GUIDELINES FOR THE SPECIAL SCHEME OF

SPECIAL ASSISTANCE PROGRAMME (SAP)
DURING THE XITH PLAN

UNIVERSITY GRANTS COMMISSION

BAHADUR SHAH ZAFAR MARG

NEW DELHI – 110 002

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XI PLAN GUIDELINES

SPECIAL ASSISTANCE PROGRAMME (SAP)
UNIVERSITY GRANTS COMMISSION BAHADUR SHAH ZAFAR
MARG NEW DELHI – 110 002.

1. INTRODUCTION

The SAP scheme was initiated in 1963 by University Grants Commission keeping in view the recommendations of the Education Commission to facilitate the selected number of university departments having some potential in research and teaching. The programme is intended to encourage the pursuit of excellence and teamwork in advanced teaching and research to accelerate the realization of international standards in specific fields. The first such programme was initially started as the "Centre of Advanced Study (CAS)" in 1963.Some of these Centres also received recognition and financial support from UNDP/UNESCO. The "Department of Special Assistance (DSA)" and "Departmental Research Support (DRS)" programmes were started in the Departments during 1972 and 1977 respectively to create feeder departments for CAS.

SPECIAL ASSISTANCE PROGRAMME (SAP)-LEVELS

The SAP Scheme is implemented at 3 levels

1-CENTRE OF ADVANCED STUDY (CAS)

2-DEPARTMENT OF SPECIAL ASSISTANCE (DSA)

3- DEPARTMENTAL RESEARCH SUPPORT (DRS)

2. OBJECTIVES

The major objectives of the Special Assistance Programme (SAP) are as follows:-

a. To identify and support university departments that have the potential to undertake quality teaching and research in various educational disciplines including allied disciplines.

b. Programme to be relevant to societal needs and have society and industry interaction.

c. To make research a catalyst for good teaching and introduction of new courses relating to identified thrust areas.

d. To have linkages with research organizations and to use their expertise innovatively to support research in the universities.

e. To enhance infrastructure facilities.

f. To utilize the output of research for the development of the nation and society.

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g. To train and create quality human resource in identified thrust areas.

h. To search for newer / generic area(s), its promotion and nurturing.

To fulfill the above objectives, linkages with research organizations such as, DST, CSIR, DRDO,DBT etc. need to be used innovatively to support research in universities. Priority should be given to inter-disciplinary research in all fields.

3. ELIGIBILITY

A University / department which qualifies under section 2 (f) and 12 (B) of the UGC Act, 1956 and has potential to undertake quality teaching and research can submit its proposal for induction under SAP. The detailed information is to be submitted in the prescribed format **(Annexure-I)**. **The department should have at least one Professor, two Readers and three Lecturers to become eligible for induction under SAP.**

4. DURATION OF THE PROGRAMME

The tenure of the Special Assistance Programme (SAP) will be for a period of **FIVE YEARS** for particular phase.

The UGC will not provide financial assistance more than three terms(5 years each)at the same level of DRS and DSA. If the performance of the department improves significantly at the level of DRS/DSA, the department shall be considered to be upgraded to the level of DSA/CAS as the case may be. If the performance of the department does not improve significantly after receiving grant for three terms at the level of DRS/DSA and Review Committee recommended for IV Phase, UGC shall discontinue the programme.

The effective date of implementation of the approved phase/tenure will be 1st April of the next ensuing year. The department has to accept terms & conditions and implement the programme within six months from the date of approval or 1st April of the next financial year whichever is earlier, otherwise UGC shall be at liberty to cancel the approval of the programme.

5. NATURE OF ASSISTANCE

The maximum limit of financial assistance for a period of five years at different levels of the programme will be as under:

Programme / Status	Financial Assistance * (Rs. in lakhs)	
	Science, Engg. & Tech.	**Maths, Statistics Humanities & Social Sciences**
CAS	150	100
DSA	100	75
DRS	75	60

* inclusive of salary of teaching staff and Research Associate/Project fellow

The financial assistance will be provided for non-recurring as well as recurring items of expenditure. The details regarding the items covered under non recurring and recurring are given in **Appendix to Annexure-I.**

5.1 ATTACHMENT OF STUDENTS (MASTER'S DEGREE PART-I AND BACHELOR'S PART-II)

a. Every Year four meritorious students from Master's Part-I (appeared in examination) and two Bachelor's Part-II (appeared in examination) students from neighbouring Universities/Colleges will be attached to each SAP supported departments for six weeks to provide them with research experience. They may be appointed on merit.

b. The students must be given project work during their attachment and each student should be assigned to one faculty member for guidance according to the identified thrust area(s) of interest.

c. (i) The Commission will provide to each student actual second class rail/bus fare per month of attachment along with contingency amount of Rs.8,000/- per student per annum for stationery, field work, repair and maintenance activities for the work assigned to them. The University department, where the student will be working, may provide the grant to the student based on their date of joining with necessary documents from the University department from where the student is coming to take up the attachment programme. The UGC will reimburse the same after clearance from the Advisory Committee where the amount will be shown for release by the UGC to the Institution concerned where the student is working.

(ii) Projects may be chosen in collaboration with the industry, national organizations or for rural work in addition to the identified thrust areas. The student and the concerned teacher, to be attached with the student, may visit the industry and other organisations and take up the project. This will help to create a linkage with an external organization and the department, the students and the teacher. Thus mobility is ensured.

(iii) The Department should write and contact the relevant University/College between January and March of every year so that eligible students are selected on merit for research attachment.

5.2 ESCALATION COST OF EQUIPMENT

In the event of devaluation of rupee value against foreign currencies the cost of most of the sophisticated equipments also increases and the departments concerned are unable to procure the approved equipment within the approved amount due to the cost escalation. In case of such escalation, the SAP supported departments will have to submit detailed information and bank documents along with exchange rate documents etc . to justify their claim in the prescribed form enclosed as **Annexure - II.**

To avoid the cost escalation, the Departments/Universities concerned will take appropriate steps according to the guidelines and terms and conditions of grants to place the order for approved equipment immediately after receiving the grant from the UGC.

5.3 5% MAINTENANCE FOR EQUIPMENT GRANT

Maintenance, modernization, upgradation, accessories, spare parts etc. for the approved equipments may be procured under the programme @ 5% of the purchase value of the approved equipment per annum on contract basis from the date of expiry of warranty period till the end of the term of the programme. Thereafter, it has to be met by the University/ Institute.   The expenditure on maintenance items shall be met from Contingency.

5.4 INTERNATIONAL COLLABORATION FOR RESEARCH UNDER SAP:

(a) The University Grants Commission on the basis of the recommendations of the University and the Advisory Committee may consider a well defined collaborative research programme for sending upto two teachers in a year from SAP departments to the identified foreign University/ Research Institute for a period of two to six months. The proposal for the collaborative programme will define clearly the objectives and the areas of collaboration from both the Indian and foreign counterparts. Such collaboration will focus on the areas of research, methods/ products/ prototype to be developed. It will also specify how the patents and the protection of the rights of such research and the collaboration programme will be maintained by both the counterparts. The teachers and the groups who will be collaborating will submit their phase-wise programme of going abroad along with the type of work they are to take up in that phase. The department will also mention any other support being enjoyed under such collaboration. An agreement on the above collaborative programmes, mentioning details of area(s) to be undertaken in the collaboration, possible time-frame, phase-wise plan of action may be prepared and finalized among the counterparts. This document may thereafter be placed before the Advisory Committee. The resolution may be sent to the UGC- SAP Division for consideration, approval and implementation accordingly.

