. Bear the recurring cost of the college**

**Note again:**

**1) Please enclose all relevant documents to support the DPR, architectural blueprints and elevation drawings etc. for the proposed college**

**2) Maximum Central Grant will be limited to Rs. 23.40 crores or 90% (whichever is less) for Special Category States and Rs 16.90 crores or 65% (whichever is less) for Others.**

**3) State must commit to bear the excess expenditure over and above the central share and provide this commitment in the form of a declaration.**

## G. Faculty Improvement

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### 1. Vision and Mission

- a) Vision of Academic Staff College/Training Institute
- b) Mission and Objectives
- c) Details of specific outcome and outputs to be achieved in areas of equity, access, excellence, research and skill development

### 2. NAAC accreditation status/ UGC Status (if applicable)

### 3. Land Details

- a) Existing land availability
- b) Location
- c) Constructed area
- d) Proposed Area of Construction

### 4. Governance Structure of Academic Staff College

### 5. Academic and Administrative Details

#### a) Details of Programs/Courses ( Tabular followed by Descriptive)

S.no.	Title of course	No. Of courses	No. Of beneficiaries	No. Of trainees	Profile of trainees	Estimated Expenditure

#### Descriptive:

- (i) Course Title
- (ii) Duration
- (iii) Objectives
- (iv) Course Structure
- (v) Suggested Methodology
- (vi) Group / Functionaries for training

**Physical and Financial Details of Expenditure**

Sr. No.	Item	Financial Estimate	
		2015-2016	2016-17
1.			
2.			
3.			

**Relevance of Proposed item of component**

Sl No	Items/Programme	Relevance/Legitimacy	Amount	Justification

**Statement of Proposed Expenditure (Approx)**

Sl No	Course	Participation Cost/ Participant	Resource Person Cost/ Course	Honorarium To Course Coordinator*	Additional Working Expenses	Expendable/ Course Materials	Total

\*UGC norms to be followed

**Annexure**

1- Books with cost

2- Course materials with cost

3- Publications with cost

Other Items with cost



## Chapter 8

### Framework for Resource Allocation

#### (1) RUSA FUNDING STRATEGY

##### (a) Some salient features of RUSA funding strategy are:

- Norm based funding: The funding would be based on adherence to norms and various proposals submitted by the State and certain academic reforms.
- The subsequent funding would be based on the utilization of the total funds.
- States will have to compete for the funds based on their performance utilization.

##### (b) Resource Envelope of the State for the Financial Year:

The Resource allocated to a particular State for any given financial year is termed as Resource envelope. The resource envelope for a financial year would consist of

- (i) Unspent balance
- (ii) GoI allocation (BE) proposed for the year
- (iii) State share contribution due for the year.
- (iv) Interest accrued in RUSA account

##### (c) Allocation of Funds: Funds have been allocated to States on the basis of:

Fund Equalization Formula		
Sl.No	Criteria	Marks
1	Base Funding	20
2	Population (18-23)	40
3	Institutional Density	10
4	Spend on Higher Education ( as a % of GSDP)	10
5	Need ( Gross Enrollment Ratio)	10
6	Special Problems	10
Total		100

##### Fund Equalization Formula:

States with Higher population, higher institutional density, higher expenditure in higher education (as a % of GSDP) and lower GER will receive higher funding

