

# GUIDELINES FOR

## I. SCHEME FOR STRENGTHENING OF INFRASTRUCTURE

IN

## SCIENCE AND TECHNOLOGY (COSIST)

AND

## II. SPECIAL ASSISTANCE PROGRAMME (SAP) (CAS/DSA/DRS)

(REVISED DURING IX<sup>TH</sup> PLAN)



UNIVERSITY GRANTS COMMISSION  
BAHADUR SHAH ZAFAR MARG  
NEW DELHI-110 002  
(1997-98)



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## UNIVERSITY GRANTS COMMISSION

### GUIDELINES FOR THE SCHEMES ON

- I. SPECIAL ASSISTANCE PROGRAMME (SAP) (CAS/DSA/DRS)  
AND
- II. STRENGTHENING OF INFRASTRUCTURE FOR SCIENCE AND  
TECHNOLOGY (COSIST)

### **SPECIAL ASSISTANCE PROGRAMME (SAP) ( CENTER OF ADVANCED STUDY ( CAS ) , DEPARTMENT OF SPECIAL ASSISTANCE ( DSA ) AND DEPARTMENTAL RESEARCH SUPPORT (DRS))**

On the recommendations of the Education Commission in 1963, and in consultation with the universities, the University Grants Commission established a scheme for developing a limited number of university departments which had already evidenced some potential in research and teaching for advanced training and research in selected fields. The scheme was intended to encourage the pursuit of excellence and teamwork in studies and research and to accelerate the realization of international standards in specific fields. Thus, it was proposed to provide substantial financial assistance to the departments in the universities, which would be carefully selected on the basis of quality and extent of work already done by them, their reputation and contribution to research and their potential for further development. The first such scheme was named as the "Centre of Advanced Study(CAS)" in 1963. Some of these Centers also received recognition and financial support from UNDP/UNESCO.

In order to create feeder department for CAS, a second and third level of support were extended to carefully selected departments, which have potential for future growth in terms of good quality research. Thus, the scheme of "Department of Special Assistance(DSA)" and "Departmental Research Support(DRS)" were initiated during 1972 and 1977 respectively. The basic difference between DSA and DRS was that DRS was meant to encourage a group of researchers working in allied fields, whereas, DSA is aimed to nurture specific and identified areas.

Presently, the three schemes i.e. CAS, DSA and DRS are collectively known as Special Assistance Programme (SAP).

### **OBJECTIVES**

With the realization that higher education can be the basis for building a modern India and to make the country self-reliant in its economic growth, the UGC felt the need to have high quality human resource in different areas of Humanities, Social Sciences, Sciences, Engineering and Technology. Further, to avoid distribution of resources thinly over a large number of institutions, where the impact would not be perceptible, the Special Assistance Programme was introduced for selected departments of universities from



1963 with the intention to encourage the "pursuit of excellence" and team work in studies and research and to accelerate the realization of international standards in specific fields.

In continuation of the philosophy of building quality research and teaching and to develop university / industry / society interaction , the major objectives set forth for Special Assistance Programme (SAP) are as follows:

1. Achieve excellence in research in three or four identified thrust areas for selected departments and cover more areas depending upon changed priorities and availability of competent people to compete internationally in the selected fields. The thrust areas identified should not be too narrow.
2. SAP should be relevant to societal needs and have society or industry interaction.
3. Research should become catalyst for good teaching within a defined period, including introduction of new courses based on the thrust areas.
4. The department should generate resources and not depend on continued support of the UGC.
5. Setting up of Joint Research and Development facilities with user sectors and industry government bodies / other consumer institutions is encouraged. Some of the equipment should be accessible to industry.
6. Maintain and strengthen infrastructure in the identified thrust areas for incorporation and knowledge dissemination to users and to serve the neighbouring institutions.
7. Enhance the general growth and development of the department in other areas, offer integrated degree programmes and be recognized for Refresher Courses.
8. Exploit scientific research and technology output for the national and societal growth and development.
9. Train and create quality human resource in the area.
10. Search for newer / generic areas, its promotion and nurturing.

## **STRENGTHENING OF INFRASTRUCTURE FOR SCIENCE AND TECHNOLOGY (COSIST)**

In 1983, the Science Advisory Committee to the Cabinet (SACC), Government of India, felt the need for strengthening of infrastructure for Science and Technology programme in the universities in the non-bureaucratic set-up of university departments, and the University Grants Commission was identified as nodal agency provided the opportunity to take up the programme for the above purpose in Indian universities and institutions. Thus, the scheme STID (Science and Technology Infrastructure Development) was launched and when it gained momentum, the Programme itself came to be popularly known as "COSIST" which is the acronym for the Programme i.e. "Committee on Strengthening of Infrastructure for Science and Technology (COSIST)". The programme is operated under the name of COSIST.

The COSIST programme is only for Science, Engineering and Technology subjects whereas SAP is for Sciences, Engineering, Technology, Social Sciences and Humanities. Keeping in view the aims and objectives of both the programmes, these are integratedly implemented for optimum utilization of facilities and generation of quality research and teaching.

### **OBJECTIVES**

The basic objective of COSIST is to assist selected science and technology departments in the universities which have already exhibited and achieved high quality performance to enable them to acquire such costly major equipment which cannot be approved out of SAP grants, or normal university development grants, so that the attainment of excellence in post graduate education and research in the department is not handicapped due to the non-availability of such equipment. The specific objectives for COSIST are as follows :

1. Strengthen infrastructure by acquiring costly major equipment (non-available under SAP or other sources) for continuously maintaining the achieved excellence in research and post graduate teaching or for enhancement of the proven performance in the identified areas .
2. Future enhancement and promotion of hi-tech / emerging / thrust / generic areas to be at par and comparable with their counterparts in the world.
3. Promote science and technology innovation and its exploitation through technology transfer, filing of patents, etc.
4. Take up international and industrial collaborative programmes for self - sustenance and resource generation.
5. Link up and suggest steps required for interdisciplinary activity in the areas to the other SAP or COSIST supported departments and motivate user departments through active participation, training and awareness programmes and nurturing of the areas.

## **DURATION OF THE PROGRAMME(SAP/COSIST)**

The duration for one full-term is 5 years for both under SAP / COSIST. For SAP the effective date of implementation will be from 1st April of the following year (as is existing for COSIST). The department will have to accept and implement the programme within 6 months from the day of receipt of the approval for that phase or from the effective date of implementation, i.e., 1st of April of the following year, based on the date of approval letter as communicated by the UGC, otherwise, the UGC may terminate the programme without assigning any reason. The UGC decision is final in this aspect. Therefore, the University may provide letter of acceptance to the Expert Evaluation Committee, in advance, when it is meeting the University/Department so that early decision based on the recommendation of the Committee of the UGC is conveyed.

## **COVERAGE UNDER THE PROGRAMMES (SAP/COSIST)**

The Commission had decided that since the UGC had not given any prior intimation to the SAP departments about the maximum tenure of 15 years, it would be inappropriate to terminate SAP without proper notice to the department to create alternate resources. Therefore, all CAS / DSA / DRS departments which have already continued for 15 years, or more under SAP, may be allowed to continue upto the end of the IX<sup>th</sup> Plan and then phased out. The conditions of usual review would, however, be applicable to all such departments. However, this decision would not apply to departments completing 10 years, as they will have had the opportunity of another five years to build up alternative resources.

Fresh departments may be inducted in the SAP / COSIST programme according to the availability of funds under these programmes. Fresh assistance under COSIST may cover departments (in science, engineering and technology) that have completed successfully a five-year term under SAP (at the minimum level of DRS/DSA) and are recommended for continuation for a further period of five years on the basis of their performance in teaching and research.

## **STANDING COMMITTEES FOR SAP, COSIST AND INNOVATIVE PROGRAMMES**

Earlier, there was one Joint Standing Committee for SAP and COSIST programmes. However, the Commission has now constituted three Standing Committees to deal holistically with the programmes SAP (CAS, DSA, DRS), COSIST and Innovative Programmes in the areas of:

1. Humanities and Social Sciences (to deal with the programmes of SAP and Innovative Programmes in the concerned areas).
2. Sciences (Chemical, Physical, Mathematical, Geological and Earth Sciences, Energy Science etc.) Engineering & Technology (to deal with the programmes of SAP, COSIST, and Innovative Programmes in the areas concerned).

3. Environmental Sciences , Bio-Sciences and Life Sciences (to deal with the programmes of SAP , COSIST and Innovative Programmes in the areas concerned )

The Standing Committees will look into and formulate policies and plan, coordinate, monitor and evaluate the programmes and scrutinize the proposals. Consider recommendations of the subject expert for new proposal and thrust areas .The Joint Secretary (SAP/COSIST), Dr.S.P.DasThakur, is the Secretary for all the three Standing Committees. The duration of the Standing Committee is normally for a period of 3 years. In the Standing Committee , there will be a Commission Member as Ex-Officio member, or as Convenor, in addition to a Panel Member (ex-officio) along with a few ex-officio members from the agencies as relevant to the programmes in addition to eminent academics / experts from the subject disciplines. In a special case, if the Standing Committee is not in operation due to unavoidable circumstances, the UGC Chairperson will take decision on the issues related to the programme. Vacancies occurring for any reason will be filled-up by the Chairperson of the UGC.