(b) The Commission will provide assistance to each collaborating SAP department to the extent of Rs.2,50,000/-per year (as an additional grant on availability) for collaboration with an identified University department or Research Institute in a foreign country. The assistance will be for the following purposes:

(i) To provide air fare by SAP department to two teachers and to provide local hospitality and travel within India to two teachers of foreign collaborating University/ Research Institute on the same scale as applicable in the cultural exchange programme of the UGC.

(ii) Local hospitality for teachers from SAP department will be met by the foreign collaborating University/Research Institute according to the norms of the foreign collaborating University/ Research Institute.

(iii) Air fare of the teacher from foreign collaborating University/ Research Institute will be met by them and local hospitality by the concerned collaborating department. In order to get assistance the following documents are to be submitted by the collaborating SAP departments to the UGC for approval and release of admissible grants:

The resolution of a well defined collaborative proposal (with objective) and complete action plan and a copy of the agreement between the appropriate collaborating authority of SAP department and foreign collaborating University/ Research Institute duly forwarded by the Vice-Chancellor as Chairman of the Advisory Committee where the presence of UGC expert nominee(s) is mandatory.

6. PROCEDURE FOR APPLYING FOR THE SCHEME

The UGC may invite proposals from eligible university departments which have potential to undertake quality teaching and research can submit their proposals in the month of April/May each year.

7. PROCEDURE FOR APPROVAL BY THE UGC

7.1 . SHORT LISTING OF NEW PROPOSALS UNDER SAP-DRS:

All the proposals duly prepared as per the guidelines of the programme received from the eligible University Departments through proper channel from the University will be scrutinized and short-listed by the Subject Expert Committees **(Annexure-III).**

7.2 INDUCTION OF DEPARTMENTS BY THE SUBJECT INDUCTION COMMITTEE

The short listed proposals will be considered by the Subject Induction Committee to be constituted by the UGC. The members of the subject induction committee will be different from the short-listing subject Expert Committee. The Subject Induction Committee will consider the proposals of DRS level on the performance of the departments through its presentations in the UGC office under DRS. The Subject Induction Committee will also identify the Coordinator and Deputy Coordinator of the programme for the tenure of the programme or upto his / her superannuation in consultation with the representatives of the department to run the programme in an identified thrust area(s). The recommendations of the Committee will be approved by the Commission for induction of new departments. **(Annexure-IV)**

7.3 TERMS OF REFERENCE OF INDUCTION COMMITTEE

(i) The Committee would identify preferably not more than 2 or 3 areas of thrust or group research areas not too narrowly based on the excellence in the department. The direction of the thrust will be identified keeping in view the national or global priority / thrust where such advancements are viable and have distinct identifiable growth potential and future prospects.

(ii) While supporting identified areas, it should be ensured that the major facilities be identified which the department will require to maintain growth and excellence or to create work as per the objectives of the programme.

7.4 IDENTIFICATION OF COORDINATOR/ DY. COORDINATOR

(i) The Committee will identify the Coordinator of the programme in consultation with the Vice-Chancellor and the faculty members. The senior most Professor in the identified thrust area or the professor most active (to be judged by the Committee) in the thrust area identified, may work as a Coordinator. The Coordinator will also look into the interest of the other areas in order to have overall growth and standard in the department. The Coordinator should ensure that the facilities provided under SAP as well as other existing facilities in the department may optimally be utilized. The Professor, who has been appointed as Co-ordinator of the programme should have atleast remaining service of three years prior to his/her superannuation.

(ii) The Committee may make specific financial recommendations for the most essential and critical needs to be provided for further growth, development and creation of excellence in the identified areas keeping in view the financial ceiling and the objectives of the programme. Specific facilities including equipments and other items with the financial allocation recommended for, may be mentioned in the column allotted for the same in the format .

8. PROCEDURE FOR RELEASE OF GRANT

Based on the recommendations of the Induction Committee and accepted by the UGC, the financial approval/assistance shall be conveyed to the selected department of concerned university, subject to certain terms and conditions. On receipt of the acceptance of the terms and conditions UGC will sanction total non-recurring and recurring grant for the first year of the programme.

8.1 CONDITIONS FOR RECEIPT OF THE GRANT

In order to avoid difficulty in implementing the programme on day-to-day basis, the UGC desires that the University will give sufficient delegation of authority to the Department (SAP supported) within the University for successful implementation of the programme within the approved duration.

I. The university and department will intimate the name of the Registrar who will receive the grant on behalf of the University for the Programme.

II. The name of the bank and account number **(for SAP)** with detailed address may be intimated to the UGC to receive approved financial support under the programme. A separate account for the grant under the programme is essential to be maintained with intimation to the university authorities / UGC

III. The Coordinator should have the freedom to place orders and act as per directions of Advisory Committee under intimation to the Head of the concerned department. The Advisory Committee, if it so feels, may constitute a purchase committee to deal with the matter.

IV. **Non recurring grant released by the UGC should be utilized by the department / university positively within a period of three years from the date of receipt of grant, otherwise the UGC may ask for refund of the unutilized amount of non-recurring grant.**

V. Second and subsequent installment of grants will be sanctioned only on receipt of the following documents :-

(a) Year-wise and item-wise statement of actual expenditure incurred against the grant paid for the previous year in the prescribed Proforma (**Annexure-V)**, duly signed by the Registrar, Finance Officer and Coordinator of the programme.

(b) Utilization Certificate in the prescribed form **(Annexure-VI)**, duly signed by the Registrar, Finance Officer and Coordinator.

(c) The University will also submit an audited statement of accounts of the programme, duly audited by the Statutory Auditors of the University, as soon as the accounts of the University are audited.

(d) The Department **must** submit an Annual Progress Report in the prescribed format **(Annexure-VII)** with a copy of the proceedings of the Advisory Committee meeting, highlighting the specific observations / comments of the outside experts (UGC nominees).

(e) **The UGC assistance for the payment of salary of research/teaching personnel approved for the SAP, will be from their date of joining and upto the end of approved duration of the programme. Thereafter, the State Government / University will have to take over the recurring liabilities of such staff. The UGC will not be responsible either legally or financially for continuation of the appointment made under SAP.**

(f) If university could not appoint/recruit approved post sanctioned under SAP vacant posts, if any, on the date of completion of the duration of the programme will automatically stands lapse.

8.2 ASIST/ ASIHSS PROGRAMME

Assistance for strengthening of infrastructure for Science and Technology (ASIST) and Assistance for strengthening of infrastructure for Social Sciences (ASIHSS) were introduced in the year 1983 with an objective to select Science & Technology, Humanities and Social Science Departments in Universities which have already executed and achieved high quality performance to enable them to acquire necessary equipment to develop infrastructure which cannot be provided out of SAP grant or normal university development grant. UGC provided assistance under the above scheme to various departments. Further, it has been observed that the items of assistance under the scheme are similar to that

of SAP Scheme. Most of the items are duplicate in nature under both the schemes.

UGC decided that during XIth Plan the scheme of ASIST/ASIHSS be merged and to be included under SAP Programme. The financial assistance under SAP has been enhanced substantially in the XI Plan guidelines, hence there will be no separate allocation for ASIST/ASIHSS Scheme.