1. **Base funding ( 20%):** Base funding will be provided to all States as an equal amount ( all the calculation are based on total of 5000 cr)
2. **Population (40%):** In case of the criteria on Population, the formula used has been  $(\text{Population of State} / \text{Total Population}) * 2000$ . Population of State and Total Population will be in the relevant age groups of 18-23 years. The figure 2000 indicates the amount allocated under the criteria i.e. Rs.2000 crores.
3. **Institutional Density (10%):** In the case of institutional density, the same formula as in the case of population (18-23) years has been adopted. Each State gets an allocation depending on the number of institutions in the country)  $* 500$ . The figure 500 indicates the amount allocated under the criteria i.e. Rs500 crores.
4. **Expenditure on Higher Education (10%):** States have been divided into 4 clusters in the ascending manner on the basis of their Expenditure on Higher Education – with Cluster 1 having States with lowest expenditure and Cluster 4 having States with highest expenditure. Accordingly, Cluster 4 will get 40%, Cluster 3 will get 30%, Cluster 2 and 1 will get 20 and 10% of the total allocation i.e. Rs.500 crores. The amount arrived at for each Cluster i.e. 40% / 30%/20%/10% of Rs.500 crores is divided equally into the number of States in the Cluster. For instance, there are 8 States which fall into category 4. The total allocation for this indicator is 500 crore. Per above Cluster 4 should receive 40per cent of resources i.e. 200 crores. This is divided amongst 8 States. There each State in this cluster gets 25 crores.
5. **GER (10%):** States are divided into 4 Clusters based on their GER with cluster 1 having States with lowest GER and Cluster 4 having States with highest GER. States in Cluster with lowest GER will get the highest allocation and States with highest GER will get the lowest allocation. Thus, Cluster 1 will get 40% and Cluster 2 (30%), Cluster 3 (20%) and Cluster 4 will get 10% of the allocation for this indicator i.e. Rs.500 crores. The amount arrived at for each cluster i.e. 40%/ 30%/ 20%/10% of Rs.500 crores is divided equally into the number of States in the cluster.
6. **Special Problem (10%):** States with special problem (hilly or difficult terrain, backwardness, and insurgency affected areas) will be adequately supported. The States have been divided into 2 clusters. All the North Eastern Region States, J&K and HP have been placed in one cluster and other States such as MP, Chhattisgarh, Odisha, Jharkhand, Bihar and UP placed in the second cluster. The allocation of 500 crores is divided equally (250crores each) into both the clusters. This amount (Rs.250crores) is then distributed equally amongst the States in each cluster. Cluster 1 States (10 States) accordingly receive Rs.25 crores and category 2 States (6 States) receive Rs.41.67 crores.
7. Once the funds have been allocated to the States on the above 6 criteria, an **Incentive-Disincentive Compatibility Framework** is applied for determining the allocation of the States.

8. Finally, there is a small pot of money kept available – approx. Rs.300 crores (of the BE of Rs.2, 200 crores for 2014-15) for allocation to States on the basis of the quality of the State Higher Education plan and their performance.
9. Those States which score less than 40 out of 50 points in the pre-requisite assessment framework will not be considered for any support under RUSA till they achieve the minimum scores (40) in the second cycle of funding.
10. States with Higher population, higher institutional density , higher expenditure in higher education ( as a % of GSDP) and lower GER will receive higher funding
11. **Base funding ( 20%):** Base funding will be provided to all States as an equal amount ( all the calculation are based on total of 5000 cr)
12. **Population (40%):** In case of the criteria on Population, the formula used has been  $(\text{Population of State} / \text{Total Population}) * 2000$ . Population of State and Total Population will be in the relevant age groups of 18-23 years. The figure 2000 indicates the amount allocated under the criteria i.e. Rs.2000 crores.
13. **Institutional Density (10%):** In the case of institutional density, the same formula as in the case of population (18-23) years has been adopted. Each State gets an allocation depending on the number of institutions in the country)  $* 500$ . The figure 500 indicates the amount allocated under the criteria i.e. Rs500 crores.
14. **Expenditure on Higher Education (10%):** States have been divided into 4 clusters in the ascending manner on the basis of their Expenditure on Higher Education – with Cluster 1 having States with lowest expenditure and Cluster 4 having States with highest expenditure. Accordingly, Cluster 4 will get 40%, Cluster 3 will get 30%, Cluster 2 and 1 will get 20 and 10% of the total allocation i.e. Rs.500 crores. The amount arrived at for each Cluster i.e. 40% / 30%/20%/10% of Rs.500 crores is divided equally into the number of States in the Cluster. For instance, there are 8 States which fall into category 4. The total allocation for this indicator is 500 crore. Per above Cluster 4 should receive 40per cent of resources i.e. 200 crores. This is divided amongst 8 States. There each State in this cluster gets 25 crores.
15. **GER (10%):** States are divided into 4 Clusters based on their GER with cluster 1 having States with lowest GER and Cluster 4 having States with highest GER. States in Cluster with lowest GER will get the highest allocation and States with highest GER will get the lowest allocation. Thus, Cluster 1 will get 40% and Cluster 2 (30%), Cluster 3 (20%) and Cluster 4 will get 10% of the allocation for this indicator i.e. Rs.500 crores. The amount arrived at for each cluster i.e. 40%/ 30%/ 20%/10% of Rs.500 crores is divided equally into the number of States in the cluster.
16. **Special Problem (10%):** States with special problem (hilly or difficult terrain, backwardness, and insurgency affected areas) will be adequately supported. The States have been divided into 2 clusters. All the North Eastern Region States, J&K and HP have