#### **TERMS OF REFERENCE OF THE STANDING COMMITTEES**

1. Help and advise the Commission for implementing SAP, COSIST and Innovative Programmes in the areas of:
  - i) Humanities and Social Sciences
  - ii) Sciences (Chemical, Physical, Mathematical, Geological and Earth Sciences etc.), Engineering and Technology
  - iii) Life Sciences,Bio-Science and Environmental Sciences.
2. Consider recommendations of the subject expert groups of new proposals and thrust areas, formulate policies, and strategies and give decisions.
3. Receive note of the review / monitoring ( Mid-term/Final ) from time to time on the progress.
4. Shortlist, identify and finalize proposals of new departments for both SAP and COSIST as well as Innovative Programmes in the areas of :
  - i. Humanities and Social Sciences
  - ii. Sciences (Chemical, Physical, Mathematical, Geological, Earth Sciences etc.), Engineering and Technology
  - ii. Life Sciences, Bio-Sciences and Environmental Sciences etc. , and to give recommendations accordingly.
- 5 Suggest the level of assistance.
6. Advise on matters relating to the growth and development of SAP, COSIST and Innovative Programmes in the aforesaid areas. (COSIST is not for Humanities & Social Sciences)
7. Suggest modification and improvement in the guidelines for the programmes. Suggest also, from time to time, areas of thrust, emergence and priorities under the programmes.

8. Suggest financial support essentially required for the programmes including foreign collaboration .
9. Receive, from time to time, status report of the programmes of SAP, COSIST and Innovative Programmes.
10. The tenure of the Standing Committee is for a period of three years with one-third retiring every year (In the instance, it will be after the third year).

#### **OTHER MAJOR EXPERT COMMITTEES UNDER THE PROGRAMMES**

In addition to the aforesaid three Standing Committees, involved in the operation for the various policies, planning, coordination, monitoring, evaluation, scrutinisation of the proposals and their terms of reference, other Major Expert Committees under the Programmes and their terms of reference are given as follows:

1. Subjectwise Expert Committees for Scrutinizing and evaluating proposals are for initial scrutinization of the proposals received under the programmes in the various subject disciplines, and for visit to be undertaken to evaluate the department. The departmental representative may be invited to present the overall progress etc., before the Expert Committee in the UGC.
2. Expert Review and Mid-term Assessment or End-Term Review Committee is for visit or to invite the departmental representative to present the overall progress at mid-term on completion of 2 years from the date of commencement and for final review after completion of one full-term of 5 years or as decided by the Commission.

#### **INDUCTION OF NEW DEPARTMENTS UNDER SAP/COSIST**

Whenever new Departments are to be inducted under SAP, the UGC will invite proposals from all the Universities so that a Department which feels that it has distinguished itself in terms of research can submit its proposal for consideration for inclusion under SAP. The detailed information is to be submitted in the prescribed format (Annexure-I) for general and departmental profile and other self-contained information on achievements, innovativeness, courses, research publications, infrastructure facilities, conferences and seminars, awards, international collaboration, inputs/most essential and critical needs etc.

A DRS/DSA/CAS ongoing department with positive report of the Expert Review and Assessment Committee, as and when invited by the UGC, may submit the proposal for COSIST.

## **PROCESSING OF THE PROPOSALS FOR INDUCTION UNDER SAP/COSIST**

All proposals received through proper channels from the University are scrutinized and short-listed by the Subject Experts Committees / Groups and the departments are further short-listed by the Standing Committee by taking into account opinion/recommendation of expert committee of the concerned areas for COSIST and SAP.

The shortlisted departments are thereafter assessed on-the spot by Expert Evaluation and Assessment/Induction Committee which will generally consist of the persons in the fields preferably with one member from the expert who were invited to short-list, if available, the departments or the departmental representatives will be invited to present the proposal before the subject expert group/committee. On the basis of such assessment, the submission of the report / recommendation by the Committee in the subject areas through a prescribed format (Annexure-II), considering the availability of resources with the UGC the final list of new departments will be prepared for induction into SAP or COSIST. Unless there are exceptional reasons, a new department is inducted at the initial level of DRS. For induction of new department under COSIST, the department will be eligible if it has completed at least one full term of five years under SAP in the minimum level of DRS or DSA and its performance has been rated positive after review of the full term with the recommendation agreed to by the UGC for continuation under SAP.

### **TERMS OF REFERENCE OF THE EXPERT EVALUATION AND ASSESSMENT COMMITTEE/INDUCTION COMMITTEE**

1. The Committee will go in depth into the departmental progress of work and achievements as submitted through the proposal (in the UGC format for inviting proposal for induction of a new department).
2. The Expert Evaluation and Assessment Committee or the Induction Committee will visit the department laboratories, libraries, other infrastructure facilities and hold discussions with the Vice-Chancellor, administrative authority, head of the department, senior faculty, teachers, research scholars and staff as may be considered essential in regard to the academic, teaching, research, collaborative activities, training and extension programmes, undertaken by the department, consequent upon the departmental provisional selection or selection for participation under the programme as per the recommendation of the Standing Committee.
  - a) It will examine the strength of the faculty ( Professor , Reader, Lecturer, others) in position and in the identified thrust areas of research. It will be desirable that the department should have at least one Professor, two Readers and three Lecturers in the areas identified for the thrust and in position . The strength of the group research activities may be looked into.

- b) The Committee would identify preferably not more than 3 or 4 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.
- c) While supporting identified areas, it should be ensured that:
- i) 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
  - (ii) A good proportion of the funding would strengthen the infrastructure of research in the department and equally important is the need for promoting an overall growth of the department by utilizing the general plan assistance in such areas in the department which are not being specially funded under SAP.
  - (iii) For general growth of the department, the matter with regard to the commitment of the university, may also be discussed with the Vice-Chancellor.
- d) The Committee will identify the Coordinator of the programme in consultation with the Vice-Chancellor and the faculty members. The seniormost 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, of course, will also look into the interest of the other areas too in order to have overall growth and standard in the department. Further, all the facilities created must be exploited and the Coordinator must look into this aspect. The user departments may also be allowed to exploit the facilities created for which a time slot may be maintained and so also a record through register of the users list is to be kept. The Committee will further identify two UGC Advisory Committee members as UGC nominees who may be appointed in the identified areas after consideration by the UGC. The effective role of the advisory committee is well-defined under the programme. For the smooth implementation of the programme, a Deputy Co-ordinator may be appointed after consideration of the matter for the day-to-day activities, in the absence of the Co-ordinator, due to unavoidable circumstances or on long leave or travel abroad.

- e) The Induction Committee would also discuss the question relating to the constitution of Advisory Committee(s) with regard to their composition, role and effectiveness in furthering the activities of the department such as (a) examining functioning of the department as an All India Centre with regard to recruitment of staff, students intake, and interaction with other departments in the subject concerned ;(b) New courses developed either at the Bachelor's, Master's or Post Master's level, pre -Ph.D. or Ph.D. programmes, in addition to the usual undergraduate and post - graduate programmes; (c) Steps taken to interact with industry / society / national laboratories / other universities for Post - Graduate level teaching and research for the development of new teaching programmes in global perspective; (d) The steps taken by the department to function as focal points of growth development and modernization of the academic systems; (e) Scope and potential of the department and courses, involvement of teachers / faculty members, employment opportunities of the students appointed, trend of admission and attraction for the course may also be looked into .
- f) The Committee would look into the organization and administrative aspects of the department with particular reference to the measure of autonomy enjoyed by the department in implementing various programmes undertaken by them, within the existing university network.
- g) Other aspects on the functioning of the department , as may be considered essential by the Assessment Committee may be seen.
- h) The Committee would examine the progress of utilization of the grants, appointments made against posts approved, selection of research fellows, etc.
- i) The Committee will examine whether the university or the State Government will take up the liability of the faculty / research staff after 5 years, if the UGC provides the most essential requirement for this purpose for the initial period / term. A copy of this document duly authenticated by the Competent Authority / Vice-Chancellor of the university for quick sanction of grants , may be provided to the expert UGC committee , a copy of which may also be kept for the record.
- j) The Committee will receive the acceptance of terms and conditions of the grants under the programme in a proforma and other documents for the fulfilment of the requirement of the Finance Division of the UGC . The UGC officer will take care of this matter carefully.



- k) The department will also submit a detailed plan of action and programmes for future implementation with most essential and critical needs/facilities which will be required if the Commission considers induction and agreed to support.
- l) The Induction Committee will submit a report to the UGC on the spot on the major achievements of the department with special reference to the thrust area (s) identified by the Committee, the Coordinator, Deputy Coordinator, the UGC nominees in the Advisory Committee, research output, excellence and innovation brought in, breakthrough, faculty strength, fellows, associates, scholars, human resource trained or generated, new techniques developed, new equipment fabricated, academic programmes initiated, exploitation of the research facilities created, utilization of the funds available, status of the equipment, other facilities and their maintenance etc. The Committee may also point out the short - fall, road blocks and weakness, if any, and suggest remedial measures. The infrastructure facilities with special reference to building grant, if any, availed of from the UGC funds, may also be intimated.
- m) The University will receive the Induction Committee. The university and the department concerned will provide the necessary cooperation and coordination including arrangement of meetings with the Vice-Chancellor, faculty members, students, researchers as well as for visiting all the laboratories, libraries and other infrastructure facilities available or created in the department. A plan of action may accordingly be prepared by the university/department well in advance and be communicated to the expert members and the UGC official working with the Committee. The department will also supply a copy of the proposal prepared in the UGC prescribed format to the expert member as and when intimated by the UGC at the time of sending Expert Evaluation and Induction Committee along with an executive summary. The university coordinator may also communicate accordingly. TA/DA Air fare (economy) Rail fare (no first AC) of the expert members will be paid or reimbursed by the UGC. Necessary arrangements for funds, if not available from UGC are to be made by the University accordingly, so that the payments be made on the spot. The UGC accounts office will provide a demand draft in the name of the Registrar of the University which may be encashed by the universities to the UGC official / representatives the meeting for payment of TA/DA, Air fare etc., as per the UGC norms. The UGC accounts will provide a demand draft well in time the name of the Registrar for the purpose.

- n) Based on the detailed and objective assessment of the progress, the Committee would give its report with specific recommendations as per the format (Annexure-II) that the department is fit for support under the programme of SAP / COSIST (as the case may be) at the level to be mentioned with full justification therein.
- o) The Committee may strictly observe the norms of the Expert Assessment and Evaluation Committee/ Induction Committee. 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 format in the column allotted for the same in the format

#### **MONITORING, REVIEW AND EVALUATION OF THE ROGRAMMES (SAP / COSIST )**

- a. End-term / Final Review (Expert Review And Assessment Committee / End term Review Committee)

At the end of 5 years, with effect from the date of implementation or as communicated by the UGC, every department under SAP or COSIST is subjected to an assessment and full-term review to be undertaken by the UGC Expert Review & Assessment Committee for evaluation of the overall progress and achievements made during the period as per terms of reference of the Committee for the purpose. The department will submit progress report, academic and research achievements, infrastructure and facilities created, utilization of funds etc. through a format in advance (Annexure-III). This assessment is done through presentation of the work by the Coordinator and other or two senior professor(s) of the department to represent other areas too before the Committee. The two UGC nominated experts in the Advisory Committee will also send a Report with specific comments about the department, its progress and achievements in research, teaching, extension activities, its functioning, administrative and financial status for further consideration and use of the expert review committee (fmal/mid-term). The expert committee will submit a report to the Commission and, based on the recommendation and decision, the Commission may decide whether the programme may be continued, discontinued, or upgraded (with or without financial support) or downgraded in view of the performance of the programme of the department. The decision of the Committee is final. The Commission may provide most critical and essential financial support , based on the guidelines and availability of funds under the programme .

## **TERMS OF REFERENCE OF THE FINAL REVIEW AND OVERALL ASSESSMENT / END - TERM REVIEW COMMITTEE**

1. The Committee will study in depth the progress report received from the department in the format supplied by the UGC.
2. The Committee will visit the department laboratories, libraries 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 activities, extension and training programmes, resource generation etc. consequent upon the departmental participation under the programme.
3. The Committee will look into the strength of the faculty (professor, reader, lecturer, other research and teaching staff) 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 if provided by the UGC during its support under the programme, or whether the university is ready to take up the liability of the faculty/research fellow staff, if it is agreed to by the committee based on their needs for creation of excellence in other areas, or to maintain the excellence as already demonstrated. Acceptance, duly authenticated by the State Government or the Vice-Chancellor/ the Competent Authority of the University, may be obtained by the UGC official in advance.
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 finalize the areas of thrust (in 3-4 areas) where excellent progress are maintained or have been found due to recent development. The addition of any area of thrust, other than the identified area, may be justified.
5. It should be possible to modify the directions of the existing thrust areas keeping in view of the national / global thrust and the basic principle that such advances are viable, have a distinct identifiable growth potential in a worthwhile area subject to the recommendations of the Advisory Committee in the presence of UGC nominees and with approval of the Commission. The End-term Review Committee may look into the matter.
6. a) The End-term / Final Review Committee may allow the existing Coordinator to continue the programme in view of the progress, or, identify another Coordinator of the programme in consultation with the Vice-Chancellor and the faculty members. The seniormost 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, of course, will also look into the interest of the other areas too in order to have overall growth and maintenance of standards in the department. Rotation of heads should not disturb the programme. The original leader(s) of the thrust area should remain in charge. Further, all the facilities created must be exploited and the Coordinator must look into this aspect. The user departments may also be allowed to exploit the facilities created for which a time slot may be maintained and so also a record register of the users list be kept. For smooth implementation of the programme, a Deputy Co-ordinator may be appointed after consideration of the matter by the Advisory Committee, so that, in the absence of the Coordinator due to long leave/ visits abroad, the programme continues efficiently.

- b) The Committee will further identify Advisory Committee members (two) as UGC nominees after consideration by the UGC. The effective role of the advisory committee is well-defined under the programme.

7. The Committee would also examine the question relating to the Advisory Committees appointed for each department with regard to their composition, role and effectiveness in furthering the activities of the department such as :

- a) Functioning of the department as an All India Center with regard to recruitment of staff, students intake, and interaction with other departments in the subject concerned
- b) New courses developed either at the Bachelor's or Post - Masters's or Master's level, pre - Ph.D. or Ph.D. programmes, in addition to the usual undergraduate and post - graduate programmes
- (c) Steps taken to interact with industry / society / national laboratories/other universities for Post - Graduate level teaching and research for the development of new teaching programmes in global perspective
- (d) The steps taken by the department to function as focal points of growth, development and modernization in the academic system
- (e) The scope and potential of the department and course, involvement of the teachers, employment opportunities for the students passed out, trend of admission and attraction for the course, may also be observed .

- I. The Committee will consider the report of the UGC nominees of the Advisory Committee and the resolution for consideration of the financial requirement and facilities needed for the programme.
  - II. A period should be defined by which the Department should become self-dependent and not continue to depend on the UGC.
  - III. CAS should cater to the needs of the society or contribution to industry .Some of the equipment should be accessible to industry.
  - IV. Improved research should become catalyst for good teaching and the Department should be recognised to conduct refresher courses in well thought out areas instead of routine type of courses. The department should offer innovative and integrated degree programmes. It would act as a nodal center.
8. 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 .
  9. The Committee would look into the organizational academic, financial and administrative aspects of the department with particular reference to the measure of autonomy enjoyed by the department in implementing various programmes undertaken by them, within the existing university network.
  10. The Committee would examine the progress of utilization of the grants, appointments made against posts approved, faculty in position and allocated, selection of research Fellow / Associates etc.
  11. The Committee will report on the major achievements of the department since its selection for participation in this programme with special reference to the thrust area identified and modified by the committee, the Coordinator, the UGC nominees in the advisory committee, research output, excellence and innovation brought in, breakthrough, faculty strength, fellows, associates, scholars, human resource trained or generated, new techniques developed, new equipment fabricated, academic programmes initiated, exploitation of the research facilities created, utilization of the funds available, status of the equipment, other facilities and their maintenance etc. The Committee may also point out the short fall, shortcomings and weakness, if any and suggest remedial measures. The infrastructure facilities with special reference to building grant, if any availed from the UGC funds, may also be intimated.

12. Based on the detailed and objective assessment of the progress, the Committee will submit its report to the UGC with specific recommendations as per the format (Annexure-IV) which will contain (i) continuation (ii) discontinuation / derecognition (ii) upgradation or (iii) downgradation of the status under the programme.
13. The Committee may strictly observe the norms for the assessment of the departments. The Committee may make specific financial recommendations for the most essential and critical needs to be provided for further growth, development and creation and maintenance of excellence in the identified areas keeping in view the objectives of the programme within the financial limit .

#### **Mid-term Review (Expert Monitoring & Review / Mid-term Review Committee)**

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

#### **DETAILS FOR MID-TERM MONITORING AND EVALUATION/MID-TERM COMMITTEE**

1. The department will submit a progress report in the prescribed format. The UGC will organise group monitoring or on the spot visit for review of the departments which have completed more than two years from the date of approval of the programme or as communicated by the UGC.
2. The above Committee will review the mid-term progress and activities and also receive the minutes of the Advisory Committee and the action taken therein as per the recommendations of the advisory committee and decision of the UGC.
3. For the mid-term activities the same format, as is used for the review of the department for Final / End-term completion of the department, may be used only that the period that has been completed since the approval from the Commission under the programme, is to be intimated. All information accordingly is to be supplied by the University/Department in time.

4. a) The Group Monitoring/Mid-term Review will be undertaken in different subjects, preferably in regional locations as identified or decided by the UGC based on the availability of manpower and resources.
- b) UGC may identify few centers all over the country in consultation with the university. Few subjects be taken up depending upon the members of departments in each center. A Chief Co-ordinator/ Joint Co-ordinator may be identified from the organizing center. The Co-ordinator and one senior most professor may present their cases before the Expert Committee.

The UGC will bear expenses as per the norms prevailing in the University. A demand draft in the name of the Registrar of the University will be provided normally to the University for encashment of the same for payment of TA / DA / Air or Rail Fare etc., as per norms of the University. No first class Ac by rail or executive class by air is allowed. If in any case, the demand draft is not available at the time of the meeting, the University will make payment of the expert members identified by the UGC along with the coordinator and one senior most teacher in the other areas representing each department. The amount paid by the University, as per its norms, will be reimbursed by the UGC. The payment of the amount to the Member, if any, of the Commission will be provided as per the UGC norms. The university will submit utilization of the amount paid by the UGC or by itself for reimbursement or refund, as the case may be, for finalization of the accounts for the amount.

5. The Committee will submit the report as usual highlighting the various achievements, facilities created, equipment procured, staff/faculty/fellows appointed, utilization of the funds for the purpose it is given, the status of the Coordinators, thrust areas identified or modified, other ongoing areas emerging out etc. as relevant to the programme.
6. Normally no financial commitment will be made 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 which the matter may be placed to the authority of the UGC.

#### **CERTAIN CONDITIONS FOR RECEIPT OF THE GRANTS UNDER THE PROGRAMMES**

- I. In order to avoid difficulty in implementation on day-to-day basis for not having sufficient delegation of authority to the department within the university, all sanctions under the SAP/COSIST are subject to the condition that each department under the SAP/COSIST would have to be granted autonomy by the university on all financial and administrative matters relating to SAP/COSIST within two years of a fresh sanction for a department. In the event of failure of the university to formally grant such

autonomy, the sanction under the SAP/COSIST would be withdrawn. The Advisory Committee, the Review Committee or Assessment Committee should take care of this matter and the university must take immediate steps to give autonomy accordingly. It should have autonomy with respect to the programme to include purchase.