9. PROCEDURE FOR MONITORING THE PROGRESS OF THE SCHEME

Monitoring / Evaluation and Review of the progress, performance, achievements made by a Department supported under the SAP will be done through the following Committees :-

A - Advisory Committee

B - Mid-term Monitoring and Evaluation Committee

C - Final Review Committee

9.1 CONSTITUTION AND FUNCTIONING OF THE ADVISORY COMMITTEE

The composition of the Committee will be as under :-

1. Vice-Chancellor	Chairperson
2. Head of the Department	Member
3. Seniormost Professor participating in research in each of the identified thrust areas.	Member
4. One Senior Teacher involved in UG & PG teaching in areas other than identified thrust areas	Member
5. Two outside experts as UGC nominees	Members
6. Coordinator	Member Secretary

TERMS OF REFERENCE AND ROLE OF THE ADVISORY COMMITTEE WILL BE AS UNDER:-

(i)   The Advisory Committee will play an active role for the full - term of the programme.

(ii)   The Advisory Committee shall meet annually and the dates of the Advisory Committee meetings should be fixed well in advance so as to ensure participation by the UGC nominees/ outside experts.

(iii) a) The Advisory Committee shall monitor and review the academic teaching, research, collaborative, extension and future programmes; procurement of the equipment; expenditure on housing the equipment as allocated by the UGC. The Committee will also look into the international collaborative programmes, training of the students, use of the research and technology output, patent filing or commercialization of the output, resource generation or patent promotion, attachment of research students and other related activities under the programme .

b) It will also look into the scope of updating the courses from time to time.

(iv) The Advisory Committee may not generally recommend any fresh proposals involving finances to be sought from the UGC but will advise on the proper utilization of the amounts already approved under the programme and suggest such reappropriations as may be necessary, keeping in view the progress of work in the department.

(v) The interest accrued, if any, out of the sanctioned amount under the programme, is to be treated as an additional grant. The Advisory Committee should suggest proper use of such amount. The University / Department will have to submit to the UGC regarding utilization of the interest income, while submitting the annual accounts for the programme.

(vi) The programme Coordinator may procure the equipment sanctioned under the programme as per the procedure suggested by the Committee. Since the Phase of programme is time bound, there is no need of any approval in this regard of the Executive / Syndicate of the University.

(vii) The expenditure towards the Advisory Committee meetings may be met from the specific recurring grant allocated for the purpose.

(viii) If the UGC nominee is absent in the Advisory Committee meeting due to unavoidable reasons, the nominee may kindly be requested to give his / her opinion in case the nominee differs from the decision of the Committee. This opinion shall be considered in the next meeting or by the Chairperson in case of emergency.

9.2 MID-TERM MONITORING AND EVALUATION COMMITTEE

The Mid-term monitoring Committee constituted by the UGC will evaluate and review in the third year of the programme, the academic, research achievements and the progress of the work done during first two years of the programme. This will be in addition to the monitoring of the programme by the Advisory Committee. The Review Committee may review the progress of the programme by visiting the departments or by inviting the Coordinator/representatives of the departments for presentation of the performance appraisal reports in a selected and easily accessible university.

9.3 REVIEW OF INSFRASTRUCTURE UGC FELLOWSHIP GRANTS UNDER BASIC SCIENTIFIC RESEARCH.

The review committee, visiting the SAP Department may also review the implementation of the schemes floated by UGC Empowered Committee/ SAP Departments including infrastructure grant and fellowships released. The optimum utilization of the grant given under the scheme of Empowered Committee may be ensured to find out the impact of the support given by the Empowered Committee.

9.4 TERMS OF REFERENCE AND ROLE OF THE MID-TERM MONITORING AND EVALUATION COMMITTEE

1. After completion of two years of the SAP the department will submit a progress report in the prescribed format **(Annexure - VII)** . The UGC may organize group monitoring or on the spot visit for review of the departments which have completed more than two years from the date of approval of the programme or as communicated by the UGC.

2. This Committee will review the mid-term progress and activities and also take note of the minutes of the Advisory Committee meetings and the action taken on the recommendations of the Advisory Committee and decisions of the UGC.

3. The Committee will submit the report highlighting the various achievements, facilities created, equipment procured, staff/faculty/fellows appointed (if approved by the UGC) , utilization of the funds for the purpose it were given, the status of the Coordinator, thrust areas identified or modified, other areas emerging out etc. as relevant to the programme **(Annexure-VIII).**

4. Normally, no financial grant be recommended by the Committee. However, the Committee may highlight any special point or comments which they intend to make for the smooth implementation of the programme, for consideration of the UGC.

9.5 FINAL REVIEW COMMITTEE

The Final Review Committee shall be constituted by the UGC consists of 2-3 subject experts in the identified thrust area and a UGC officer. This Committee will evaluate and assess the over all progress and achievements of the Department at the end of the tenure of the programme, based on the final progress report, academic and research achievements, infrastructure facilities created and utilization of funds etc. Besides, the committee may visit the Department and to assess the Department on the spot, by discussions, physical verification, etc.

9.5.1 TERMS OF REFERENCE AND ROLE OF THE FINAL REVIEW COMMITTEE

1. The Committee will study in depth the progress report received from the Department.

2. The Committee will visit the Department laboratory, library and other infrastructural facilities. It will hold discussions with the Vice-Chancellor, Senior faculty members and teachers, administrative authorities, research scholars and students, staff as may be essential in regard to various academic, teaching, research, collaborative programmes, extension and training programmes, resource generation etc.

3. The Committee will look into the strength of the faculty (Professors, Readers, Lecturers, other personnel) working in the department and actually in position and their involvement in the thrust area. It will also examine whether the State Government or the university has taken the liability of the faculty provided by the UGC during its support under the programme.

4. The Committee would examine the stage of development of the identified thrust areas which have been provided support in phases, its modification, inclusion and its impact on the total development of the Department. It will also identify the areas of thrust, where excellent progress has been made or maintained. The addition of any area of thrust, other than the identified area, may be recommended with proper justification.

5. The Committee will examine the number of years passed after support of the programme and the newer / generic / hi-tech/ thrust areas generated out of the support in addition to the identified thrust areas. Whether these new areas have brought in any excellence or innovation or breakthrough would also be examined.

6. The Committee after rigorous evaluation may recommend continuing / discontinuing / upgrading the programme of the department. The Committee may suggest the financial implications for continuance / upgradation of the programme concerned, keeping in view the UGC guidelines of the programme **(Annexure-IX)**. The recommendations of the Committee will be considered by UGC for its approval.

UNIVERSITY GRANTS COMMISSION

**FORMAT FOR INVITING PROPOSAL FOR FRESH INDUCTION
UNDER SAP- (DRS)**

1. Name and address of the University:
   Year of Establishment:

2 Name and Address of the Registrar :

3. Name of the eligible Department submitting the proposal with detailed address:

Address :

_____   E-Mail _____

_____   Ph. _____

_____   Fax _____

Pin code_____

4 Name and Address of the Head of the Department _____

5. Name and Address of the Coordinator proposed for the programme:

6. Name and Address of the Deputy Coordinator proposed for the programme:

7. The Thrust Area(s) of research to be undertaken under the programme.

8. Faculty* in the department:

	Professor	Reader	Lecturer
(a) Approved strength			
(b) In position			

• Please enclose a list of faculty members giving name, designation, qualifications, specialization and number of publications (international & national level) during the last 5 years.

9. (a) Students intake and passout in the Department during last 5 years.

Name of the course	Intake	Average no. of students passing out per year	Major areas of placement of students
Post Graduate degrees 1. 2. 3.			
Research Degrees 1. M.Phil. 2. Ph.D.			

(b) Research and Collaborative projects completed by the Department during last 5 years.