been placed in one cluster and other States such as MP, Chhattisgarh, Odisha, Jharkhand, Bihar and UP placed in the second cluster. The allocation of 500 crores is divided equally (250crores each) into both the clusters. This amount (Rs.250crores) is then distributed equally amongst the States in each cluster. Cluster 1 States (10 States) accordingly receive Rs.25 crores and category 2 States (6 States) receive Rs.41.67 crores.

17. Once the funds have been allocated to the States on the above 6 criteria, an **Incentive-Disincentive Compatibility Framework** is applied for determining the allocation of the States.

18. With marks been assigned across the 6 criteria, States are subjected to an **Incentive-Disincentive Compatibility Framework** in order to determine their final allocation based on **(1) willingness (2) adherence to timelines and (3) submission of SHEPs**. Entitlement of funds would be determined as follows:

Willingness	On time	SHEP Submission	Incentive/ Disincentive	Entitlement
Yes/No	Yes/No	Yes/No	3 Yes	100%
Yes/No	Yes/No	Yes/No	2 Yes	66.7%
Yes/No	Yes/No	Yes/No	1 Yes	33.3%
Yes/No	Yes/No	Yes/No	0 Yes	0%

19. Finally, there is a small pot of money kept available – approx. Rs.300 crores (of the BE of Rs.2, 200 crores for 2014-15) for allocation to States on the basis of the quality of the State Higher Education plan and their performance.

Criteria	Cluster1	Cluster2	Cluster3	Cluster4
Population 18 to 23 (40)	15 ( lowest population in cohort- lowest allocation)	20	30	40 ( highest population in cohort - max allocation)
Institutional Density (10)	10 ( lowest density- max allocation)	7.5	5	2.5 ( highest density- lowest allocation)
Spend on higher Education (10)	2.5 ( lowest spend-lowest allocation)	5	7.5	10( highest spend- max allocation)
GER (10)	10 ( lowest GER-max allocation)	7.5	5	2.5 ( highest GER-lowest allocation)

- With marks being assigned across 6 criteria, States are subjected to an Incentive-Disincentive Compatibility Framework in order to determine allocation to States based on (1) willingness, (2) adherence to timelines and (3) submission of SHEPs.
- Entitlement of funds would be determined as follows:

**(d) Central: State Share:**

<b>States</b>	<b>Centre: State Contribution</b>
Assam, Manipur, Meghalaya, Arunachal Pradesh, Mizoram, Tripura, Jammu & Kashmir, Sikkim, Himachal Pradesh and Uttarakhand.	90:10
Other States and UTs	60:40

**(e) Demand for additional funds:**

The State may place a demand for additional funds for the approval which would be given by Mission Authority. The acceptance of the State's request would be based on the previous fund utilization and discretion of the apex body.

**(2) PREPARATORY GRANTS**

Preparatory Grant will be released in two instalments and the Centre and State share formula will be followed. 1% of the Preparatory grants will be the MMER grants. Both of them will be released together. States will be allowed to utilize the Preparatory Grant as per their specific requirements for the execution of RUSA.

Following are the heads under which the preparatory grants could be utilized.

<b>Capacity building and Preparation, Data Collection and Planning</b>	<b>Institutional Restructuring and Reforms</b>
Strengthening and Creation of State Higher Education Council	Sectoral and Institutional Governance Reforms
Partnership Development and Experience Sharing with similar bodies across States and other leading institutions through workshops, seminars and consultations	Creation of State Level technical support group
Tapping professional expertise	Recruitment of Young/Development Professionals
Leadership, Skills Development and Training	Infrastructure and technological support
Raising Awareness and Advocacy among institutions and stakeholders	

Developing information and evidence base	
Policy Development and dissemination	
Strengthening monitoring and evaluation systems	
Data Collection and Planning.	
Research Studies ( best practices, evaluation studies and other documentations)	

### (3) **MMER GRANT**

Every State is allocated 1% of the sanctioned amount called MMER grants. States will be allowed to utilize the MMER Grants as per their specific requirements for the execution of RUSA.