II *The general terms and conditions as applicable from time to time for UGC assistance holds good and are applicable.*

III *The university/department will take actions to communicate or hand over the following information, documents :*

- (a) Letter of acceptance of the terms and conditions of the grant and the programme by the competent authority of the University and the Coordinator.
- (b) The University department would implement the programme in accordance with the guidelines of the UGC and follow the same under the programme. A certificate in this regard may be provided .
- (c) In case where university and department is unable to obey the guidelines, serious actions may be taken and the grants will be withheld or the funds may be refunded or even the programme may be withdrawn,if the guidelines are not reasonably complied with. There may be a test check by the Statutory Auditor of the University / Auditor and Comptroller General of India, Government of India for the funds so provided.
- (d) The university and department will also intimate the name of the officer who will receive the grant on behalf of the university for the programme. A separate account for the grant under the programme is to be maintained essentially with intimating to the university authorities / UGC .
- (e) The name of the bank and account number ( for the programme) with detailed address may be submitted / intimated,if financial support is provided under the programme.
- (f) 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.



## CONSTITUTION AND FUNCTIONING OF THE ADVISORY COMMITTEE FOR SAP/COSIST WITH UGC NOMINEES

There must be an Advisory Committee for every SAP Department. The Advisory Committee is headed by the Vice-Chancellor and its membership includes the head of the department and the seniormost professor from the faculty members participating in research in each of the identified thrust areas under the programme alongwith a senior teacher involved in Under-Graduate and/or PostGraduate teaching in areas other than the identified thrust areas. The UGC also nominates 2 outside experts as UGC nominee in the Advisory Committee. The Advisory Committee must meet at least once every year and if the department is not able to implement any of the recommendations of the Advisory Committee, reasons for this must be documented because the Expert Committee, which reviews the performance of the department at the end of the term, examines the proceedings of the Advisory Committee and the action taken on their recommendations.

While sanctioning new departments under the SAP, or a fresh term for a department under SAP, the university designates the seniormost professor in the thrust areas, as decided by the Expert Evaluation and Assessment Committee, as the Co-ordinator who will be the Member Secretary of the Advisory Committee. The Coordinator does all the correspondence with the UGC and after the department is granted autonomy (for SAP), the Coordinator is responsible for handling the UGC grant and to account for it. If such a person reaches superannuation or retires during the period of the programme, the next seniormost person in the identified thrust area could be designated as Coordinator. If there is rotation of Headship, it should not disturb the programme. The original leader of the thrust area should remain in charge. For smooth implementation of the programme, a Deputy Co-ordinator may be appointed after consideration by the Advisory Committee so as to coordinate day-to-day activities under the programme specially when the coordinator is on long leave / visits abroad. The Vice Chancellor or the Advisory Committee may appoint the Deputy Coordinator, if not already constituted by the Expert End-term/Mid-term/Induction Committee.

In a special case to be decided by the UGC, if the Coordinator is available after retirement, and if no suitable person in the identified area, after retirement of the Coordinator working earlier, is available, he/she may continue to function as Coordinator even after the particular phase under the SAP is over for a defined limited period after consultation with the Vice-Chancellor. For COSIST, the Coordinator is the Head of the Department as existing. As per UGC norms of Emeritus Fellow, a suitable honorarium equivalent to an Emeritus Fellow of the UGC can be provided to the retired Coordinator for the smooth functioning of the programme till the completion of the full-term tenure of 5 years or as decided by the UGC. This amount will be within the allocation made under the programme. The UGC nominees may be the same for both SAP and COSIST.

The complete Agenda of the meeting should be sent to the UGC well in advance. If found necessary, a Senior Officer of the University Grants Commission may attend the meeting.

## GENERAL TERMS OF REFERENCE OF THE ADVISORY COMMITTEE

- 1 The Advisory Committee will play an active role for the full - term of 5 years or conterminus with the programme.
2. The Advisory Committee shall meet atleast once a year and the dates for the meeting should be fixed well in advance so as to ensure participation by the UGC nominees/ outside experts. For having both SAP and COSIST programmes in the same department, the Joint Advisory Committee, if any already available, may continue to function till one is over.
3. a) The Advisory Committee shall monitor and review the academic teaching, research; collaborative , extension and future programmes; procurement of the equipments ; construction of the building for housing of the equipment or as allocated by the UGC; monitoring and evaluation of the research work and achievements in the thrust areas concerned. The Committee will also look into the international collaborative programmes, training of the students, exploitation 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) Under international collaborative programme, the Advisory Committee may consider well-defined research programme of mutual exchange for sending two teachers per annum from SAP/COSIST departments to the identified foreign university/research institute for a period of 2 to 6 months.  
c) The Advisory Committee will also look into the scopes of the courses from time to time and may take steps.
4. The Advisory Committee may not generally recommend any fresh proposals involving finances to be sought from the UGC but will advise on the proper utilisation 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.  
a) The interest accrued , if any, out of the sanctioned amount under the programme , is treated as an additional grant. The Advisory Committee should suggest proper use of such amount with intimation to the UGC and this may be recorded and be shown in the annual account of the university.

- b) This additional grant may be utilised for maintenance of the facilities created for SAP/COSIST departments or it may be added to create a corpus fund by drawing grants from collaborating sponsored projects of UGC departments or overhead grants etc. This corpus fund may be utilised to maintain the facility.
5. The Committee will look into the modifications of the identified thrust areas made, if any, without proper intimation of the Advisory Committee and/or the UGC. The experts may write a separate note about the deviation, modifications or problems, if any.
    - a) The programme Coordinator may go ahead with the procurement of the facilities/major equipments sanctioned under the programme after the approval of the Advisory Committee, Chaired by the Vice Chancellor and represented by UGC nominees. The item should not again be placed for approval to the Executive Committee of the university in order to avoid the delay in executing the programme. The programme is a time-bound.
    - b) The Advisory Committee may constitute a Purchase Committee, from within the Advisory Committee members, say two teachers and a UGC nominee (expert member). The recommendation of this Committee, as per allocation made, be considered by the Advisory Committee and steps be taken by the Coordinator.
  6. The UGC nominees may, if they so desire, bring to the notice of the Chairperson / Vice-Chairperson, UGC, any matter related to the functioning of the departments which need specific attention of the UGC to help in the fulfillment of the objectives of the programme.
  7. The Advisory Committee would, generally, function as a guide and monitor and also act as a liaison between the department and the UGC and advise to promote proper implementation of the programmes and help realization of the objective of these schemes.
  8. The expenditure towards the Advisory Committee meeting on TA/DA/Air fare for outside experts will be from the programme funds /contingency. A separate allocation may be made if contingency or programme funds are not available for the meeting.
  9. It is essential to see that the Advisory Committee functions effectively and the annual progress reports on the working of the Departments are considered by the Advisory Committee. The resolution of the Advisory Committee, along with an utilization certificate, be sent to the Commission regularly every May for

further release of the recurring or due grants for running the scheme smoothly. Any suggestion/recommendation made by the Advisory Committee should be given due consideration expeditiously by the University/UGC. Progress/annual reports without being channeled through Advisory Committees may not be accepted normally.

10. If the UGC nominee is absent in the Advisory Committee meeting due to unavoidable reasons, the nominee may kindly be asked to give opinion in case the nominee differs from the decision of the Committee. This opinion shall be considered in the next meeting or by the Vice Chancellor in case of emergency.

## **FINANCIAL ASSISTANCE UNDER SAP/COSIST PROGRAMMES**

In the Ninth Plan, the Commission has done some rethinking on the implementation of the SAP/COSIST programmes keeping in view the pace of scientific and technological advancement; exploitation and access to global information technology and networking; maintenance of the infrastructure developed and excellence exhibited in hi-tech/emerging/thrust areas; providing more scope for innovation, creative activities and advancement in the fields; identify newer tools for investigations, measurement and for continuous effective utilisation of earlier inputs and infrastructure followed by inter-linking of the departments in exploitation of the facilities created in view of the escalated price rise in the major and sophisticated equipments. It has been decided that the financial inputs may be provided in the form of four major categories namely (i) common facilities; (ii) major facilities; (iii) annual recurring / working / maintenance grant; (iv) special purpose grant (additional to the allocation under the programme based on merit and departmental performance on the availability of resources for encouragement of the department/university).

It has been further decided that since the UGC had not given any prior intimation to the SAP departments about the maximum tenure of 15 years, it would be inappropriate to terminate SAP without proper notice to the department to create alternate resources. Therefore all departments which have already continued for 15 years, or more, may be allowed to continue upto the end of the IXth Plan and then phased out. The conditions of usual review would, however, be applicable to all such departments. This decision would not apply to the department completing 10 years as they will have had the opportunity of five years to build up alternative resources.

Any money earned should be put into a Corpus. The UGC would give 25 per cent as incentive grant. The interest of the Corpus can be used to maintain the equipment at least and other needs if funds are adequately built up.

The limits of enhanced financial assistance under the SAP(CAS/DSA/DRS) and COSIST programmes are detailed as follows and will be effective from the date of implementation of the programme since the day of communication of the approval to the department/university for the financial year 1997-98 or as per decision of the Commission .

The maximum limit does not mean that each department will be provided this amount. However, the department will have to submit the proposal for consideration of the support restricting this amount. The most essential and critical needs which are to be decided by the expert committees under operation of the programme will be finalised based on the availability of funds of the UGC.

Programme /Status	Financial Assistance(Rs. in Lakhs)			
	Science Engg. & Tech.	Maths & Statis- tics	Humanities, Soc. Sc. with equipments.	Humanities, Soc.Sc.without equipment -
SAP/CAS	85	60	60	42
SAP/DSA	70	50	50	35
SAP/DRS	50	38	38	25
COSIST	85	60	-	-

For Departments of Humanities and Social Sciences the maximum limit would be roughly 50% of the amount of the scale applicable to Science, Engineering & Technology Departments. However, the provision of assistance under SAP(CAS/DSA/DRS) for those Humanities and Social Sciences as well as for Mathematics and Statistics departments which need scientific equipment, transport, computers, research Staff etc. for better training, experiments, field work, data collection, may be enhanced to approximately 70% of the ceiling as available for Science, Engineering and Technology departments. The amount may be reduced or increased (by 10%) depending on the requirement and justification under the programme.

#### MAINTENANCE GRANT

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

University having three or more COSIST/SAP programme should be encouraged and be networked with the UGC and inter SAP/COSIST departments and library. The university Grants Commission is taking steps separately for the purpose.

## **HOUSING AND INSTALLATION OF EQUIPMENTS**

As such, no building grant will be provided but for housing and installation of the new equipment, approved under the programme and for making space and augmentation / extension of the laboratory facilities upto Rs.15 lakhs may be provided. This one time grant will be released in instalments after receipt of the estimate prepared by the University Engineer / Building Committee approved by the Advisory Committee and duly forwarded by the university. For upgradation/augmentation of the existing building / laboratory or related activities, the matter may be placed to the Advisory Committee and be approved there. The approval and the exact estimate, within the allocated amount, may be placed before the UGC for sanction and release under the head as already indicated earlier.

## **INDUSTRIAL, FOREIGN AND COLLABORATIVE RESEARCH**

In addition to the sanctions under the limits, the UGC provides funds upto a maximum of Rs.7 lakhs as a one time additional grant on merit if the department is able to obtain funds from non UGC sources including industries, foreign/state collaborative or sponsored projects, for generating resource of more than Rs.50 lakhs in the five year period. This money shall be used only for equipment and other facilities not available in the department. In view of the requests received. UGC's decision is final on the availability of funds. The proposal also should be within the duration of the period under the programme.

## **SUMMER INSTITUTE AND REFRESHER COURSES**

- (a) Support may be provided to conduct a Summer Institute of four weeks for teachers of neighbouring Universities and Colleges under Special Assistance Programme (CAS/DSA/DRS) and COSIST and also for organising Refresher courses
1. Eminent teachers and scientists from universities, national labs and industry may be invited for the proposed summer institute for giving lectures. The theme must have relevance of the areas covered under the programme.  
  
A copy of the proposal may be sent to the UGC SAP/COSIST Bureau which will be forwarded by the UGC to the Advisory Expert UGC nominees for their consideration and approval.
  2. The duration of the Summer Institute will be of 4 weeks.
  3. The total number of participants, including Resource persons and teachers from neighbouring University/Colleges should be 25-50.
  4. The Commission will provide TA, DA Honorarium etc. as per norms of expenditure as applicable to Refresher courses in the Academic Staff College.

5. The department would write and contact the relevant University and college between January and March every year so that proper persons are selected for Summer Institute.
6. The required amount for the Refresher Course/Summer Institute or for conducting Consortium in the subject area may be provided out of the funds available for Academic Staff College.

If however funds are not available from Academic Staff College the support may be provided from the SAP / COSIST Programme.

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

1. Four meritorious students from Master's Part-I (appeared in examination) and two Bachelor's Part-II (appeared in examination) students per annum from neighbouring Universities/Colleges will be attached to each SAP/COSIST supported department for six weeks to provide them research experiences. They may be appointed on merit.
2. 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.
3. (a) The Commission will provide to each student second class rail/bus fare on actuals per month for attachment along with contingency amount of Rs.5000/- 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 be shown for release by the UGC to the Institution concerned where the student is working.
- (b) Projects may be chosen in collaboration with the industry, national organisations 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 teachers. Thus the mobility is ensured.
- (c) 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.

## INTERNATIONAL COLLABORATION FOR RESEARCH UNDER SAP / COSIST

- 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/COSIST 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 with 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 . 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 phasewise programme of going abroad along with the type of work he / she is interested 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, phasewise plan of action may be prepared and finalised among the counterparts. This document may thereafter be placed before the Advisory Committee, The resolution may be sent to the UGC - SAP / COSIST Bureau for consideration , approval and implementation accordingly.
- b) The Commission will provide assistance to each collaborating SAP/COSIST department to the extent of Rs.2,00,000/- 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:
1. To provide air fare by SAP/COSIST department to two teachers and to provide local hospitality and travel to two teachers of foreign collaborating University/research Institute on the same scale as applicable in the cultural exchange programme of the UGC.
  2. Local hospitality for teachers from SAP/COSIST department will be met by the foreign collaborating University/Research Institute according to the norms of the foreign collaborating University/Research Institute.
  3. 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/COSIST departments to the UGC for approval and release of admissible grants:



1. (a) 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/COSIST department and foreign collaborating University/Research Institute duly forwarded by the Vice-Chancellor, Chaired in the Advisory Committee as the Chairman of the Committee where the presence of UGC expert nominee(s) are also there .

#### **WORKING EXPENSES, BOOKS, JOURNALS ETC.**

In order to provide greater flexibility to the departments in managing research under the SAP programme, the UGC provides and sanction for essential recurring items including books / journals , seminars , hiring the services ( technical \ industrial \ secretarial as relevant to the programme ) , working expenses, travel, visiting fellows and field grant. This is treated as a lumpsum and the department can spend more for one of these items if it finds savings from one or the other items. However, the recurring grant for books, seminars, working expenses and maintenance would not be provided for the year if it is not claimed at least during the succeeding year.

The seminar grants may however be pulled together to organise one or two excellent but not routine type of seminar / conference / workshop with the permission of the UGC. The departments are , therefore , advised to render accounts for the earlier recurring grant and claim recurring grant for the year immediately after the year is over so that it does not lapse. The claim for other recurring items , as provided under the programme , will be considered based on the terms and conditions of the grant as prevailing in the UGC. The department will submit a detailed yearswise statement of expenditure of grant with utilization certificate ( UC ), duly signed by the Registrar / Finance Officer or Competent authority for release of further grants. One page write-up on academic teaching and research collaborating / existing activities for the year followed by the copy of the resolution of the Advisory Committee may be submitted in the prescribed format for such purpose.

All the departments , covered under SAP/COSIST , may be provided Common facilities (Uninterrupted power supply, fax / e-mail / MS-Office, reprographic facilities including networking and connectivity to central / area libraries with major laboratories). A proper plan of action is to be prepared and submitted. A University, having more than three departments covered under SAP and COSIST programmes may be provided a V-sat / Modem etc., based on the communication with national and international organisations , industries and need for access to libraries. The UGC is taking separate action in this regard .

In addition, funds for housing of the new equipments , air conditioning, room preparation, extension/augmentation of the existing facilities may be provided in two installments within five years alongwith repair, maintenance of not obsolete equipment .

The major facilities include equipment and other related items including books and journals (for COSIST and SAP supported departments completing 10 to 15 years may be encouraged for networking facilities instead of books and journals), creation of patent promotion and archival cell ( storing , protecting, exploitation of R & D - technology - scientific output data ) . For patent filing and awareness, industrial and commercial applications and other miscellaneous items for bringing innovation, breakthrough, utilisation of the output may also be encouraged.

For COSIST programme , the major equipment will be provided specially when the major equipment and major facilities will not be available from SAP or other sources, but are essentially required for continuation of the activity, or for replacement of obsolete major equipment earlier provided but not working or unrepairable, or required for interfacing with the agencies, or for joint R & D facilities with users sectors and industry participation. This will be provided as per discretion of the Commission. The major facilities towards teaching are covered under the COSIST grants.

The recurring items will include components for working expenses consumables ; field work ; holding of Advisory Committee meetings ; maintenance or rate contract at the rate of 5% of the equipment cost (after expiry of the warranty / guarantee period) for the major approved equipment(s) for a period of four years ; chemicals ; glasswares ; field facilities and field trips available for Humanities and Social Sciences also ; limited faculty\* / research associate / research scholars / project or maintenance assistant etc., (CAS/DSA/DRS - 1 or 2 Research Associates ; DRS - 1 Lecturer, DSA - 1 Reader or 1 Lecturer ; CAS / COSIST - 1 Professor or 1 Reader ) (\*the State Government will have to take over the liability after completion of the approved term of five years and an assurance from the State Government/University is to be given in advance while submitting the programme. The provision of the faculty will be made only on a very special ground).

The staff approved from SAP support must spend their substantial time on the SAP activities and must not to be engaged in the routine activities of the department. The recurring components will also cover attachment of six scholars as details earlier. Hiring services for secretarial, industrial linkage and technical assistance may also be allowed under this programme. Non-NET (UGC-CSIR) qualified project fellow (wherever even after advertisement NET (UGC-CSIR) qualified candidates for the Jr. Research Fellow approved under the programme ,if any, are not available ) may be allowed at the rate of the Rs.2000/- per month (fixed) plus Rs.2500/- per annum as contingency / stationary for the project. For maintenance of major and costly equipment, technical assistant (with Master's Degree or Bachelor with Hons. having experience and maintenance of equipment or instrumentation) may be provided as per the university structure for payment on actual basis. The State Government will have to take liability after five years. The Commission may also provide honorarium to the retired coordinator (if appointed by UGC to complete the goal under the programme after retirement from the university service). The amount may be equivalent to Emeritus Fellow of the UGC.

## **OVERHEADS**

The Commission also provides overhead charges to a limited extent towards electricity, water, other infrastructural expenses including financial and other expenses ( honorarium to the secretarial staff for SAP) under the programme . The university will not deduct this amount from the allocated or sanctioned grant under the programme but its use can be for the above purpose as relevant to the departmental activities under the programme. The left over money, if any, out of this fund may also be used as corpus as already stated earlier.

**UNIVERSITY GRANTS COMMISSION**  
**NEW DELHI**  
**FORMAT FOR INVITING PROPOSAL FOR FRESH INDUCTION**  
**UNDER SAP/COSIST PROGRAMME**

**ANNEXURE-I**

1. Name of the University: Year of Estd.: University  
Department  
Name of the Vice-Chancellor:  
Name of the Registrar :  
Address : City: Tele./Fax No. :  
State: Pincode:  
Fax: E.Mail:  
Ph : Registrar:  
Vice Chancellor:
  
2. Name of the Programme applied for:
  
3. Name of the Department submitting the proposal for consideration under the above mentioned Programme of the UGC with detailed address:  
Address : City:  
State: Pincode:  
Fax: E.Mail:  
Ph.: Head :  
& Fax: Coordinator,if  
already identified:
  
4. The name of the Coordinator, if the competent authority has already identified which has the approval of the Vice-Chancellor / Head of the Institution.
  
5. The Area of the thrust or the strong group of research to be involved under the programme.
  
6. The university/institute is ready to accept the programme as per the guidelines and terms of reference, if UGC consider and approve the programme according to the procedure laid down under the programme.
  
7. The funds, if approved and allocated by the UGC under the programme, is to be sent in the name of: and in the address of :  
in the Bank of:
  
8. The name of the competent officer empowered by the university/institute and the department (submitting the programme) to draw the Demand Draft in favour of the programme of the University / institute and department.
  
9. The university / institute and the department will abide by and follow the guidelines as per the objectives and purpose of the programme and the funds, if allocated under the programme, will be utilised for the purpose it is given.  
  

**The University is eligible to receive UGC grant as per the UGC Act.**
  
10. The information submitted as per the format is true and is correct in all respects.

**SIGNATURE & SEAL OF THE HEAD /  
PROPOSED COORDINATOR OF THE  
PROG.APPLIED FOR WITH DATE**

**SIGNATURE & SEAL OF THE HEAD  
OF THE UNIV./ INSTITUTION /  
VICE - CHANCELLOR / REGISTRAR  
WITH DATE**

**PART A - SUMMARY SHEET OF ACADEMIC ACHIEVEMENTS**

Name of the Department  
Full Address: City:

University/Institution  
Full Address: City:

State:  
Pin Code:  
Fax:  
E-mail:  
Ph.:

State:  
Pin Code:  
Fax:  
E-mail:  
Ph.:

- |  |           |        |          |
|--|-----------|--------|----------|
| 1. Faculty*  | Professor | Reader | Lecturer |
| (a) Approved strength                                  |           |        |          |
| (b) In position  |           |        |          |
| (c) Sanctioned initially from: (applicable for COSIST) |           |        |          |
| (i) SAP (CAS/DSA/DRS)                                  |           |        |          |
| (ii) COSIST  |           |        |          |
| (d) For (i) & (ii) above State                         |           |        |          |

\*(annexe list of faculty with qualifications, specialisation average of last 5 years' publications(international & national level)

- |  |                                |                                 |
|--|--------------------------------|---------------------------------|
| 2. Present students Intake(annual)/Passing out |                                |                                 |
| <u>Annual Intake</u>                           | <u>Students passing out</u>    | <u>Major areas of Placement</u> |
|  | <u>(Average of last 5 yrs)</u> |                                 |
| M.Sc.-   |                                |                                 |
| M.A.-  |                                |                                 |
| M.Phil-  |                                |                                 |
| M.Tech-  |                                |                                 |
| Ph.D.(Average of 5 years)-                     |                                |                                 |
| (annexe faculty-wise list)                     |                                |                                 |
| i. Ph.D.Enrolled                               |                                |                                 |
| ii. Ph.D.Awarded                               |                                |                                 |

3. (a) Completed research and collaborative projects\* in the last five (5) years
- |                                  |      |         |
|----------------------------------|------|---------|
| i. Number of Projects            |      |         |
| ii. Total Amount(Rs.in lakhs)    |      |         |
| iii. Indian agency:              | No.- | Amount- |
| iv. International orgns./ agency |      |         |

- (b) Ongoing research projects\*
- |                                   |      |         |
|-----------------------------------|------|---------|
| i. Number of Projects             |      |         |
| ii. Total Amount(Rs. in lakhs)    |      |         |
| iii. Indian Agency:               | No.- | Amount- |
| iv. International orgns./ agency: |      |         |

4. Publications i. Books ii. Indian iii. Foreign iv. Conf. v. Reports

\*\* Annexe list having the name of the Coordinator, title of the project, name of the sponsoring authority, approved outlay, year of implementation and completion.

5. Special Assistance Programme (SAP) (Required for proposal to be considered for COSIST support only) & year of first sanction by the UGC.
- \* For departments applying under DRS/DSA for the first time, this information is not required
- i. Level of asstt.(CAS/DSA/DRS)  
 ii. Thrust Area(s)  
 iii. Total grant (NR &R) approved  
 iv. Total duration approved  
 v. Year of completion of the present duration / phase  
 vi. If we reviewed at the end of the terms attach copy of review report
6. (a) Awards(National/International Number of Awards for the Faculty ,Bhatnagar , Hari Om Ashram Trust, Swami Pr. ,vanand, etc.)
- (b) Fellows of National/International Nuumber of Fellows Professional Body/Academy (FNA, FIE, FIC, FNSC,FASC, etc.), if any.
7. Collaborative Programme(Teaching, Research and extension activities) {provide details}  
 (a) Intra and Inter Department  
 (b) Other Institution  
 (c) International organisations  
 (d) National organisations  
 (e) Non-Government organisations
8. Details of the following:
- |                   | <u>National</u>       |                            | <u>International</u> |                     |
|-------------------|-----------------------|----------------------------|----------------------|---------------------|
|                   | <u>Attended Orgd.</u> | <u>Participated Attnd.</u> | <u>Orgd.</u>         | <u>Participated</u> |
| Conferences       |                       |                            |                      |                     |
| Seminar           |                       |                            |                      |                     |
| Workshop          |                       |                            |                      |                     |
| Summer Institutes |                       |                            |                      |                     |
| Refresher Courses |                       |                            |                      |                     |
9. Major ongoing areas where linkages with industries have been generated:
- 10a. Major areas of the department where active research work are ongoing. Areaswise strong research groups may also be classified :
- b. Challenging/Thrust areas in which Department has achieved excellence.
- c. Research and technology developed by the department and output of which has been used by user departments / organisations / industries in the form of patents, commercial application, fabrication of equipments/facilities, exploitation for knowledge dissemination/ development in teaching.
11. Library: (a) No. of available books  
 (b) Journal being procured(Indian/Foreign)
12. Other infrastructural facilities available :
11. Major equipment available and in use (more than Rs.2 50,000/-) within Department and USIC, indicating actual cost and source of each item.

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

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

**PART B - PROFORMA FOR DEPARTMENTAL INFORMATION**

1. Name of the University: Year of Establishment :  
 Address : City: Pincode:  
 State: E.Mail:  
 Fax: Registrar:  
 Ph: Vice Chancellor:
2. Name of the Department: Year of Establishment:  
 Full address: City: Pincode:  
 State: E-mail :  
 Fax: Ph.
3. Courses offered(i) Degree(UG & PG);(ii)Short-term;(iii)Diploma; (iv) Emerging/Innovative Areas; (v) Human Resource Development for industry (vi) Teachers training :

4. Students Intake: U.G. P.G. M.Phil. Ph.D.(Research)  
Gen/SC/ST/Total Gen/SC/ST/Total Gen/SC/ST/Total

5. Faculty positions numbers How many are:  
 DSc PhD DLit MPhil MSc MA  
 (a) Professor  
 (b) Readers  
 (c) Lecturers  
 (d) Others(Technical)

6. Examination & Evaluation System being followed.

7. Year-wise Publications (Nos.)(Proceeding 5 years):

Year	Indian* Journals	Foreign* Journals	Conferences	Reports	Books
Year I					
Year II					
Year III					
Year IV					
Year V					

- The papers presented in conferences, seminars, reports etc. should not be included as published papers under the column of Indian/Foreign journals as given above.

8. (a) Total No. of scholars in the Deptt. Full Time Ph.D/Post Doc. Part Time Ph.D/Post Doc.  
 (preceedin.g 5 years) Boys Girls Boys Girls  
 Year I - Completed  
 Working  
 II- Completed  
 Working  
 III- Completed  
 Working  
 IV - Completed  
 Working  
 V - Completed  
 Working

8. What is the yearly allocation of grant to the Department for the purpose of running its laboratories (Preceding five years)

Name of the year	Research Teaching	Postgraduate Teaching
Year I		
Year II		
Year III		
Year IV		
Year V		

9. Has the Department received any financial assistance from other sources during the last 5 years? If so, indicate the details:

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

10. (a) Has the Department taken any collaborative research work: Yes/No  
(University/National/International organisation/industry)

(b) If yes, provide a list of the agencies, amount, type of collaboration and time of duration/year:

11. (a) Whether the department has Computer facilities of its own or is having terminal facilities from the main Computer of the University/Institute or networking .

(b) Please also list teaching aids available such as projectors, charts, models, films, video equipment etc.

(c) How effectively are teaching aids being utilised and if not, what are the reasons? Please give a note.

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

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

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

13. (a) When the course for various classes were last restructured/revised:

<u>Course</u>	<u>Year of revision</u>
U.G.	
P.G.	
M.Phil.	

(b) Whether UGC Curriculum Reports were discussed & implemented :- Yes/No(Reason for No)

(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 in 200 words.



14. Whether University/Institute will provide autonomy to the department if selected under SAP/COSIST.
15. Name and designation of the faculty member alongwith the area(s) in which they are pursuing research. (Please give separate sheet)
16. Amount of resource generated in last 5 years with mention in the last year.
17. Whether the proposal is forwarded through the competent Authority of the University/institute?

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

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

Please note: **PROPOSAL PREPARED OTHER THAN THE ABOVE FORMAT MAY NOT BE CONSIDERED. PROPOSAL IN DUPLICATE COPIES IN THE BIND FORM AND NEATLY TYPED AND PRINTED MAY BE SENT TO DR. S.P. DASTHAKUR, JOINT SECRETARY (SAP/COSIST BUREAU), UNIVERSITY GRANTS COMMISSION, NEW DELHI. ONE COPY OF THE SAME MAY BE MARKED TO DR.G.D.SHARMA, SECRETARY, UGC.**

UNIVERSITY GRANTS COMMISSION

ANNEXURE-II

REPORT OF THE EXPERT EVALUATION & ASSESSMENT / INDUCTION COMMITTEE  
FOR THE DEPARTMENT OF \_\_\_\_\_ UNIVERSITY OF \_\_\_\_\_  
FOR INDUCTION AT THE LEVEL ( DSA / DRS WITH PHASE) AND COSIST (PHASE I)  
\_\_\_\_\_ VISITED ON \_\_\_\_\_ AT \_\_\_\_\_

RECOMMENDATIONS OF THE EVALUATION & 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.		
2.		
3.		
4.		
5.		

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

- (i)
- (ii)
- (iii)

2. Coordinator identified & recommended by the Expert Committee:-

Name:  
Designation:  
Telephone No./Fax/E-mail:  
Area of specialisation:  
Status of the Coordinator(seniormost or not):

3. Advisory Committee Members recommended by the Committee:

Name	Specialisation	Address/FAX/TELE No./E-mail
(i)		
(ii)		

4. Major observations & 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 exploited industrially/commercially:
  - e. Courses introduced & implemented with intake of students, number of faculty involved, sponsoring agency ,if any, of the students, possible employer and user department/ / organisation / agency :
  - f. Innovation, if any, worthwhile for mentioning :
  - g. Few lines write-up on research highlights of the department:
  - h. New ideas which has influenced teaching or research :
    - (i) Infrastructure developed:
    - (j) Major equipments / facilities (provide high) :
    - (k) Industrial collaboration and amount of resource generated, out of such collaboration :
    - (l) Research publications for last 5 years in refereed journals (provide faculty wise & group wise publications only in refereed journals , year wise beginning with the current year) :
    - (m) Patents / Prototype : i. approached for- ; ii. in credit- ; iii. Given to licensees
    - (n) Total amount of resource generated:
    - (o) International collaboration(with industry,institutions,man-power trained) :
    - (p) Exploitation of the research facilities by other user dept. / agencies / other organizations / NGOs:
    - (q) Industrial / commrcial attachment of the student or faculty members :

5. Status of the department :

(a) I) Year of establishment :

II) Present faculty strength : Profession \_\_\_\_\_ Reader \_\_\_\_\_ Lecturer \_\_\_\_\_  
(working)

(b) Intake of students nationally and internationally:

(c) Human resource trained in the last 5 years and involvement of total member of faculty.

i) Name all ongoing courses of the Department and the students intake in each courses :

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

(a) Whether the department will be given autonomy by the university with respect to academic, financial and administrative functioning, if the UGC support it under the programme :

5. 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 :

7. Whether the department was informed about the details and constitution of the Advisory Committee as per norms of the UGC under this programme :

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 at all angles, which may be kept confidential, if it is so necessary:

9. Whether the department is covered for support as per the UGC norms for the aided department of the university :

10. Future plan of action of the department with the objectives set forth under this first phase if UGC agrees for the support (enclosed separately as Annexure ) :

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

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

13. The Committee strongly recommends :

i) The department cannot be inducted under DRS/DSA :

OR

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

4. Major observations & 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 exploited industrially/commercially:
  - e. Courses introduced & implemented with intake of students, number of faculty involved, sponsoring agency, if any, of the students, possible employer and user department/ / organisation / agency :
  - f. Innovation, if any, worthwhile for mentioning :
  - g. Few lines write-up on research highlights of the department:
  - h. New ideas which has influenced teaching or research :
    - (i) Infrastructure developed:
    - (j) Major equipments / facilities (provide high) :
    - (k) Industrial collaboration and amount of resource generated, out of such collaboration :
    - (l) Research publications for last 5 years in refereed journals (provide faculty wise & group wise publications only in refereed journals , year wise beginning with the current year) :
    - (m) Patents / Prototype : i. approached for- ; ii. in credit- ; iii. Given to licensees
    - (n) Total amount of resource generated:
    - (o) International collaboration(with industry,institutions,man-power trained) :
    - (p) Exploitation of the research facilities by other user dept. / agencies / other organizations / NGOs:
    - (q) Industrial / commercial attachment of the student or faculty members :

5. Status of the department :

(a) I) Year of establishment :

II) Present faculty strength : Profession \_\_\_\_\_ Reader \_\_\_\_\_ Lecturer \_\_\_\_\_  
(working)

(b) Intake of students nationally and internationally:

(c) Human resource trained in the last 5 years and involvement of total member of faculty.

i) Name all ongoing courses of the Department and the students intake in each courses :

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

(a) Whether the department will be given autonomy by the university with respect to academic, financial and administrative functioning, if the UGC support it under the programme :

5. 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 :

7. Whether the department was informed about the details and constitution of the Advisory Committee as per norms of the UGC under this programme :

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 at all angles, which may be kept confidential, if it is so necessary:

9. Whether the department is covered for support as per the UGC norms for the aided department of the university :

10. Future plan of action of the department with the objectives set forth under this first phase if UGC agrees for the support (enclosed separately as Annexure ) :

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

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

13. The Committee strongly recommends :

i) The department cannot be inducted under DRS/DSA :

OR

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

14. Financial Recommendation (most critical and essential funds) :

15. The Committee convey its thanks to the University and the Departments for the active Co - operation , coordination and the hospitality extended to the members of the Committee :

SIGNATURE (EXPERT MEMBERS) WITH DATE AND VENUE

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

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

Name of the University: Date of first approval with level at inception:  
Due date for review in the current phase from the date of implementation \approval:

Name of the Department: Programmes reviewed

Status(CAS/DSA/DRS /COSIST with phase): last on :  
Coordinator's Name: Amount allocated:  
Address: Amount sanctioned:  
City: Amount utilised :  
Pin: State Date of first sanction (Rs. in lakh)  
Tel. Fax (Current phase)  
Total sanction since inception: la.

1. (a) Thrust Area(s) :

Identified since inception	Ongoing	Modified to, if and when
----------------------------	---------	--------------------------

Present Thrust Area should be:

-----  
1b.UGC Nominees with Address, City, Pin, State,Tel.,Fax, E-mail:

- 1.
- 2.

2. Major achievements (last five/two years depending on final/mid-term review):

(i) Teaching :

a. New courses introduced and name:

b. Curriculum last revised & significant changes:

c. Examination reforms last made with special features:

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



- (ii) a. Research (highlight most important and mentionable achievements with breakthrough, innovation brought in, technology transferred, international collaboration which have created resources)
- (ii) b. Utilisation of findings in policy formulation, development and modification of strategies (for Social Science departments mainly)
- (iii) c. 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) Univ.    (iv) Deptt.

4. Knowledge disseminated to (in the thrust area identified): (i) Other teaching institution (Name, No. of faculty involved)

(ii) Industry (Name with amount received any ) (iii) Rural/Tribal/Govt./NGOs (Provide No. with amount)

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

5. Breakthrough (already recognised and be specific)

6. Emerging/Hi-tech/Priority area generated

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

<u>Items</u>	<u>Amount</u>	<u>Items</u>	<u>Amount</u>
Consultancy :		Sponsored (agency) R&D Projects:	
Transfer of technology:		Product & Prototype development:	
Patent utilisation:		Exploitation of internal facilities	
Industrial collaboration:		by user departments:	
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. Exploitation of output of research, teaching in (tick and fill up the right one)

<u>Item</u>	<u>No.</u>	<u>Item</u>	<u>No.</u>
a. Industries		b. Other user deptts.	
c. National orgns.		d. Other Organisations	

---

9. Other activities:

a. Items	Numbers	Time duration	c. Advisory Committee Meeting UGC (SAP/COSIST)	
			Nos.	Date(s)
Seminar			Meeting	
Workshop			Conducted:	
Summer Institute				
Conference				
Refresher Courses			Major Recommendations:	
			1.	
b. Autonomous Character:		Yes/No.	2.	
a. Financial				
b. Administrative			3.	
c. Academic				
d. Others				

10. Faculty Involved:

a. In the identified thrust area(s):

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.			

b. In the thrust area(s) (other details of the faculty):

Faculty Name	Publications/*		Process/ Method develop
	Research Paper Intern.	Books\Monographs\Proj.Rep. National	
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.

Faculty Strength: (Put Numbers)	Position Available		Working		Vacant	Created
	In thrust Area(1)	Other Areas(2)	(1)	(2)	(1)	(2)under SAP/ COSIST
Professor:						
Reader:						
Lecturer:						
Others:						

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

Ph.D.

PG:

Fellows:

NET Scholar:

GATE Scholar:

Res. Asso.:

Proj. Asstt.:

Others:

II. National/Nodal Character of the Department:

a. Working as All India Center-      Yes/No

b. Resource Person Invited (Nos.)-

International

National

c. Serving for outside user departments in (Nos. & lhrs.)

i. Hands-on OR technical training  
to university/college teachers

ii. Collaborative(international)

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) :

13.a. Whether the State Government will take up the liability of the faculties and the staff in the areas identified after cessation of the tenure (say five or three years) as per the programme of the committee.

b. Whether the State Government has already agreed or has taken up the liability after five years of completion of the tenure 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. Utilisation Certificates may be provided as per the UGC format. The accounts of the earlier phase must be completed, finalised, audited and duly authenticated by the competent authority (Registrar / Principal) (item-wise and year-wise) for all the allocations and sanctions given to the ongoing/current phase to the department 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.

---

### IMPORTANT INSTRUCTIONS

\*\*\*The report is to be submitted in a form of a booklet in A4 size paper properly typed and or printed in duplicate to the concerned section officer of SAP (I/II/III) OR COSIST (I/II) as per the file no. for the respected programmes of the department. The envelope may accordingly be marked for mid-term/final review under SAP and COSIST. One copy of the report, if it is so felt, may be sent to Dr.S.P. Dasthakur, Joint Secretary (SAP & COSIST) University Grants Commission, Bahadurshah Zafar Marg, New Delhi - 110 002 (Ph. 3237178).

\*\* This progress report format may be used by the department with the following status:

- (1) For use of the department completing 2 years w.e.f. the date of implementation (for mid-term review) or as communicated by the UGC.
  - (2) Completing five years as on 31st December, 1997 with effect from the date of implementation or as Communicated by the UGC.
  - (3) Departments for which the UGC has taken decision as per recommendations of various committees which suggested for review.
- 

FOR USE OF SAP/COSIST BUREAU OF UGC:

File No.

Department/University:

Status of Review(Please tick ):

(Mid-term)-

(Final)-

Date of Review finalised:

Venue:

Expert(s) identified by UGC for review:

Core Group Expert Members

Regional based Expert Members

-----

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REPORT OF THE EXPERT REVIEW COMMITTEE FOR THE DEPARTMENT OF  
UNIVERSITY OF \_\_\_\_\_  
(MID-TERM/FINAL) REVIEW FOR THE LEVEL SAP (CAS/DSA/DAS) AND  
COSIST (PHASE I/II) (MID-TERM) VISITED ON  
\_\_\_\_\_ AT \_\_\_\_\_ UNIVERSITY \_\_\_\_\_

RECOMMENDATIONS OF THE MIDTERM/END TERM (FINAL)  
ASSESSMENT REVIEW COMMITTEE

Name of the Department  
and University with  
PINCODE & FAX:

Date of Review:  
Venue :  
Review Status:  
(Mid-term/Final)

Level of the Deptt. Reviewed:  
(CAS/DSA/DRS) & COSIST(Ph.I/II)

Expert Members & UGC officer Present

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

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

- (i)
- (ii)

2. Coordinator identified & recommended now by the Expert Committee:-

Name:  
Designation:  
Telephone No./Fax/E-mail:  
Area of specialisation:  
Status of the Coordinator (seniormost or not):  
Whether he is the same Coordinator as was in the  
earlier/ongoing phase or level:

3. Advisory Committee Members recommended now by the Committee:

Name	Specialisation	Address/FAX/TELE No./E-mail
i.		
ii.		
iii.		

4. Major Objectives set-forth for the phase now being reviewed:
  
5. Major Objectives achieved:
  - a. Breakthrough, if any:
  - b. Excellence achieved in the identified thrust area:
  - c. Other thrust / hi-tech/emerging area nurtured:
  - d. Technology/method / patent developed and exploited industrially / commercially:
  - e. New courses introduced & 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:
  
  - (ii) Major equipments /facilities created (provide list) :
  
  - (iii) Industrial collaboration and amount of resource generated:
  
  - (iv)Research publications 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)Exploitation of the research facilities by other user dcptt. / agencies / other organisations/NGOs:-
  
  - (ix) Generation of new ideas Innovative worthwhile for maintaing :
  
  - (x) a. Industrial/commercial attachment :
  
  - b. Whether the UGC SAP ideas of attachment of meritorious students from neighbouring universities/colleges for six weeks implemented:

7. Work yet to be done:
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:
- (b) Whether the department is progressing well or is just casually running the programme:
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 dis-functional, please comment:
  - a. How many times the Advisory Committee met?:
  - b. Important resolution which may be considered by the UGC, if any.:
12. 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 utilisation 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 utilisation or not:
14. Other special comments/remarks of the committee, if any:



15. The Committee strongly recommends following :

(i) Upgradation of the departmental status from \_\_\_\_\_ to \_\_\_\_\_ on no cost basis/minimum critical requirements :

(ii) Continuation of the activities with no cost basis in the same level of \_\_\_\_\_ under the programme of \_\_\_\_\_ or with most essential and critical requirements as detailed separately under column '15' :

(iii) Discontinue the status:

(iv) De-recognised the department under the programme of \_\_\_\_\_:

16. The financial inputs recommended by the committee based on the Item No. 14.ii is given as below :

**SIGNATURE (EXPERT MEMBERS) WITH DATE AND VENUE**

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

UNIVERSITY GRANTS COMMISSION  
NEW DELHI  
(Applicable for all schemes/programmc of UGC)  
PROFORMA FOR SUBMITTING UTILISATION CERTIFICATE IN RESPECT OF  
BUILDING WHICH IS COMPLETED

ANNEXURE-V

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 building in its meeting dated \_\_\_\_\_ 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 app- roved cost Univ./ manage- ment so	Total grant rele- ased by UGC so far is Rs. _____	State Govt./ Univ./ manage share	Grant actually released by the State Govt./	Total expen- diture incurred as on _____	Amount required to be release if any
(Rs. in Lakhs)		(Rs. in Lakhs)		(Rs. in Lakhs)		(Rs. in Larkhs)	

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 Writing & fitting.
4. Cost of water supply, sewerage sanitary fitting.
5. Cost of furnishing & 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 & estimated approved by UGC.

1. This certificate is based on audited / unaudited statement of expenditure.
2. Certified that the building & 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 Utilisation Certificate.)

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

**PROGRESS REPORT OF EXPENDITURE**

ANNEXURE VI

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	Remarks
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**NON-RECURRING:**

1. Building
2. Equipment
3. Books & Journal
4. Any other

Total N. R.

Item of expenditure	Actual celing	Grant received	Actual expenditure	Excess/ Saving (difference of Col. 3 & 4)	Estimated expenditure	Remarks
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**RECURRING**

1. Academic Staff
2. Technical Staff
3. Books & Journal
4. Contingices

**Certificate**

Certified that the grant has been utilised 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 on audit objection, some irregularity is noticed at a later stage, action will be taken to refund, adjust or regularised the objected amount.

Registrar/University  
Principal/College

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

**STATEMENT OF THE ACADEMIC-NON-ACADEMIC / RESEARCH  
STAFF NO. 8 DATE OF UGC SANCTION LETTER**

**ANNEXURED VII**

Desig- nation and scale of pay	No.of posts appr- oved made	No.of appo- intn- ments with qua- alification	Name of the per- son app- ointed	Date of appoint- ment	Initial salary on ap- pointm- ent.	Present Salary & other all owances	Actual expend- - iture during	Estima- ted ex- pendit- ure Like DA/ HRA/PF etc.
1.	2.	3.	4.	5.	6.	7.	8.	9.

A. Academic Staff: \_\_\_\_\_

Total \_\_\_\_\_

B. Technical and  
Administrative  
Staff

C. Any other 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 the expenditure statement of any other scheme but has utilised for the purpose of the grant it is provided.

\_\_\_\_\_  
Signature of the Registrar/Principal

## RELEASE OF GRANTS FOR STAFF

The first installment 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.
- b) Academic qualifications and experience.
- c) Post held by the incumbent prior to this appointment and the same of the last Institution/Organisation where he was working.
- 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.
- f) Has action been taken to fill the resultant vacancy, in case the person appointed belongs to the same university? If not, the reason therefor.

PROFORMA FOR ADDITIONAL GRANTS ON EQUIPMENTS DUE TO  
 ESCALATION IN FOREIGN EXCHANGE RATE  
 ( UNDER COSIST / SAP PROGRAMME )

Name of the instrument & model if any	S.No. of the instrument as approved under COSIST	Amount approved under COSIST / SAP	Name of Manfr./ supplier (Indian Foreign)	Date & amount of order placed (in Rupees & foreign currency with Exchange rate)*	Amount of LIC opened with dt. (in Rupees & foreign currency with Exchange rate)*	Final bank debit with dt. & bank document & including Exchange Rate.*	Approx. escalation difference of Colum 7 minus 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.

PROFORMA FOR THE CLAIM FOR MAINTENANCE(EQUIPMENT)  
GRANT UNDER COSIST / 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 as per COSIST Guidelines.

Name of Equipmt. with Serial No. in the approved list	Approved cost (Equipmt. wise)	Actual Cost	Contract signing etc. for maintenance of COSIST equipmt., if any, with document	Date of receipt of the equipmt.	Date of instal-ation & Commi-ssioning	Date of Completion of two yrs. after com-missioning i.e. third financial receipt of the equipmt.
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Signature  
Head,  
Department of  
University/Institution

Signature  
Registrar/  
Univerity/Institution

1. First installment of maintenance grant of 5% of the total cost of the equipment purchased may be released in the 3rd year after the installation/ Commissioning of the equipment by the Commission as per the guidelines.
2. The second installment may be released to the extent the first installment of maintenace grant is utilised: that is to say that at any given time the department can have only maintenace 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.

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National Institute of Educational  
Planning and Administration,  
Indira Aurobindo Marg,  
New Delhi-110016  
DOC. No. D-10317  
Date 04-12-99