National level organizations / agencies		International level organizations / agencies	
No. of projects	Amount (Rs. in lakhs)	No. of projects	Amount (Rs. in lakhs)

10. (a) Awards received by the faculty during last 5 years.

Name of the Award	Number of awards	Name of awardee
National level		
International level		

(b) Fellows of professional bodies / academies

Name of the Body / Academy	Position, if any
National level	
International level	

11. Details of Collaborative Programme (Teaching, Research and extension activities).

(a) Intra and Inter Department
(b) National organizations
(c)Non-Government organizations
(d) International organizations
(e) Other Institutions

12. Details of seminars, conferences etc. organized during last 5 years:

Number organized			
	National		**International**
	Organized	**Participated/ Attended**	**Organized Participated/ Attended**
Conferences			
Seminar			
Workshop			
Summer Institutes			
Refresher Courses			

13. Details of the Seminars/Conferences attended by the faculty during last 5 years.

14. Any financial assistance received/generated by the Department from other sources during the last 5 years.

Year	Name of the Funding/ agency (Indian/ International)	Building	Equipment	Contingency	Staff	Total
Year I						
Year II						
Year III						
Year IV						
Year V						

15. (a) Is there a departmental library?:   Yes/No

   (b) If yes, total no. of Books :

   (c) Total no. of journals(Indian/Foreign)
      subscribed annually:

16. (a) When the syllabus for different courses in the department were last
      restructured /revised:

        <u>Course</u>   <u>Year of revision</u>

        U.G.

        P.G.

        M.Phil.

(b) Upto what extent the curriculum reports published by the UGC utilized for
    courses in the department.

(c) What other initiatives at the departmental or individual level were taken in
    the last 5 years to improve teaching and research. Please give a short note.

17. Whether University will provide Academic and Financial autonomy to the
    Department if selected under SAP.

18. Details of year-wise plan of work proposed to be done in the major thrust
    areas.

19. Most essential and critical financial needs/facilities which will be required for
    successful implementation and to attain the objectives set-forth. (This
    should be within the financial limit as per SAP guidelines and according to
    the list of admissible items (**APPENDIX to ANNEXURE-I).** XI Plan priority-
    wise list of equipment with estimated cost should be attached).

20. Annual/ Semester system in Examination being followed. Credit system
    in examination being followed or not.

21. Major ongoing areas where linkages with industries have been
    established.

22. Research and technology developed by the Department and output which
    has been used by user departments / organisations / industries in the form
    of patents, commercial application, fabrication of equipments / facilities, use
    for knowledge dissemination / development in teaching.

23. Availability of infrastructural facilities for research:

    (i) Physical

    (ii) Academic and Research

24. Major equipment available and in use (costing more than Rs.2,50,000/-) within Department and USIC, indicating actual cost and source of each item, year of purchase, whether in operation.

SIGNATURE & SEAL OF THE HEAD/ PROPOSED COORDINATOR OF THE PROGRAMME APPLIED FOR WITH DATE

SIGNATURE & SEAL OF THE HEAD OF THE INSTIUTTION/ UNIV./VICE-CHANCELLOR/ REGISTRAR

Please note: PROPOSAL PREPARED OTHER THAN IN THE ABOVE FORMAT AND WITHOUT SIGNATURE OF THE ABOVE MENTIONED AUTHORITIES, MAY NOT BE CONSIDERED. PROPOSAL IN DUPLICATE COPIES IN THE BIND FORM AND NEATLY TYPED AND PRINTED MAY BE SENT TO THE JOINT SECRETARY (SAP DIVISION), UNIVERSITY GRANTS COMMISSION, BAHADUR SHAH ZAFAR MARG, NEW DELHI-110002.

UNIVERSITY GRANTS COMMISSION

ITEMS FOR WHICH THE FINANCIAL SUPPORT WILL BE PROVIDED UNDER SPECIAL ASSISTACE PROGRAMME (SAP)

Item

Non – Recurring

1. Equipment (including Computer Hardware / Software)

2. Renovation/Upgradation/ extension (additional space) of laboratory for housing and installation of new equipments (Maximum limit upto Rs.20.00 lakhs) including Air – conditioning.

Recurring

1. Contingency/Working expenses

2. Chemicals/Consumables/Glasswares

3. Travel/Field facilities/Field trips (**all within India only**)

4. Visiting Fellows

5. Seminars on thrust areas (limited to three in five years).

6. Hiring services of Technical/ Industrial/Secretarial assistance as relevant to the programme (for programme duration only)

7. Advisory Committee meetings (TA/DA/Honorarium for UGC nominees)

8. Books and Journals

9. Staff for CAS/DSA/DRS :

DRS - 1 Lecturer, 2 Project Fellows
DSA -1 Reader, 1 Research Associate & 1 Project Fellow
CAS -1 Professor, 2 Research Associates & 2 Project Fellows

(UGC assistance for research staff approved, if any, will be for the programme duration only)

Salary and other allowances of Project Fellow/Research Associate will be as under.

Project Fellow:- Rs.8000/- Per Month
Research Associate:- Rs.14000/- + HRA Per Month

If qualified Research Associates are not available, Project Fellows may be appointed.

UNIVERSITY GRANTS COMMISSION

PROFORMA FOR SEEKING ADDITIONAL GRANTS FOR BUYING APPROVED EQUIPMENTS DUE TO ESCALATION IN FOREIGN EXCHANGE RATE

(UNDER SAP PROGRAMME)

Name of the instrument and Model if any	S.No. of the instrument as approved under SAP	Amount approved under SAP	Name of Manufacturer supplier (Indian/ Foreign)	Date & amount of order placed (in Rupees & foreign currency and Exchange rate)*	Amount of LC opened with dt. (in Rupees & Foreign currency with Exchange rate)*	Final bank debit with dt. & bank document & including, Exchange Rate.*	Approx. escalation (difference of column 7- 6)	Remarks
1	2	3	4	5	6	7	8	9

* Attested copies of Bank documents for 5,6,7 i.e. for placing the order, opening the L/C and final bank debit.

UNIVERSITY GRANTS COMMISSION

SPECIAL ASSISTANCE PROGRAMME (SAP)-DRS

SUBJECT COMMITTEE MEETING FOR SCRUTINIZING AND SHORTLISTING OF THE NEW PROPOSALS

DATE OF MEETING _____ SUBJECT OF THE PROPOSAL_____

EVALUATION INDICATION SHEET

1	Name of the Department / University	:	
2	Proposal for consideration under	:	**SAP (DRS)**
3	Whether the department is **viable** at present interms of its academic achievements / progress in the on-going thrust areas as stated in the proposal and has the desirable academic staff (1 Prof., 2 Readers and 3 Lecturers) for further consideration by the Commission to induct it under SAP programme	:	**Yes/No**
4	Thrust area(s) on which the Department should emphasise, if selected for induction	:	
5	Specific comments / recommendations in order of PRIORITY	:	PRIORITY NO…….
6	The specific reasons (in brief) for which the Department is NOT-VIABLE at present	:	

SIGNATURE OF THE EXPERTS

1.

2.

3.

SIGNATURE OF THE UGC OFFICIAL

REPORT OF THE EXPERT / INDUCTION COMMITTEE FOR THE DEPARTMENT OF _____ UNIVERSITY OF _____FOR INDUCTION AT THE LEVEL (DRS/DSA WITH PHASE) VISITED ON _____ AT_____

RECOMMENDATIONS OF THE EVALUATION AND ASSESSMENT / INDUCTION COMMITTEE

Name of the Department
and University with
PINCODE & FAX:

Date of Assessment:
Venue :
Induction Status:
(provide level of induction
& programme)

Expert Members & UGC officer Present

Name	Address	Tel./Fax No.

1. Broad Thrust Area (s) identified & recommended by the Committee:-

(i)

(ii)

(iii)

2. Coordinator and Deputy Coordinator identified and recommended by the Expert Committee:-

Name:

Designation:

Telephone No./Fax/E-mail:

Area of specialization:

Status of the Coordinator (senior most or not):

3. Status of the Department :

(a) Year of establishment :

(b) Present faculty strength :Professor _____ Reader_____ Lecturer_____
   (working)

(c) Name of ongoing courses of the Department and the student intake in
    each courses :

4. Advisory Committee Members recommended by the Committee (other than
   Induction Committee members) :

	Name	**Specialization**	**Address /Fax / Tele No./ E-mail**
(i)			
(II)			

5. Major observations and achievements (prior to induction into this programme)
   :

a.   (I) Major working groups and thrust areas :

       (II) Faculty members involved in each working group :

b. Excellence in the identified thrust area:

c. Other thrust / hi-tech / emerging area nurtured:

d. Technology / method developed and used industrially/commercially:

e. Courses introduced and implemented with intake of students, number
    of faculty involved, sponsoring agency ,if any, of the students, possible
    employer and user department / organization / agency :

f. New ideas which have influenced teaching or research:

g. Infrastructure developed: Major equipments / facilities (attach list) :

h. Industrial collaboration and amount of resource generated, out of such
   collaboration :

i. Patents / Prototype : i. approached for- ii. in credit- iii. Given to
   licensees

j. International collaboration(with industry, institutions, man-power trained) :

k. Utilization of the research facilities by other user dept. / agencies / other organizations / NGOs:

l. Industrial / commercial attachment of the student or faculty members :

6. Brief status of the Department on administrative / financial and academic aspects :

   Whether the Department will be given autonomy by the University with respect to academic, financial and administrative functioning, if the UGC approves support under SAP.

7. Whether the examination reforms and restructuring of courses are taken care of properly in time or not. Provide details with the year of restructuring / reformation made last.

8. Whether the Committee wants to make any special comments for notice of the highest authority of UGC with respect to functioning of the Department from all angles, which may be kept confidential, if it is so necessary:

9. Future plan of work of the Department with the objectives set forth as proposed under this first phase if UGC agreed to the support (enclose separately as Annexure) :

10. Whether the committee is satisfied with progress and existing activities of the Department which can be considered for induction of the Department and for the support :

11. The Committee strongly recommends :

    i) The Department be inducted at the status of DSA/DRS

    ii) If not recommended, the reason thereof.

12. Other special comments/remarks of the Committee, if any:

13. Financial Recommendation (most critical and essential funds within the approved limit and the admissible items as given in the APPENDIX TO ANNEXURE-IV.

SIGNATURE (EXPERT MEMBERS) AND UGC OFFICIAL WITH DATE AND VENUE

Name	Address & Tel./Fax No.	Signature
1.		
2.		
3.		
4.		

FINANCIAL RECOMMENDATIONS

The financial inputs recommended by the committee is given as below:

NON-RECURRING   **RS. (IN LAKHS)**

I   Equipment

II   Building (upgradation/augmentation extention
        Of existing laboratory for housing and
        Installation of new equipment) (maximum
        Limit upto 20 lakhs) including air-conditioning

III   Reprographics facilities.

RECURRING   **RS. (IN LAKHS)**

I   Contingency/Working expenses
        @ Rs._____ p.a.

II   Chemicals/Consumables/Glasswares
        @ Rs._____ p.a.

III   Travels/Field facilities/Field trips for
        Faculty members only (all within India
        Only) @ Rs._____ p.a

IV   Visiting Fellows
        @ Rs._____ p.a.

V   Seminars (for organization) on thrust area
        @ Rs._____ p.a.

VI   Hiring the services of Technical/Industrial/
        Secretarial assistance as relevant to the
        Programme (for programme duration only)
        @ Rs._____ p.a.

VII   Advisory Committee meetings (TA/DA
        For UGC nominees in the Committee)
        @ Rs. _____ p.a.

VIII   Books and Journals
        @ Rs._____ p.a.

Signature of Experts

UNIVERSITY GRANTS COMMISSION

PROGRESS REPORT OF EXPENDITURE

University_____

Sanction letter No. & Date _____

Statement of Actual expenditure during_____

and estimated expenditure for_____

Item of expenditure	Total grant approved	Actual grant received	Actual expenditure incurred (bills actually paid)	Excess Saving (difference of Col.3 & 4)	Estimated expenditure during	Remarks

NON-RECURRING ITEMS:
(As approved by the UGC)

Total   N.R.

Item of expenditure	Actual ceiling`	Grant received	Actual expenditure	Excess Saving (difference of Col.3 & 4	Estimated expenditure during	Remarks

RECURRING ITEMS:
(As approved by the UGC)

Total   .R.
Grand Total (Recurring + non-recurring)

Certificate

Certified that the grant has been utilized for the purpose for which it was sanctioned and in accordance with terms and conditions attached to the grant.
If as a result of check or audit objection, some irregularity is noticed at a later stage, action will be taken to refund, adjust or regularise the objected amount.

Signature   **Signature**
Coordinator   **Registrar**
of Programme   **with Seal**

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

UNIVERSITY GRANTS COMMISSION

UTILIZATION CERTIFICATE

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

out of the total grant of Rs._____

(Rupees_____

_____sanctioned to_____

by the University Grants Commission vide its letter No. _____

dated_____

towards _____

under_____

_____ scheme has been utilized for the purpose for which it was

sanctioned and in accordance with the terms and conditions as laid down by

the Commission.

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

Signature   **Signature**
Registrar with Seal   **Finance Officer with Seal**

Signature   **Signature,Charted Accountant**
Coordinator of SAP   **with Seal and Registration No.**
                                                              Prior to the audit of Statutory
                                                              Auditors)

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

UNIVERSITY GRANTS COMMISSION
NEW DELHI

FORMAT FOR PROGRESS REPORT ANNUAL/ MID-TERM/FINAL REVIEW
UNDER SAP (CAS/DSA/DRS)

Name of the University:

Name of the Department:

Date of first approval with level at inception:
Date of implementation of current phase as noted by the UGC

Status(CAS/DSA/DRS with phase):

Period of Report :From_____to_____

	NR	R	Total

Coordinator's Name:
Dy. Coordinator's Name:
Address:
City
Pin: State
Tel.   Fax

Amount allocated for 5 years:
Amount sanctioned during the year :
Amount utilised during the year :
Date of first sanction
(Current phase)

Total grants received since inception:

1. (a) Thrust Area(s) :

Identified since inception	**Ongoing**	**Modified to, if any, and when UGC approval reference no and date**

Future Thrust Area proposed

(b).UGC nominees with Address, City, Pin, State,Tel.,Fax, E- mail (as approved by the UGC) :

1.

2.

2. Major achievements (last two/five years depending on mid/final term review) as the case may be:

(i) Teaching :

a. New courses introduced:

b. Curriculum last revised & significant changes:

c. Examination reforms last made with special features:

d. Teaching lab./equip./new facilities created:

(ii) **Research**

a. Research(highlight major objectives set-forth (as proposed) and achievements made with breakthrough, innovation brought in, technology transferred, international collaboration which have created resources).

b. If the objectives set-forth could not be achieved, the specific reasons thereof.

c. Utilization of findings in policy formulation, development and modification of strategies (for Social Science departments mainly)

(iii) **Human Resource Training** :

a. Persons trained (Nos.): UG- PG- b. Rural/Tribal- c. Industrial- d. International -
e. From other agencies –

3. Infrastructure Developed:

a. Name major Equipments(>Rs.3 lacs)

b. Central Schemes/facilities for PG, Research and Extension Activities (Please tick the one applicable to your Department :(i) STEP (ii) IIPC (iii) USIC / RSIC (iv) Patent Promotion Cell (v) Guesthouse with capacity (vi) Seminar / Conference Room with capacity (vii) Regional/Mainframe computing facilities (viii) Central Library with documentation facilities (ix) Continuing Education Centre (x) Women Development Cell.

c. Networking(Please tick the right one): (i) Library (ii) Laboratory (iii) University Department.

4. Knowledge disseminated to (in the thrust area identified):

(i) Other teaching institution (Name, No. of faculty involved)

(ii) Industry (Name with amount received if any)

(iii) Rural/Tribal/Govt./NGOs(Provide No. with amount)

(iv) International (name organisation) (v) Others (vi) Innovation/excellence brought in (Please specify in the identified thrust areas only)

5. Breakthrough (already recognized)

6. Emerging/Hi-tech/Priority area generated

7. Resource generation (specify amount,.Rs. in lakh):

Items	Amount	Items	Amount
Consultancy	:	Sponsored(agency) R&D Projects:	
Transfer of technology:		Product & Prototype development:	
Patent utilization	:	Exploitation of internal facilities by user departments	
Industrial collaboration:			
Human Resource Training:		a. Neighbouring institutions:	
a. International students:		b. Industries :	
b. Industrial	:	c. National organisations:	
c. Extension activities	:	d. International organisations:	
d. Other courses	:	e. Any other Collaborative programmes	

a. Total amount of resource generated from all sources above

b. Also mention development grant received from University in other areas of the Department.

8. Use of output of research, teaching in (tick and fill up the right one)

Item	No.	Item	No.
a. Industries		b. Other user deptts.	
c. National orgns.		d. Other Organisations	

9. Other activities:

a.	Items	Numbers	Time duration
	Seminar		
	Summer Institute		
	Conference		
	Refresher Courses		

b. Autonomous Character: Yes/No.

  a. Financial

  b. Administrative

  c. Academic

  d. Others

c. Advisory Committee Meeting (No. with Dates)

Major Recommendations

1.

2.

3.

10. <u>Faculty Involved</u>
a.

| Faculty Strength: | Positions Available | Working | Vacant |
| Created | | | |

(Put Numbers) In thrust Area(1) Other Areas(2) (1) (2) (1) (2)under SAP/ ASIST

Professor:
Reader:
Lecturer:
Others:

<u>b. In the identified thrust area(s):</u>

Faculty	Name	Membership (INSA/BHATNAGAR/BIRLA)	Specialisation/ Specific Areas of expertise
Professor			
1.			
2.			
3.			
4.			
Reader			
1.			
2.			
3.			
Lecturer			
1.			
2.			
3.			
Em./ Viz. Prof.			

- Provide a list of publication records in referred journals (group area wise, faculty member wise, year-wise).

c. Intake(Please put numbers)   Identified thrust   Other than thrust
                                        area   area

Ph.D. :	
PG :	
Fellows :	
NET Scholar :	
GATE Scholar:	
Res.Asso. :	
Proj.Asstt. :	
Others :	

11. National/Nodal Character of the Department National/Nodal/All India Centre

a. Resource Persons Invited (Nos.)-

                      International   National

b. Serving for outside user departments in (Nos. & hrs.)

    i. Hands-on OR technical training   ii. Collaborative(international)
      to university/college teachers

    iii. Teaching to neighbouring institutions iv. Visiting Teachers to foreign
                                              university

    v. Equipment facilities   vi. Other major infrastructure
                                     facilities

12. Most critical and essential requirements that may be required to continue the programmes if the UGC agrees to continue or extend support based on the evaluation and final review by expert committee.

    Non-recurring :   Recurring: Total(Rs.in lakh) : (As per
                                         items given in the guidelines
                                         {Please add Annexure)

13.a. Whether the State Government will take up the liability of the faculties and the staff approved under SAP after cessation of the tenure of the programme i.e. five years.

  b. Whether the State Government has already agreed or has taken up the liability after five years of completion of the tenure of the programme as was communicated along with the approval letter?

  c. How the Department is going to maintain infrastructure and the status if UGC disagrees to continue the support further. Whether the Department /University will agree for upgradation of the status on no cost basis, if it so happens as per the recommendation of the Committee.

14. Utilization Certificates may be provided as per the UGC format. The accounts of the earlier phase be completed, finalised, audited and duly authenticated by the competent authority (Registrar and Finance Officer both) (item-wise and year-wise) for all the allocations and sanctions given to the Department for ongoing/current phase are to be submitted by the Department so that UGC, if provides support again , may immediately release the funds for the phase to be approved as per the above activities.

Signature :
Programme
Coordinator

Signature:
Registrar of
the University

UNIVERSITY GRANTS COMMISSION
NEW DELHI

REPORT OF THE EXPERT REVIEW COMMITTEE FOR THE DEPARTMENT OF _____ UNIVERSITY, MID-TERM REVIEW FOR THE SAP DRS / DSA / CAS LEVEL PHASE-I/II/III, VISITED ON _____ 200

RECOMMENDATIONS OF THE MID-TERM REVIEW & ASSESSMENT COMMITTEE

Name of the Department   :
And University with
Pin code & Fax

Level of the Deptt. Reviewed   :
(CAS/DSA/DRS)

Date of Review   :

Venue   :

Review Status   :
(Mid-term)
Phase   :

Period   From_____   to_____

Expert Members & UGC official

	Name	Address	Tel./Fax No.
1.			
2.			
3.			
4.			
5.			
6.			

1.	**Thrust Area identified & recommended by the Committee –(Existing Programme).**

2.	a) **Coordinator** identified by the Expert Committee Designation:- (Existing Programme)

Name						:
Desination					:
Telephone No./Fax/E-mail			:
Area of specialization			:

Status of the Coordinator (senior most or	:
not)
Whether he/she is the same Coordinator as	:
was in the earlier/ongoing phase or level

b)) **Deputy Coordinator** identified by the Expert Committee Designation:-(Existing Programme)

Name						:
Desination					:
Telephone No./Fax/E-mail			:
Area of specialization			:

Status of the Coordinator (senior most or	:
not)
Whether he/she is the same Coordinator as	:
was in the earlier/ongoing phase or level

3.	**Advisory Committee Members recommended by the Committee :**

Name	Specialisation	Address/Fax/Tele No./E-mail
1.		
2.		

4. Major Objectives set-forth for the phase now being reviewed: (Existing Programme)

5. Objective achieved :

    a) Breakthrough, if any :

    b) Excellence in the identified thrust area:

    c) Other thrust / hi-tech /emerging area nurtured:

    d) Technology /method patent developed and used industrially/commercially:

    e) New Courses introduced and implemented with intake of students, number of faculty involved, sponsoring agency, if any, of the students, possible employer and user department /organization /agency:

f.   Publication status :

g.   Few lines write-up on research highlights of the Department :

6.   Impact of the programme on the following parameters:

(i)   Infrastructure developed :

(i)   Major equipments/ facilities created (provide list) :

(ii)   Industrial collaboration and amount of resource generated :

(iii)   Research publication in refereed journals in the identified thrust areas
         and in areas where the facilities under this programme were used :

(iv)   Manpower trained (last five years) :

(v)　　Total amount of resources generated :

(vi)　　International collaboration (with industry, institutions, man-power trained) :-

(vii)　　Generation of new ideas Innovative worthwhile for mentioning.

(viii)　　a.　Industrial/commercial attachment :

　　　　　b.　　Whether the UGC SAP ideas of attachment of meritorious students from neighboring universities/colleges for six week implemented:

7.　(a) Whether the department is acting as a nodal centre as could be judged from :

(i)　　Intake of students nationally and internationally :

(ii)　　Collaboration nationally and internationally :

(iii)　　Training of human resource development and involvement of faculty:

8.　The autonomy of the department is satisfactory or not with respect to academic, financial and administrative functioning:

9.　The examination reforms and restructuring of courses are taken care of properly in time or not, provide details:

10　The functioning of the Advisory Committee was proper or it is disfunctional, please comment:

　　　　a.　How many times the Advisory Committee met? :

b. Important resolution which may be considered by the UGC, if any:

11. The future Plan of research work approved by the Committee and the Major objectives not achieved during the existing SAP level.

12 Whether the committee wants to make any special comments for notice of the highest authority of UGC with respect to functioning of the department at all angles, which may be kept confidential, if it is so necessary:

13. a. The utilization of the funds have been made for the purpose as was given on :

i)   The creation of major infrastructure & equipment:

ii)   UG/PG institutional & academic development:

iii)   Strengthening of research facility, collaboration:

iv)   Central facility for building :

b. Whether the committee is satisfied with utilization or not:

14. **Other special comments/remarks of the committee, if any :**

15.   **BASIC SCIENTIFIC RESEARCH (BSR)**

    (a) . Whehther the Department has also received any grant under   Yes /No
        the UGC Scheme.
        Basic Scientific Research (BSR) Scheme

    (b) If, so , the quantum of grant received

    (c) Whether the amount has been utilized for the development of infrastructure
        facilities in the Laboratory.

    (d) How manu meritorious fellowships have been awarded by the UGC and its
        break-up year-wise.

    (f) Any reasons, if the grant has not been utilized

16. **The Committee strongly recommends following : (This is Mid-Term-Review)**

      (i)   Any special requirement of the department

      (ii) Continuation of the activities at the same level of _____ under the SAP.

17.   **<u>OVERAL GRADATION OF THE PERFORMANCE :-</u>**

Average   **Satisfactory**   **Good**   **Very Good**   **Excellent**

<u>Signature of the Expert Committee Members & UGC Officials:-</u>   _____

	Name	**Address & Tel./Fax No.**	**Signature**
1.			
2.			
3.			
4.			
5.			

UNIVERSITY GRANTS COMMISSION
NEW DELHI

REPORT OF THE EXPERT REVIEW COMMITTEE FOR THE DEPARTMENT OF _____ UNIVERSITY, FINAL REVIEW FOR THE SAP DRS / DSA / CAS LEVEL PHASE-I/II/III VISITED ON _____ 200

RECOMMENDATIONS OF THE FINAL REVIEW & ASSESSMENT COMMITTEE

Name of the Department   :
And University with
Pin code & Fax

Level of the Deptt. Reviewed   :
(CAS/DSA/DRS)

Date of Review   :

Venue   :

Review Status   :
(Final)
Phase   :

Period   From_____   to_____

Expert Members & UGC official

	Name	**Address**	**Tel./Fax No.**
1.			
2.			
3.			
4.			
5.			
6.			

1. **Thrust Area identified & recommended by the Committee now (Not too narrowly):-**

3. a) **Coordinator** identified and recommended by the Expert Committee
     Designation:

Name   :
Desination   :
Telephone No./Fax/E-mail   :
Area of specialization   :

Status of the Coordinator (senior most or   :
not)
Whether he/she is the same Coordinator as   :
was in the earlier/ongoing phase or level

b)) **Deputy Coordinator** identified and recommended by the Expert Committee
     Designation:

Name   :
Desination   :
Telephone No./Fax/E-mail   :
Area of specialization   :

Status of the Coordinator (senior most or   :
not)
Whether he/she is the same Coordinator as   :
was in the earlier/ongoing phase or level

4. **Advisory Committee Members recommended now by the Committee :
    (other than Review Committee members)**

Name	Specialisation	Address/Fax/Tele No./E-mail
1.		
2.		

5.   Major Objectives set-forth for the phase now being reviewed: (Existing SAP Programme)

6.   Objective achieved :

a)   Breakthrough, if any :

b)   Excellence in the identified thrust area:

c)   Other thrust / hi-tech /emerging area nurtured:

d)   Technology /method patent developed and used industrially/commercially:

e)   New Courses introduced and implemented with intake of students, number of faculty involved, sponsoring agency, if

any, of the students, possible employer and user department /organization /agency:

f.   Publication status :

g.   Few lines write-up on research highlights of the Department :

7.   Impact of the programme on the following parameters:

(i)   Infrastructure developed :

(ii)   Major equipments/ facilities created (provide list) :

(iii)   Industrial collaboration and amount of resource generated :

(iv)   Research publication in refereed journals in the identified thrust areas and in areas where the facilities under this programme were used :

(v)   Manpower trained (last five years) :

(vi)   Total amount of resources generated :

(vii)   International collaboration (with industry, institutions, man-power trained) :-

(viii)   Generation of new ideas Innovative worthwhile for mentioning.

(ix)   a. Industrial/commercial attachment :

          b.   Whether the UGC SAP ideas of attachment of meritorious students from neighboring universities/colleges for six week implemented:

8.   (a) Whether the department is acting as a nodal centre as could be judged from :

     (i)   Intake of students nationally and internationally :

     (ii)   Collaboration nationally and internationally :

     (iii)   Training of human resource development and involvement of faculty:

9.   The autonomy of the department is satisfactory or not with respect to academic, financial and administrative functioning:

10.   The examination reforms and restructuring of courses are taken care of properly in time or not, provide details:

11. The functioning of the Advisory Committee was proper or it is disfunctional, please comment:

    a. How many times the Advisory Committee met? :

    b. Important resolution which may be considered by the UGC, if any:

12. The future Plan of research work approved by the Committee and the Major objectives setforth.

13. a. Whether the committee wants to make any special comments for notice of the highest authority of UGC with respect to functioning of the department at all angles, which may be kept confidential, if it is so necessary:

    b. Whether the committee feels that specially for this department which has been supported since many years by the UGC whether the cessation of grants to this department under the programme is possible now or after a certain period:

    c. If not for the above '12.b' please justify support needed:

13. a. The utilization of the funds have been made for the purpose as was given on :

    i)   The creation of major infrastructure & equipment:

    ii)   UG/PG institutional & academic development:

    iii)   Strengthening of research facility, collaboration:

    iv)   Central facility for building :

    b.   Whether the committee is satisfied with utilization or not:

14.   **Other special comments/remarks of the committee, if any :**

15.   **BASIC SCIENTIFIC RESAERCH (BSR)**

    (e) . Whehther the Department has also received any grant under   Yes /No
        the UGC Scheme.
        Basic Scientific Research (BSR) Scheme

    (f)   If, so , the quantum of grant received

(g)   Whether the amount has been utilized for the development of infrastructure
       facilities in the Laboratory.

(h)   How manu meritorious fellowships have been awarded by the UGC and its
       break-up year-wise.

(f)   Any reasons, if the grant has not been utilized

16.   **The Committee strongly recommends following :**

      (i)   Upgradation of the departmental status from _____
              to_____.

      (ii)   Continuation of the activities at the same level under SAP
              Phase-I/Phase-II/Phase-III-DRS/DSA/CAS.

      (iii)   Down-graded the level of assistance from_____ to
              _____

      (iv)   Discontinue the status.

17. **The financial inputs recommended by the committee is given as below:**

NON-RECURRING   **RS. (IN LAKHS)**

I   Equipment

II   Building (upgradation/augmentation extention
      Of existing laboratory for housing and
      Installation of new equipment) (maximum
      Limit upto 20 lakhs) including air-conditioning

III   Reprographics facilities.

RECURRING   **RS. (IN LAKHS)**

I   Contingency/Working expenses
      @ Rs._____ p.a.

II	Chemicals/Consumables/Glasswares @ Rs._____ p.a.
III	Travels/Field facilities/Field trips for Faculty members only (all within India Only) @ Rs._____ p.a
IV	Visiting Fellows @ Rs._____ p.a.
V	Seminars (for organization) on thrust area @ Rs._____ p.a.
VI	Hiring the services of Technical/Industrial/ Secretarial assistance as relevant to the Programme (for programme duration only) @ Rs._____ p.a.
VII	Advisory Committee meetings (TA/DA For UGC nominees in the Committee) @ Rs. _____ p.a.
VIII	Books and Journals @ Rs._____ p.a.

Signature of Experts

18. OVERALL PERFORMANCE

Name of the Deptt./University:
Note:- Please indicate against each criteria of evaluation as per rating:-

(1)Average   (2) Satisfactory   (3) Good   (4) Very Good (5) Excellent

Scale	Average	Satisfactory	Good	Very Good	Excellent
CRITERIA FOR EVALUATION INDICATION					
A. Scientific Objectives its contemporaries National/International Level					
B. Infrastructure and Technical capabilities Available/developed					
C. Scientific Leadership potential & organisation Capabilities available					
C. Technical spin-offs. (i.e. Instrument / materials / systems / models / developed					
E. Manpower generated					
F. Scientific Publication					
G. Industry sponsored Project / programmes					
H. Sponsored project / programme other than industry					

I. Foreign Collaboration				
J. Patent obtained applied for				
k. Revenue generated by the departmnet				

OVERAL GRADATION OF THE PERFORMANCE :-

Average   **Satisfactory**   **Good**   **Very Good**   **Excellent**

Signature of the Expert Committee Members & UGC Officials:-

       Name   **Address & Tel./Fax No.**   **Signature**

1.

2.

3.

4.

5.

UNIVERSITY GRANTS COMMISSION

**STATEMENT OF THE ACADEMIC-NON-ACADEMIC / RESEARCH
STAFF NO. & DATE OF UGC SANCTION LETTER**

Desig-nation and scale of pay	No. of posts approv-ed made	No. of appoint-ments with qualifications	Name of the person appoint-ed	Date of appoint-ment	Initial salary on appoint-ment	Present salary & other allowances	Actual expen-diture during	Estimat-ed expendi-ture like DA/ HRA/ PF.etc.
1	2	3	4	5	6	7	8	9

A. Academic Staff: _____

                   Total_____

B. Technical and
   Administrative
   Staff

C. Research staff   _____

                   Total_____

Certificate: (1) It is certified that the appointments/awards have been made in accordance with the terms and conditions laid down by the Commission.

                (2) It is certified that the expenditure shown is not included in the expenditure statement of any other scheme but has been utilized for the purpose for what the grant is sanctioned .

<div align="right">

_____
Signature of the Registrar

</div>

RELEASE OF GRANTS FOR STAFF

The first instalment of the grant will be released to the University on receipt of the following information which may be sent immediately after the person is appointed to the post:

a) Name of the person appointed (As per the decision of the UGC regarding inbreeding of staff / students given in the guidelines).

b) Academic qualifications and experience.

c) Post held by the incumbent prior to this appointment.

d) Date of joining the new post.

e) Details of monthly pay including allowances in the scale of pay offered.

f) Amount payable upto the end of the financial year.

g) Number of increments, if any, to be given along with justification.

h) Has action been taken to fill the resultant vacancy, in case the person appointed belongs to the same University? If not, the reason thereof.

UNIVERSITY GRANTS COMMISSION

PROFORMA FOR THE CLAIM FOR MAINTENANCE (EQUIPMENT) GRANT UNDER SAP

1. Name of the Department/University with Address.

2. Financial year of approval (Letter no. with date).

3. Date of implementation of the programme in the department.

Name of Equipment with Serial No. in the approved list	Approved cost (Equipment wise)	Actual cost	Date of receipt of the equipt.	Date of installation & commissioning	Period of warranty/ guarantee	Contract signing etc. for maintenance of equipt., after warranty period if any, with documents
1	2	3	4	5	6	7

Signature   **Signature**
Head, Department/Coordinator   **Registrar of the**
of _____ University/Institution   **University**

1. First instalment of maintenance grant of 5% of the total cost of the equipment purchased may be released after the warranty period is over.

2. The second instalment may be released to the extent the first instalment of maintenance grant is utilized: that is to say that at any given time the Department can have only maintenance grant of 5% of the cost of the equipment. Within a period of five year for major repairs, the amount could be released as a special case beyond 5% not exceeding total due for five years period under the head 'Maintenance and upgradation of the Equipment'.

UNIVERSITY GRANTS COMMISSION
NEW DELHI
(Applicable for all schemes/programme of UGC)
PROFORMA FOR SUBMITTING UTILIZATION CERTIFICATE IN RESPECT OF BUILDING
(Renovation, addition, alteration and air-conditioning of existing laboratory)
WHICH IS COMPLETED

It is certified that _____(specify the name of the building) which was approved by the University Grants Commission vide its Letter No.F._____ dated _____ and revised(final) estimate was approved vide UGC Letter No.F._____ _____dated_____has been completed. The Advisory Committee has approved the building programme and the details of expenditure on the above work in its meeting held on _____ are as under:

Original estimated cost as approved by UGC with letters no. & date	Final/ Revised estimated cost as (if any) letter No. & date against approved cost	Share of UGC against the approved cost Univ./ manage-ment so	Total grant released by UGC so far is Rs…….	State / Govt./ Univ./ manage-ment share	Grant actually released by the State Govt./	Total expenditure incurred as on	Amount required to be released if any
(Rs in lakhs)		(Rs in lakhs)				(Rs in lakhs)	(Rs in lakhs)

It is further certified that the above expenditure has been incurred as per details given below:-

1. Cost of site development including landscaping, approach road, plantation etc.
2. Cost of Civil Works.
3. Cost of Electrical wiring and fitting.
4. Cost of water supply, sewerage sanitary fitting.
5. Cost of furnishing and furniture
6. Any other(specify)
7. Supervision charge of construction agency.

GRAND TOTAL

Certificate/Revised to Advisory Committee:

Certified that the building has been completed as per plans & estimates approved by UGC.

1. This certificate is based on audited / unaudited statement of expenditure.
2. Certified that the building and fitting / furnishing have been taken on university/ college assets / stock ledger/register.

Signature of the competent authority:

Full Name: _____Designation:_____ (Resolution No._____ dated _____ of University or Executive body authorising the signatory to furnish Utilization Certificate.)

Remarks:- If the building (Renovation/addition/alteration) is constructed by an architect(either individual or a firm) the certificate of completion cost is to be countersigned by an Engineer not below the rank of an Executive Engineer of State/Central P.W.D.