Following are the heads under which MMER could be utilized.

Sl.No	Headers	Headers
1	Rent	Strengthening national accreditation body and regional accreditation boards
2	Salaries	Contingency
3	Electricity	Training/conference /meetings
4	Office Supplies	Training, workshops, preparation of plans
5	Vehicles	Refresher courses and learning forums
6	Travel expenditure	Research projects, case studies, policy briefs and academic inputs
7	Office maintenance	Environment building, orientations
8	Institutional consultancy	Furniture
9	Publication of support materials	Renovation
10	MIS annual maintenance	Computers/equipment
11	Communication	

**(4) PAB SANCTION:** After the approval of the PAB the amount recommended for transfer is generally the 50% of the total sanctioned for the 1<sup>st</sup> year. The 1<sup>st</sup> instalment is 25% of the total approved amount.

**(5) UTILIZATION CERTIFICATE:** Funds will be released based on the utilization of funds of earlier releases which will be submitted as utilization certificate. State needs to spend at least 70% of the previous sanctioned amount before claiming for the 2<sup>nd</sup> instalment.

**(6) BANKING ARRANGEMENTS:** The allocated fund goes to State Government treasury where State share is added and the total amount is transferred to the SHEC account. The SHEC bank account has to be a simple saving bank account in any nationalized bank. The State share would be the 35%, for the Non special status State and 90% for the Special category States.

Each Institution will also have to have a separate RUSA account. For reporting, the same may be reflected on line through the Public Financial Management System (PFMS) portal of the Controller General of Accounts CGA and submission of a separate Utilization Certificate of the total amount utilized along with unspent balance, if any, at the end of the financial year as per GFR.

Signatories to the Bank Account: a set of two designated signatories at State level and two designated signatories at Institutional level should be notified. Both of them should jointly sign cheques/ issue electronic instruction for e-banking to operate all bank accounts.

**(7) FLOW OF FUNDS**

- After the approval of the SHEPs by PAB, MHRD will carry out sanctions on PFMS portal of Controller General of Accounts (CGA). After this funds are transferred to State treasury.
- Once the State contributes their share, the entire amount along with the central share is transferred to the RUSA account of SHEC within 15 days of receipt of central share. Delay in disbursement of funds may attract penalty of 1.5%.
- The SHEC then disburses amount to the dedicated RUSA account of institutions within 15 days of receiving. The releases shall be made as per the approved IDPs of the approved institutions.
- The funds that SHEC/Institutions receive do not lapse at the close of financial year. SHEC/Institutions are empowered to utilize the unspent balance during the next financial year for the same purpose for which they were allocated. The remaining amount at the end of the program shall either be refunded or utilized in a manner as decided by the GoI.

**(8) PREPARATION OF ANNUAL ACCOUNTS AND AUDIT OF ACCOUNTS**

SHEC will prepare its annual accounts in the format provide by the ministry, i.e. MHRD. These accounts will be audited annually by an independent CA appointed by SHEC. The report will be submitted to Mission Directorate.

**DETAILS ON COMPONET WISE FUNDING**

<b>Sl. No.</b>	<b>Component</b>	<b>Unit cost (In Crore)</b>	<b>Physical Target</b>	<b>Financial Target (In Crore)</b>
1.	Creation of Universities by way of upgradation of existing autonomous colleges	55	45	2475
2.	Creation of Universities by conversion of colleges in a cluster	55	35	1925
3.	Infrastructure grants to Universities	20	150	3000
4.	New Model Colleges (General)	12	60	720
5.	Upgradation of existing degree colleges to model colleges	4	54	216
6.	New Colleges (Professional & Technical)	26	40	1040
7.	Infrastructure grants to colleges	2	3500	7000
8.	Research, innovation and quality improvement	120	10 States	1200
9.	Equity initiatives	5	20 States	100
10.	Faculty Recruitment Support	10	5000 positions	2900
11.	Faculty improvements	0.58/faculty/sc heme duration	20 States	200
12.	Vocationalization of Higher Education	15	20 States	300
13.	Institutional restructuring & reforms	10	20 States	400
14.	Capacity building & preparation, Data collection & planning	10	20 States	200
15.	Leadership Development of Educational Administrators		20 States	-
16.	Management Information System		20 States	-
	Total			21976



## Chapter 9: State Assessment and Evaluation Framework

<b>A. PRE-REQUISITES-37 POINTS</b>					
<b>S. N o.</b>	<b>Pre-requi-sites</b>	<b>Key Details</b>	<b>Response of the State</b>	<b>Weigh ts</b>	<b>Total points</b>
1	SHEC	Whether SHEC exists already	SHEC exists in the State as per RUSA guide-lines	3	3
			SHEC exists, but willing to rework accord-ing to RUSA Guidelines/SHEC doesn't exist, but committing to establish one as per RUSA Guidelines	2	
			SHEC exists and not willing to rework ac-cording to RUSA Guidelines	1	
2	SHEP	Whether SHEP prepared as per RUSA prescribed guidelines	Consultations undertaken		5
			- College and University Faculty	.5	
			- Students including Student Unions	.5	
			- Parents and Alumni	.5	
- Non-Teaching Staff Colleges and Uni-versities	.5				
- Higher Education Leaders & Administra-tors (VCs, Executive Committee Mem-bers)	.5				
- Industry	.5				
		Does the SHEP include Perspective Plan, Annual Plan and Financial & Work Plan		1	
		Whether SHEP was prepared and approved by Council		1	
3	Govern-ance & ad-minis-trative re-forms	Commitment to implement the sectoral gover-nance reforms as per RUSA			13
			There is a search committee for the ap-ointment of VCs as per UGC Regulations	0.5	
			% of Positions filled for VCs in Universities	0.5	
			- Over 90% (Full Marks) - 75-90% (.25 Marks) - Below 75% (0 Marks)		
		% of positions filled for Registrars in Uni-		0.5	

		<p>universities</p> <ul style="list-style-type: none"> <li>- Over 90% (Full Marks)</li> <li>- 75-90% (.25 Marks)</li> <li>- Below 75% (0 Marks)</li> </ul>		
		<p>No. of Years since Act was amended</p> <ul style="list-style-type: none"> <li>-0-3 years</li> <li>-3-6 years</li> <li>-6-10 years</li> <li>-10 years and beyond</li> </ul>	<p>1</p> <p>0.75</p> <p>0.50</p> <p>0.25</p>	
		<p>% of positions filled for Principals in Govt. &amp; Govt. Aided Colleges</p> <ul style="list-style-type: none"> <li>- Over 90% (Full Marks)</li> <li>- 75-90% (.25 Marks)</li> <li>- Below 75% (0 Marks)</li> </ul>	0.5	
		<p>The State Councils for Higher Education gives approval for opening of new institutions (instead of the State Government)</p> <p>If yes, (0.5 marks)</p> <p>If No, (0 Marks)</p>	0.5	
		<p>% of autonomous colleges present in the State</p> <ul style="list-style-type: none"> <li>25% and above (1.5 marks)</li> <li>05 to 25% ( 1 marks)</li> <li>1-5% (0. 5marks)</li> <li>None (0 marks)</li> </ul>	1.5	
		<p>Teacher Student Ratio</p> <ul style="list-style-type: none"> <li>Below 1:20 (3 marks)</li> <li>Between 1:21to 30 (2 marks)</li> <li>Between 1:31 to 40 (1 mark)</li> <li>Above 1:40 (0 mrks)</li> </ul>	3	
		<p>% of the filled-up faculty positions is filled?</p> <ul style="list-style-type: none"> <li>90% of sanctioned positions filled (3 marks)</li> <li>80% to 89% (2 marks)</li> <li>70 to 79% (1 mark)</li> <li>Less than 70% (0 mark)</li> </ul>	3	
		<p>Has the TSG and SPD been established at State Level--Yes (1 mark)</p> <p>-No (0 Mark)</p>	1	
		<p>Has Project Monitoring Unit and Board of Governor been established at Institution level</p> <p>-Yes (1 mark)</p> <p>-No (0 Mark)</p>	1	

4	Financial contribution to Higher Education as a % of GSDP	The State agrees to scale-up and maintain prescribed level of funding to higher education as a % of GSDP	%age increase in GSDP over previous year – Above 60% – (3 Marks) 40%- 59% – (2 Marks) 20%-39%– (1 Mark) Below 20% –( 0 Mark)	3	3
5	Accreditation and quality reforms	Has the State committed to have all State HEIs to comply with accreditation requirements	Percentage of Institutions accredited Over 90 – (4 Marks) 75-89 (3 marks) 50-74 (2 mark) Below 50 (0 marks)	4	4
7	Affiliation reforms as outlined in RUSA	Has the State agreed to implement all affiliation reforms under RUSA	All Universities affiliating colleges 100 to 200 colleges – (3 marks) 75% Universities with 100 to 200 colleges (2 marks) 50% Universities with 100 to 200 colleges (1 mark) Below 50% universities with 100 to 200 colleges ( 0 marks)	3	3
8	Examination Reforms	Has the State agreed to implement all the Examination reforms along with computerization of Examination/ evaluation division in all its HEIs	What percentage of universities has a semester system in place? 100% Universities with semester system – (3 marks) 75% Universities with semester system (2 marks) 50% Universities with semester system (1 mark) Below 50% Universities with semester system ( 0 marks)	3	3
9	Student Centric Activities		What percentage of colleges in the State have a multi lingual Know Your College Portal, a functional website, a Grievance Redressal Mechanism and online Prospectus and List of courses offered - 75 % and above (3 Marks) - 50 % and above(2 Marks) - 25% and above(1 Mark) - Below 25% (0 Mark)	3	3
<b>B. STATE PLAN- 24 points</b>					



## Annexure I

### UNDERTAKING

The Government of..... (mention State or Union Territory here) hereby conveys its willingness to participate in the RashtriyaUchchatarShikshaAbhiyan (RUSA) and commits to fulfil all the prerequisites under the Scheme. The Government of ..... further commits to accept and abide by all decisions of RUSA Mission Authority and the Project Approval Board.

Dated:

Place:

(Signature with official seal)

Name:

Designation:

## Annexure II

### CHECKLIST

Name of State/Union Territory		
SN	Prerequisites	Status
1	(a) Whether a State Higher Education Council exists?	Yes/No
	(b) If Yes, by what name and what is its composition and role?	Enclose copy of order constituting the Council
	(c) If not, by when does the State/UT commit to set up one?	Indicate date
2	Whether it commits to prepare State Higher Education plan including the following;	Yes/No
	(a) Perspective Plan	Yes/No
	(b) Annual Plan	Yes/No
	(c) Budget Plan	Yes/No
	(d) Whether it consents to submit them for consideration of the Project Approval Board?	Yes/No
3	(a) What is the expenditure on higher education as a percentage of Gross State Domestic Product (GSDP) in the last three years?	
	(b) Whether it commits to raising its expenditure on higher education as a percentage of the GSDP?	Yes/No
	(c) If Yes, by what % points (by 2016-17)?	Indicate % points
4	Whether it commits to contribute its share of funds under the Scheme and adhere to the timelines for fund release? [10 % for NE States, Sikkim, J&K Himachal Pradesh and Uttarakhand and 35% for other States & UTs]	Yes/No
5	(a) Whether there is a ban on recruitment and filling up faculty positions in State public universities and public aided colleges?	
	(b) If Yes, whether orders for removing the ban have been issued?	
6	Whether it commits to carry out the following reforms at State and institutional	Yes/No

	levels?	
	(a) accreditation reforms	Yes/No
	(b) affiliation reforms	Yes/No
	(c) examination reforms	Yes/No
	(d) governance reforms	Yes/No
	(e) administrative reforms	Yes/No
7	(a) whether it agrees to create a State Project Directorate under a senior officer (not below the rank of secretary to State/UT Govt.) with requisite staff and Technical Support Group as per RUSA scheme?	Yes/No
	[b] If Yes, by when?	indicate date
8	whether it commits to ensure compliance of institutions to the prerequisites and other reforms?	Yes/No

(signature with official seal)

Name:

Designation: