

**राष्ट्रीय उच्चतरशिक्षाअभियान**  
**Rashtriya Uchcharat Shiksha Abhiyan (RUSA)**

**Draft Guidelines for Consultation**



**Department of Higher Education**  
**Ministry of Human Resource Development**  
**Government of India**  
**December, 2013**

## CONTENTS

<b>Sl. No.</b>	<b>Topic</b>	<b>Page No.</b>
1	Introduction	1
2	Vision and Mission	2
3	Objectives	2
4	Key Features	3
5	Target Group	5
6	Approach and Strategy	6
7	Prerequisites	9
8	General Norms	9
9	Programmatic and Financial Norms of Various Components	12
10	Guiding Principles	45
11	Timeline	45
12	Implementation Modalities	46
13	Funding Strategy	47
14	Resource Allocation	48
15	Approval Process and Flow of Funds	50
16	Banking Arrangements	52
17	Detailed component-wise allocations	54
18	Flow of information	54
19	Management Information System (MIS)	55
20	Monitoring and Evaluation	55

21	Information Regarding State-level Functionaries	57
----	---	----

**Annexures**

<b>No.</b>	<b>Content</b>	<b>Page No.</b>
1.	MHRD Letter no. 4-18/2012-U.II dated 8 <sup>th</sup> October, 2013 addressed to States/UTs	68
2.	Format of Institutional Development Plan	61
3.	Format of State Higher Education Plan	73
4.	Detailed Timelines	96
5.	Fund Equalisation Formula	96
6.	Component-wise allocations and physical targets for the 12 <sup>th</sup> Plan	99
7.	Template for the States for providing information regarding key functionaries	101

# GUIDELINES

## 1. Introduction

The 12th Plan proposed a comprehensive plan for the development of state higher education system for ensuring access, equity and quality. The Planning Commission recommended strategic utilization of central funds to ensure comprehensive and optimum planning at the State level. This led to the formulation of the ambitious Centrally Sponsored Scheme (CSS), namely RashtriyaUchcharShikshaAbhiyan (RUSA).

The National Development Council (NDC) had approved the Scheme as part of the 12<sup>th</sup> Plan proposal for the MHRD. The Central Advisory Board on Education (CABE), the highest advisory body of the Government of India in education on policy matters, in its meeting dated 08.11.2012 gave in-principle approval to RUSA. Subsequently it was included in the list of 66 schemes approved by Cabinet on 20.06.2013, as part of the restructured CSSs for implementation in the 12<sup>th</sup> Plan. The Expenditure Finance Committee (EFC) appraised the Scheme on 11<sup>th</sup> September 2013 and recommended it for approval. Finally, with the approval of Cabinet Committee on Economic Affairs (CCEA) on 3<sup>rd</sup> October, 2013, RUSA became the final tier of the CSSs of the MHRD, which began with SarvaShikshaAbhiyan (SSA) and graduated subsequently to RashtriyaMadhyamikShikshaAbhiyan (RMSA).

RUSA would be spread over the 12<sup>th</sup> and 13<sup>th</sup> Plan period for funding the States, state universities and colleges to achieve equity, access and excellence in higher education. The allocation of funds under RUSA would be based on well-defined norms and parameters and linked to certain key academic, administrative and governance reforms in the in the State higher education system which currently enrolls over 96% of the students. The Scheme will be implemented through the Ministry of Human Resource Development (MHRD) with matching contributions from the State governments and Union Territories (UTs).

All the States have already been addressed vide the MHRD letter D.O No. 4-18/2012-U.II, dated 8<sup>th</sup> October, 2013 regarding the implementation of RUSA and their willingness to participate in the scheme (see Annexure I).

These guidelines are intended for the use of States and institutions in preparing for participation in the reform process under RUSA during the 12<sup>th</sup> Five Year Plan period. The guidelines are not for the guidance of the states and institutions. The basic narrative and approach of RUSA is outlined in the RUSA document which can be accessed from the website of Ministry of Human Resource Development ([www.mhrd.gov.in/rusa](http://www.mhrd.gov.in/rusa)). These guidelines should be read along with the document and any deficiency or gap (or interpretation should be with reference to the RUSA document)

## **2. Vision and Mission**

To attain higher levels of access, equity and excellence in the State higher education system with greater efficiency, transparency, accountability and responsiveness.

## **3. Objectives**

- To achieve the Gross Enrolment Ratio (GER) target of 25.2% by the end of 12<sup>th</sup> Plan and 32% by the end of 13<sup>th</sup> Plan.
- Improve the overall quality of existing State higher educational institutions by ensuring their conformity to prescribed norms and standards
- Adoption of accreditation as a mandatory quality assurance framework.
- Usher transformative reforms in the State higher education system by creating a facilitating institutional structure for planning and monitoring.
- Ensure governance, academic and examination (and evaluation) reforms and establish backward and forward linkages between school education, higher education and the job market.

- Expand the institutional base by creating additional capacity in existing institutions and establishing new institutions in un-served and underserved areas by way of upgradation and consolidation.
- Create opportunities for states to undertake reforms in the affiliating system.
- Ensure adequate availability of quality faculty in all higher educational institutions and ensure capacity building at all levels.
- Create an enabling atmosphere in institutions to facilitate research and innovation.
- Integrate the skill development efforts of the government through optimum interventions.
- Correct regional imbalances in access to higher education.
- Improve equity in higher education by providing adequate opportunities to socially deprived communities; promote inclusion of women, minorities, SCs/STs/OBCs and differently-abled persons.
- To identify and fill up the critical infrastructure gaps in higher education by augmenting and supporting the efforts of the State governments.
- Promote healthy competition amongst states and institutions to address various concerns regarding quality, research and innovation.
- Clearly define role of State governments vis-a-vis higher educational institutions and facilitate the creation of State Higher Educational Councils (SHECs).

#### **4. Key Features**

- RUSA is an umbrella scheme operated in mission mode that would subsume other existing similar schemes in the state higher education sector.
- Funding under RUSA would be norm-based and future grants would be performance-based and outcome dependent.
- Commitment by States and institutions to certain academic, administrative and governance reforms will be a precondition for receiving funding.

- Funds would flow from the Ministry of Human Resource Development (MHRD) to universities and colleges, through the State governments/ SHEC.
- Funding to the States would be made on the basis of critical appraisal of State Higher Education Plans (SHEPs). SHEP should address each State's strategy to address issues of equity, access and excellence.
- Each institution will have to prepare an Institutional Development Plan (IDP) for all the components listed under the Scheme. It will be aggregated at the State level, after imposing a super layer of State relevant components into the SHEP.
- State Higher Education Councils (SHEC) will have to undertake planning and evaluation, in addition to other monitoring and capacity building functions.
- SHEC will be the key institution at the state level to channelize resources to the institutions from the State budget. It will also be responsible for advising the states in ensuring a balanced development of the sector and prevent distortions in terms of overcrowding and over commercialization.
- Two on-going Centrally Sponsored Schemes of Model Degree Colleges and sub-mission on polytechnics will be subsumed under RUSA.
- UGC Schemes such as development grants for State universities and colleges, one-time catch up grants, etc. will be dove-tailed in RUSA. Individual oriented schemes (for teachers, students etc) would continue to be handled by UGC.
- Centre-State funding would be in the ratio of 90:10 for North-Eastern States, Sikkim, J&K, Himachal Pradesh and Uttarakhand and 65:35 for Other States and Union Territories (UTs).
- States would be free to mobilize private sector participation (including donations and philanthropic grants) through innovative means, limited to a

ceiling of 50% of the State share (see chapter 6 of RUSA document for more details).

- States would be free to further leverage the RUSA resources through supplementary funds mobilised through different government programmes, like DoNER's and Dept of Economic Affairs administered Viability Gap Funding schemes, MPLAD, local body contributions, municipal funds, rural development or urban development programmes, rural and urban employment guarantee schemes etc. RUSA would also try to harmonise the states' efforts with existing/proposed central sector schemes like NMEICT, PURSE etc.
- State-wise allocations would be decided on the basis of a formulaic Fund Equalization Matrix, which would factor in the population size of the relevant age group, GER and Gender Parity Index (GPI) and Equity Index across categories, State expenditure on higher education, institutional density, teacher-student ratio, issues of access, equity and quality and excellence in higher education etc. (see Annexure V). Further allocation of funds would be dependent upon performance of the state and its demonstrated commitment to the reforms agenda.

## **5. Target Group**

- All State public Universities and colleges {both 12B and 2(f) as well as non-12B and non-2(f)}.
- Government-aided colleges would be entitled to some components (including infrastructure support) as approved by the PAB. Funding to such colleges would be decided based on their antiquity, stature, need and other parameters on a transparent and objective basis. (see section 4.2 of RUSA document for more details).



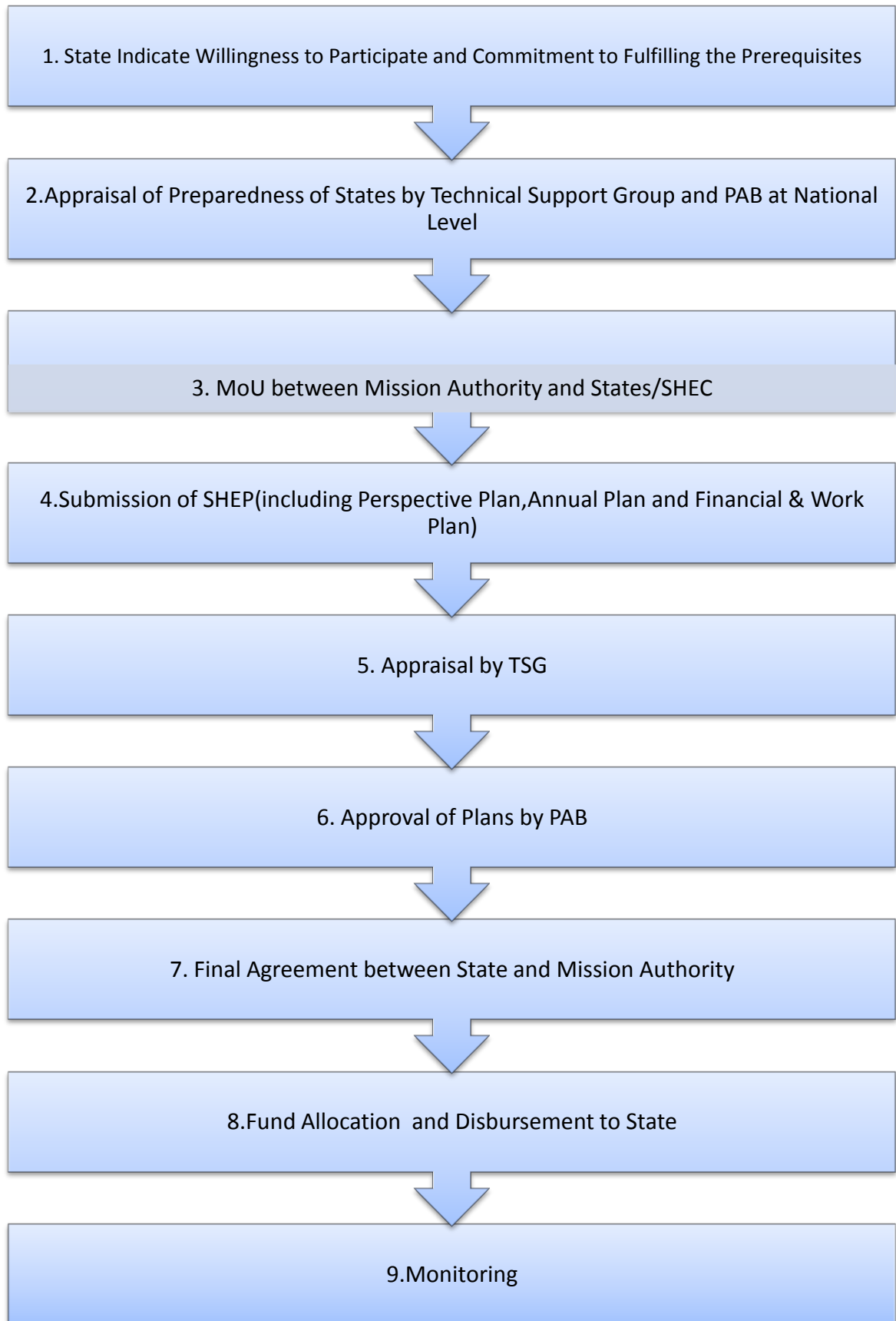
## 6. Approach and Strategy

- RUSA would follow a bottom-up approach for planning and budgeting to address multiple and graded inequalities and promote need based planning. States would be encouraged to undertake strategic thinking and planning keeping future needs of the higher education in mind. Both demand side and supply side challenges need to be addressed by the SPPs (State Perspective Plans). RUSA Mission Authority as well as PAB would appreciate well rounded and comprehensive plans.
- States would also become equal partners in planning and monitoring. The yardstick for deciding the quantum of funds for the States and institutions under RUSA comprise the norms that reflect the performance in key result areas: access, equity and excellence, after the over-all entitlement of the states is decided based on the Equalization Matrix.
- Access, Equity, and Excellence would to be the key thrust areas. Considering the inter-linkages between them and taking into consideration the current realities existing in the country, these objectives would be pursued through differentiated strategies with nuanced inter linkages. This would necessitate reforms in governance arrangements at all levels (National, State and Institutional), with suitable implementation frameworks, regulatory interventions and monitoring arrangements.
- Planning process would begin at the institutional Level, with the IDP based on inputs/ discussions with the stakeholders within the institution. These IDPs would be aggregated to form the SHEP. The SHEP would have mainly two components; State component and institutional component. The SHEP would be further broken down into annual plans, by taking the various factors under the eighteen components into consideration. These annual plans will constitute the basis for determining the funding to states (format

of the IDP and SHEP are placed at Annexure II and Annexure III; also see sections 7.5 and 7.6 of RUSA document).

- In order to be eligible for funding under RUSA, States will have to fulfil certain prerequisites towards reform process which include academic, sectoral and institutional governance reforms (details in Chapter 7 of this document).
- Each State must undertake baselinesurveys and stakeholder consultations which should constitute the basis for preparing IDPs and SHEPs. Targets should accordingly be prepared against each item against which performance and progress would be measured.
- Once eligible for funding under RUSA, the States will receive funds on the basis of achievements and outcomes. Future funds flows would be determined based on outcomes and achievements against the targets.
- RUSA would enable and empower the States to develop sufficient capabilities to plan, implement and monitor initiatives for the higher education sector as a whole.
- Preparatory funds that would be provided to the State governments to equip them for complying with the prerequisites and create necessary institutional structures and human resource capabilities.

## PROCESS FLOW



## 7. Prerequisites

- Prerequisites would be at two levels; commitment given by the States to the Centre and the commitment given by institutions to the States and Centre. Unless these commitments are fulfilled, the states and institutions will not be eligible to avail grants (see section 4.8 of RUSA document for more details).

States	Institutions
<ul style="list-style-type: none"> <li>• Setting up of SHEC</li> <li>• SHEP (including Perspective Plan, Annual Plan and Financial &amp; Work Plan)</li> <li>• State funding commitment – share and timeliness</li> <li>• Filling up of faculty positions</li> <li>• Governance and administrative reforms</li> <li>• Accreditation and quality commitments</li> <li>• Affiliation, Academic and Examination reforms</li> </ul>	<ul style="list-style-type: none"> <li>• Institutional governance reforms</li> <li>• Academic and examination reforms</li> <li>• Accreditation Commitments</li> <li>• Project Management Teams</li> <li>• Equity Commitments</li> <li>• Commitments on research and innovation efforts</li> <li>• Faculty recruitment and improvement</li> <li>• Establishment of MIS</li> <li>• Regulatory compliance</li> </ul>

## 8. General Norms

These norms are over arching/universal norms which are applicable for all components of RUSA (until and unless specified otherwise in a specific component)

- All land will be provided free of cost by the State governments. The states shall be the exclusive owner of the land required for any activity under RUSA.
- The State government shall acquire and have undisputed possession of land in cases where a new institution is proposed to be set up or existing one is

proposed to be expanded. Any future legal disputes will also be handled by the State government and the Centre shall not be a party to any such dispute.

- In case any aided institution is to be supported, the state shall provide a clear undertaking that any legal disputes arising out of ownership of land or building shall be defended/litigated by the state at its own cost and such costs shall not be loaded on to RUSA.
- For all civil works, the cost estimates mentioned for RUSA components would constitute the upper limit, when deciding the central support under RUSA. However in case the State SSR (or SAR) is lower than the cost estimates of RUSA, it will be State SSR/SAR which shall apply for determining the central share. In other words, central share for civil works under any component shall be restricted to either RUSA estimate or of the State SSR/SAR, whichever is lower.
- However States would be free to enhance its own share for any component. It may also add new components, which are not mentioned under RUSA provided it is willing to bear the entire additional expenditure.
- The States would be free to mobilize up to 50% of their share through private grants and donations, Corporate Social Responsibility (CSR) contributions, Public Private Partnerships (PPP) etc.
- States will be free to leverage resources or add extra components on to any of the RUSA targets. They may also dovetail any of the existing schemes of the state or centre for fusion gains. These schemes may be MPLAD, local body funds (panchayat or municipality by whatever name known), JNURRM, -, NMEICT, RIDF etc. (This list is only illustrative and not exhaustive).
- States, especially in the North Eastern region, may also consider availing of Viability Gap Funding (VGF), administered by the Department of North

Eastern Region (DoNER). Similarly, States located outside the North Eastern Region may avail the VGF administered by the Department of Economic Affairs, Ministry of Finance.

- States may engage any of the Central/State agencies such as the Central Public Works Department (CPWD), State Public Works Department (PWD) and State and Central PSUs for civil works. In all cases States would be required to follow the relevant State Treasury rules and procedures.
- States would be required to procure all consumables, equipment, furniture, fixtures etc. in accordance with the State procurement policy and relevant rules for government procurement applicable to the states. In all such cases competitive bidding and e-procurement method should be adopted. RUSA PAB shall have a right to question any of the procurement which appears on a higherside.
- Affiliation reforms and accreditation norms as elaborated in Section 4.8.7 in the RUSA document should be followed by States. Accreditation shall be a pre-requisite for all the existing institutions which are more than six years old.
- Commitment of the institutions and the states to academic and examination reforms would critically evaluated by the TSG and PAB before sanctioning plans.
- Wherever RUSA initiatives are to be supported by necessary legal instruments (like legislation or Rules or Orders), the same shall be binding on the state. Any consequences arising out of delay in passing the legislation or litigation shall be fully discharged and defended by the states governments. RUSA shall be at liberty to stop grants, or even to recover the same in case of such an eventuality.

- Institutions participating in the programme shall maintain a separate single account in the name of RUSA, to be operated by the head of the institution and one representative of the institution. The account details will be shared with MHRD, and any subsequent change in account must be done in consultation with the Ministry.
- All receipts and expenditure under RUSA shall be debited and credited to RUSA. Interest accrued, if any on such an account shall be credited to RUSA.
- States must ensure that the state machinery and the state institutions necessarily become a part of the MIS developed by the RUSA Mission Authority since a robust MIS only can ensure optimum gains from the project.
- States would be entitled to 1% of the total state allocation
- to be spent on maintaining the state TSG and other institutional structures and corollary expenses. However, the salary of the government staff/officers deployed by the state shall be charged on to state exchequer only.

## **9. Programmatic and Financial Norms of Various Components**

1. Creation of Universities by way of upgradation of existing Autonomous Colleges
2. Creation of Universities by conversion of colleges in a cluster
3. Infrastructure Grants to Universities
4. New Model Colleges (General)
5. Upgradation of existing Degree Colleges to Model Degree Colleges
6. New Colleges (Professional)
7. Infrastructure Grants to Colleges
8. Research, Innovation and quality improvement
9. Equity Initiatives
10. Faculty Recruitment Support
11. Faculty Improvement
12. Vocationalisation of Higher Education
13. Leadership Development of Educational Administrators
14. Institutional Restructuring and Reforms
15. Capacity Building and Preparation, Data Collection and Planning

16. Management Information System
17. Support to Polytechnics
18. Management Monitoring Evaluation and Research (MMER)

<b>Component 1</b>	<b>Creation of Universities by way of Upgradation of Existing Autonomous Colleges</b>
<b>Summary</b>	
<p>45 autonomous colleges (autonomy granted by University Grants Commission in 2008 or earlier) that have necessary infrastructural facilities, antiquity, teaching strength and quality will be considered for up-gradation to Universities.</p>	
<p>The conversion plan for the creation of universities must include stage-wise planning with regard to expansion in infrastructure, number of students, departments, administration, academic functions, research activities, etc. It must also cover the timelines and concrete steps that will be taken for conversion of the college into a new University. The state shall also preferably define the jurisdiction of the university in terms of affiliation in order to address affiliation problems. The requisite additional staff (both teaching and non teaching) shall have to be sanctioned by the state government. The transition plan for existing officers and employees has to be an integral part of the conversion plan.</p>	
<p>I. Existing autonomous colleges which fulfil the following requirements will only be considered for upgradation:</p>	
<p><b>I (a). Physical Infrastructure</b></p> <ul style="list-style-type: none"> <li>• Must have been in existence for at least 15 years.</li> <li>• The minimum existing enrollment of the college must be 2000 and the proposed total enrolment of students must be enough to sustain the institution as a university with a minimum enrolment requirement of 4000 students.</li> <li>• The land already available with the college must be enough to support the additional enrollments and capacity (at least 15 -acres in mega cities, 20 acres in metro cities and 25 acres in rest of the country). In case the college does not have the adequate land, the state may identify and allocate the balance land in the vicinity (by allocation or acquisition). However the land shall be adjacent to the existing colleges and should be within a radius of One km. Additional capacity may be created by vertical extension of existing institutions, wherever possible.</li> <li>• Should have adequate library, hostel, laboratory, ICT and sports facilities for the</li> </ul>	



existing student strength, in order to facilitate smooth transition in its existential identity.

### **I(b). Academic Quality**

- Should have been accredited by NAAC and must have received not less than an 'A' Grade accreditation.
- Should also preferably enjoy the status of *College with Potential for Excellence (CPE)* as conferred by the UGC.
- Should have teaching programmes both in undergraduate and postgraduate courses. It must also have credible research capacity as evidenced through research, guideship and publications of faculty members.
- The college must be multi-faculty (at least two or more faculties such as Arts, Commerce, Science, Engineering, Law etc)
- Should have inter-disciplinary programmes in teaching and research.
- Should have a student–teacher ratio of 20:1. The ratio will be counted by dividing the total sanctioned positions to total regular student intake (during 2012-13). The target eventually will be to bring the ratio down to 15:1.

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

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

## **II. Future Commitments**

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

### **II (a). Physical Infrastructure**

- Convert all the existing buildings into fully disabled friendly buildings to improve access.
- Ensure special facilities/equipments for the disabled students.
- Adequate hostel and toilet facilities for girls.
- Excellent per student availability of classrooms, laboratories and library space.

### **II(b). Academic Quality**

- Inter-disciplinary and trans-disciplinary programmes should be encouraged; the upgraded institution should be a multi-disciplinary university.
- Commit to rigorous evaluation on the indicators under the Institutional Plan template with greater weightage on “Quality and Research index” after 3 years of its establishment as a University (see page 194 of RUSA document).
- Commit to adequate library, laboratory and hostel facilities.
- Institutional governance, academic and examination reforms.
- The institution must commit to inclusion of ICT in teaching and learning processes in all its colleges and provide internet access (preferably WiFi) to all students
- Specify the innovations contemplated in academics and governance.
- Specify how to make innovations sustainable and scale-up.
- Should have a teaching to non-teaching ratio of 1:1.1 or as prescribed by the UGC from time to time.
- The new university should not affiliate more than 100 colleges at any point of time (or as specified by UGC from time to time, whichever is less)
- Implement all academic and examination reforms.
- Focus on postgraduate, MPhil and PhD enrolments.

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

- Adherence to the provisions of the State Public Universities Act (if a single Act governs all Universities) or commit to a new Act (if separate Acts guides the functioning of institutions).

- The institution must be governed by a Board of Governors/governing body with a different nomenclature having representation from academia, industry, public intellectuals etc
- The new university should be established as an affiliating university. The State government should clearly mention the jurisdiction of the university.
- The institution must maintain a reasonable ratio of teaching to non-teaching staff as per UGC recommendations.

#### II(d). Equity and Inclusion

- Adherence to merit-based admission of students.
- 50% of hostel seats should be reserved for socially and economically weaker sections.
- Adherence to the reservation policy of State government in admission and faculty recruitment.
- Special schemes to promote inclusion and equity, and increase gender parity.

Financial Norms	No	Item	TIER 1 Cities		TIER 2 Cities		Hilly Areas	
			Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM
				33371		31622		44650
				Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
	1	Administrative Area & Common Facilities	2000	667.42	2000	632.44	1000	446.5
	2	School of Sciences	1085	362.07	1200	379.46	1000	446.5
	3	School of Social Sciences	800	266.96	1050	332.03	750	334.87
	4	School of Engineering, Technology & Computer Technology	1200	400.45	1400	442.7	1000	446.5
	5	School of Teacher Education	750	250.28	850	268.78	590	263.43

	6	School of Humanities and Liberal Arts	800	266.96	1050	332.03	750	334.87
	7	Classrooms (Common)	5000	1668.55	5000	1581.1	3000	1339.5
	8	Central Library along with Computer Centre/E-Resource Centre	2000	667.42	2000	632.44	2000	893
	9	Auditorium	1000	333.71	1000	316.22	1000	446.5
	10	Canteen/Cafeteria/Toilet Blocks/Misc.	750	250.28	750	237.16	500	223.25
		<b>Total</b>	15385	5134.1	16300	5154.36	11590	5174.92
	<b>No</b>	<b>Item</b>	<b>TIER 1</b>		<b>TIER 2</b>		<b>Hilly Areas</b>	
			<b>Area (SM)</b>	<b>Total Cost Per SM</b>	<b>Area (SM)</b>	<b>Total Cost Per SM</b>	<b>Area (SM)</b>	<b>Total Cost Per SM</b>
				<b>26096</b>		<b>24722</b>		<b>32581</b>
				Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
	<b>1</b>	Hostel	1400	365.34	1400	346.1	1000	325.81
		<b>Grand Total</b>	19385	5499.44	20300	5500.46	12590	5500.73

**Note 1:** These costs are illustrative; the grant is subject to a maximum of Rs 55 crores for each institution. The areas indicated for each item are also ideal and may vary as per IDP. Costs can be calculated accordingly. There is no need for any replication or duplication and hence each IDP must take into account the existing infrastructure and facilities (e.g. If the college already has a functional auditorium, it need not create another one, and instead propose an additional school)

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

**Note 3:** Equipment, fixtures and furniture are part of the estimate

**Note 4:** Staff -

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

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

Note 5: A detailed conversion plan must be submitted by the institution.

Note 6: Minimum size of a classroom should be 80 SM.

Note 7: States ensure that the university would create at least three schools (including the existing schools) with at least two inter-related/inter-disciplinary departments and one centre in each school.

Component 2	Creation of Universities by conversion of colleges in a cluster
<p><b>Summary</b></p> <p>Cluster universities aims essentially at addressing the critical gaps in the spatial distribution of higher educational institutions across the States. 35 new cluster universities would be created during the current Plan period with an average allocation of Rs.55 crore per university through the clustering of existing affiliated government and government-aided colleges. These universities will be created by pooling the resources of 3 to 5 existing colleges(2 to 3 colleges for NER States) that have adequate academic, physical and technical infrastructural facilities. All the participating colleges in a cluster should eventually become constituent colleges of the newly created university.</p> <p>Colleges identified as <i>Colleges with Potential for Excellence</i> or any other criteria which amply demonstrate the various quality parameters of an institution will be considered as the lead institution or a nucleus around which the cluster university would be established. Colleges joining the cluster must have the capacity to function as a university when coalesced. This would include, among other factors, the strength and experience of the administrative staff, the number of years that the individual colleges have been functioning, degree of autonomy they have enjoyed in the past, etc.</p> <p>The conversion plan for the creation of universities must include stage-wise planning with regard to expansion in infrastructure, number of students, schools and departments, administration, academic functions, research activities, etc. It must also cover the timelines and concrete steps that will be taken for the integration of all the concerned colleges as well as the expected end state of the new University.</p>	
<p>I. The requirements that need to be fulfilled by each of the participating colleges are listed below:</p> <p><b>I (a). Physical Infrastructure</b></p>	

- At least two of the participating colleges should have been in existence for 15 years.
- Should have an existing combined enrollment of 2000 students and the proposed total enrollment of students must be enough to sustain the institution as a university with a minimum enrolment requirement of 4000 students.
- As the university would be a multi-campus university, the physical proximity of the institutions should be such that they are able to share physical and human resources and would be able to facilitate student and faculty mobility (ideally within a maximum radius of 15-20 kms from the lead institution (to take into account the special condition of North East Region States).
- The State government should identify a nucleus college or ensure the availability of necessary land required for the university in and around the nucleus college to build university super-structure. The combined land availability should be at least 15 acres in mega cities, 20 acres in metro cities and 25 acres in rest of the country.

#### **I (b). Academic Quality**

- The new cluster university may be a combination of colleges with autonomous status/ College with Potential for Excellence status/Special Assistance received from reputed international or national funding agencies/ 'Centers of Excellence' as identified by State Governments/UGC, etc.
- All participating colleges should have NAAC accreditation, higher grades will be preferred. 'A' grade is desirable.
- Should have teaching programmes in undergraduate and postgraduate courses or have the demonstrated ability to undertake postgraduate programmes.
- Must have a few faculty members with excellent research performance through publications, undertaking research projects and guiding research students.
- Should have demonstrated high academic performance in inter-disciplinary teaching and research programmes.
- Should have a Student–teacher ratio (20:1)(combined based on sanctioned strength)
- The combined graduate and postgraduate departments proposed by the institutions must be able to lay the foundation for a multi-disciplinary institution (covering at least two or more of the humanities, arts, commerce, science, engineering or other faculties) of postgraduate studies and research. Hence, the colleges/institutions identified to be a part of the University should have appropriate diversity in teaching and research.

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

The participating colleges should have:

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

### **Equity and Inclusion**

- Reservation as per State norms
- 50% of hostel seats for socially and educationally backward classes
- Enhance the enrolment of girls, socially and educationally backward classes and minorities

## **II. Future Commitments**

The multi-campus cluster universities must meet the following pre-requisites within three months upon approval:

### **II(a). Physical Infrastructure**

- Commit to hostels for boys and girls.
- Special facilities/equipments for the disabled.
- Commit to provide adequate library and laboratory facilities.

### **II(b). Academic Quality**

- Agree to share existing facilities in partner colleges and undertake common ventures in promoting access, equity and quality of education.
- Agree to academic reforms(see section 4.8.12 of RUSA document)

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

- Agree to a shared vision and principles of association
- Address the affiliation issues of the existing universities in the State.
- Agree to certain principles of governance like equal status to participating institutions, collective decision-making, autonomy and accountability, independence and interdependence, physical proximity, optimal size, partnership of publicly funded institutions, etc.
- Agree to a Memorandum of Understanding which should clearly specify the nature and extent of relationship among partnering colleges and lay down the modalities for the functioning of the cluster.
- Agree to a governance structure which should ensure equal and adequate representation of partnering institutions for democratic decision-making and effective implementation of academic programmes, financial autonomy and social accountability(see section 4.8.9 of RUSA document).
- An appropriate governance structure for cluster universities shall be detailed by respective States through a new Act or amendments to the existing Act within a year from the date of establishment.

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

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



Financial Norms	No	Item	TIER 1 Cities		TIER 2 Cities		Hilly Areas	
			Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM
				33371		31622		44650
			Rs. In Lakh		Rs. In Lakh		Rs. In Lakh	
	1	Administrative Area & Common Facilities	2000	667.42	2000	632.44	1000	446.5
	2	School of Sciences	1085	362.07	1200	379.46	1000	446.5
	3	School of Social Sciences	800	266.96	1050	332.03	750	334.87
	4	School of Engineering, Technology & Computer Technology	1200	400.45	1400	442.7	1000	446.5
	5	School of Teacher Education	750	250.28	850	268.78	590	263.43
	6	School of Humanities and Liberal Arts	800	266.96	1050	332.03	750	334.87
	7	Classrooms (Common)	5000	1668.55	5000	1581.1	3000	1339.5
	8	Central Library along with Computer Centre/E-Resource Centre	2000	667.42	2000	632.44	2000	893
	9	Auditorium	1000	333.71	1000	316.22	1000	446.5
	10	Canteen/Cafeteria/Toilet Blocks/Misc.	750	250.28	750	237.16	500	223.25
		<b>Total</b>	15385	5134.1	16300	5154.36	11590	5174.92
	No	Item	TIER 1		TIER 2		Hilly Areas	
			Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM
				26096		24722		32581
			Rs. In Lakh		Rs. In Lakh		Rs. In Lakh	
	1	Hostel	1400	365.34	1400	346.1	1000	325.81
		<b>Grand Total</b>	19385	5499.44	20300	5500.46	12590	5500.73

**Note 1:** These costs are illustrative; the grant is subject to a maximum of Rs 55 crores for each institution.

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

**Note 3:** Equipment, fixtures and furniture are part of the estimate

**Note 4:** Staff -

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

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

**Note 5:** A detailed conversion plan must be submitted by the institution.

**Note 6:** Minimum size of a classroom should be 80 SM.

**Note 7:** States ensure that the university would create at least three schools (including the existing schools) with at least two inter-related/inter-disciplinary departments and one centre in each school.

<b>Component 3</b>	<b>Infrastructure Grants to Universities</b>
<p>Summary</p> <p>Infrastructure grants shall be utilized for meeting critical infrastructural needs that would lead to immediate quality gains such as upgrading of libraries, laboratories, equipments, hostels and toilets, etc. 150 public universities will be given a grant of Rs.20 crore each during the current Plan period. During the current year, universities eligible to receive catch-up grant the UGC will be covered.</p>	
<p><b>Funding Priorities:</b></p> <ul style="list-style-type: none"><li>• Universities will be prioritized for purposes of funding according to; (a) universities which have not been included under section 12B. These universities will be further prioritized on the basis of inter-se antiquity (year of establishment; (b) universities included under section 12B but have not received funding. First priority will be given to universities which have been identified by UGC to give catch-up grants.</li><li>• Within each of the above categories (a) and (b), those universities which</li></ul>	

have either already implemented or given the commitment to the earliest implementation of institutional governance reforms, examination reforms, academic reforms and vocationalisation of higher education will be given priority over other universities which have not implemented/given commitment to implement reforms.

- Priority will also be accorded to universities on the basis of their NAAC accreditation on the factors that have a direct impact on teaching-learning process. If the institution is not accredited, its status of application for accreditation will be considered.
- Priority to universities having special attributes, character and antiquity.
- Priority to universities having student-centric facilities.

#### Future Commitments

- Institutions shall agree to abide by a Disclosure Management Framework.
- Institutions should abide by the principle of mid-course assessment and evaluation.

#### Financial Norms

##### Creation of New Facilities

Items	Norms
Hostels (separate for boys and girls)	New Construction
Toilets (separate for boys and girls)	New Construction
Laboratory	New Construction

### Renovation/Upgradation of Existing Facilities

Items	Norms
Academic Buildings	Renovation/Upgradation of Existing Buildings
Administrative Buildings	Renovation/Upgradation of Existing Buildings
Campus development	Beautification, Amenities, Water Supply, Drainage, Water Harvesting, Alternate Energy Sources, etc.
Hostels	Renovation/Upgradation of Existing Buildings/Facilities
Toilets	Renovation/Upgradation of Existing Buildings/ Facilities
Library	Renovation/Upgradation of Existing Buildings/Facilities; Digitisation of Existing Resources/Automation
Classrooms	Renovation/Upgradation of Existing Buildings/Facilities; Technologically-enabled classrooms
Auditorium	Renovation/Upgradation of Existing Buildings/Facilities
Canteen/Cafeteria	Renovation/Upgradation of Existing Buildings/Facilities
Laboratory	Renovation/Upgradation of Existing Buildings; Repair Works
Computer Centre	Upscaling of Existing Network to Enable WiFi
Playground	Upgradation of Existing Facilities

### New Equipments/Facilities

Items	Norms
Sports facility	New equipments/facilities
Computers	New equipments
Books/Journals/	Purchase of new books/

E-Resources	Subscription of new journals
<p>Note 1: <i>The institution may choose from the components above for upgrading the existing facilities. Item costs would be restricted to those mentioned in Components 1 and 2 above.</i></p> <p>Note 2: <i>Repairs and maintenance cost shall not exceed 20% of total cost.</i></p> <p>Note 3: <i>Creation of New Facilities shall not exceed 35%, Renovation/ Upgradation of existing facilities shall not exceed 35% and purchase of new equipments, creation of new facilities shall not exceed 30% of the total cost of the project.</i></p> <p><b>Note 4:</b> <i>Each institution has the flexibility of choosing the appropriate items based on their need (supported by evidence) in order for them to convert into a fully functional university. The institutional plan will be appraised and evaluated at the State and Technical Support Group levels and objective decision will be taken to support reasonable and balanced plans.</i></p>	

<b>Component 4</b>	<b>New Model Colleges (General)</b>
<p><b>Summary</b></p> <p>Districts that are listed as Educationally Backward Districts under the existing 374 Model College Scheme and have not been supported so far would be considered for funding. 60 new model colleges will be sanctioned during the current Plan period.</p> <p><b>I. Funding Priorities:</b></p> <p>“Educationally Backward Districts” will be graded into category A &amp; B on the basis of following criteria; Category A districts will be will be given priority</p> <ul style="list-style-type: none"> <li>• District with 0 - 1 colleges – Category A</li> <li>• District with 2- 4 college – Category B</li> </ul> <p>Districts in Category A will be given priority over Category B. However, within Category B priority will be given on the following basis:</p> <ul style="list-style-type: none"> <li>• Low CPI (College Population Index, No of Colleges per 1,00,000 students of 18-23 age group).</li> <li>• High proportion of socially and economically backward population</li> </ul>	

- Low GER for female students.
- Low GER (SC/ST).

Proposals already received and pending with UGC/MHRD will be considered and approved first.

## II. Future Commitments

Colleges that will be established using RUSA grants would have to fulfil the following requirements:

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

Financial Norms	No	Item	TIER 1 Cities		TIER 2 Cities		Hilly Areas	
			Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM
				Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
				33371		31622		44650
				Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
	1	Administrative Buildings, Faculty rooms	800	266.96	800	252.97	525	234.41
	2	Laboratories	410	136.82	500	158.11	300	133.95
	3	Classrooms	810	270.3	870	275.11	730	325.94
	4	Library	350	116.79	400	126.48	300	133.95
	5	Computer Centre/E-campus	175	58.39	175	55.33	100	44.65
	6	Toilet Blocks separate for boys and girls	175	58.39	175	55.33	100	44.65
	7	Miscellaneous	95	31.7	95	30.04	50	22.32
		Total	2815	939.35	3015	953.37	2105	939.87
	No	Item	TIER 1 Cities		TIER 2 Cities		Hilly Areas	
			Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM

				<b>26096</b>		<b>24722</b>		<b>32581</b>
				Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
<b>1</b>	Hostel for 100 students separate for boys and girls on 60:40 ratio	1000	260.96	1000	247.22	800	260.64	
	<b>Grand Total</b>	3815	1200.31	4015	1200.59	2905	1200.51	

**Note 1:** These costs are illustrative; the grant is subject to a maximum of Rs 12 crores for each institution.

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

**Note 3:** Equipment, fixtures and furniture are part of the estimate

**Note 4:** Staff -

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

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

<b>Component 5</b>	<b>Upgradation of existing Degree Colleges to Model Degree Colleges</b>
<p>Summary</p> <p>Out of the 640 districts in the country, 288 districts would be covered under the New Model College Scheme. Funds will be provided for the upgradation of 54 colleges in the 12<sup>th</sup> plan period. Each college will be given Rs.4 crore for upgradation.</p>	
<p><b>I. Funding Priorities</b></p> <p>Priority will be given on the basis of College Population Index (CPI); districts with lower CPI will get preference. Amongst similarly placed districts, following criteria will be used to grade the districts in A, B and C categories:</p> <ul style="list-style-type: none"> <li>• High proportion of socially and economically backward population</li> <li>• Low GER for female students</li> </ul>	

- Low GER (SC/ST)
- Colleges will be further selected from the priority districts based on student population, antiquity, special attributes, etc.

## II. Future Commitments

Colleges must have to fulfill the following requirements:

- Hostels and toilets for girls.
- 50% capacity of the new hostels for socially and economically weaker sections
- Make the campus disabled-friendly.
- Ensure special facilities/equipments for the disabled.

### Financial Norms

#### Creation of New Facilities

Items	Norms
Administrative building and common facilities	New Construction
Seminar Room/Committee Rooms/	New Construction
Hostels (separate for boys and girls)	New Construction
Toilets (separate for boys and girls)	New Construction
Laboratory	New Construction
Library	New Construction
Computer Centre	New Construction
Academic Block(Classrooms)	New Construction
Common Room for Students	New Construction
Canteen/Cafeteria	New Construction

#### Renovation/Upgradation of Existing Facilities

Items	Norms
-------	-------



Academic Buildings	Renovation/Upgradation of Existing Buildings
Administrative Buildings	Renovation/Upgradation of Existing Buildings
Campus development	Beautification, Amenities, Water Supply, Drainage, Water Harvesting, Alternate Energy Sources, playgrounds, etc.
Hostels	Renovation/Upgradation of Existing Buildings/Facilities
Toilets	Renovation/Upgradation of Existing Buildings/ Facilities
Library	Renovation/Upgradation of Existing Buildings/Facilities; Digitisation of Existing Resources/Automation
Classrooms	Renovation/Upgradation of Existing Buildings/Facilities/Technologically enabled classrooms
Auditorium	Renovation/Upgradation of Existing Buildings/Facilities
Canteen/Cafeteria	Renovation/Upgradation of Existing Buildings/Facilities
Laboratory	Renovation/Upgradation of Existing Buildings; Repair Works
Computer Centre	Upscaling of Existing Network to Enable WiFi

#### New Equipments/Facilities

Items	Norms
Sports facility	New equipments/facilities
Computers	New equipments
Books/Journals/ E-Resources	Purchase of new books/ Subscription of new journals

**Note 1:** The institution may choose from components above. Item costs would be restricted to those mentioned in Component 4 above.

**Note 2:** Creation of New Facilities shall not exceed 35%, Renovation/ Upgradation of

existing facilities shall not exceed 35% and purchase of new equipments, creation of new facilities shall not exceed 30% of the total cost of the project.

<b>Component 6</b>	<b>New Colleges (Professional)</b>
<p>Summary</p> <p>Grants will be provided for establishing new professional colleges in each of the 22 states having below the national average GER in technical education. The number of colleges for each state will be based on the evaluation of the proposals submitted by the States. 40 new engineering colleges would be sanctioned in the 12<sup>th</sup> Plan period. States which are over-saturated in terms of institutional density and vacant seats will not be considered for grants.</p>	
<p><b>I. Funding Priorities</b></p> <p>Districts will be graded into category A and B on the basis of the following criteria:</p> <ul style="list-style-type: none"> <li>• District with 0 professional college – Category A</li> <li>• District with 1 professional college – Category B</li> </ul> <p>Districts in category A will be given priority over B; within category B, priority will be given to proposals that clearly spell out the areas where new professional colleges will be established. Proposals must also justify the location of the new proposed college keeping in mind the following factors:</p> <ul style="list-style-type: none"> <li>• Districts without colleges</li> <li>• High proportion of socially and economically backward population</li> <li>• Low GER for female students</li> <li>• Low GER (SC/ST)</li> <li>• Student Population</li> </ul> <p><b>II. Future Commitments</b></p>	

Colleges must have to fulfill the following requirements:

- Hostels and toilets for girls.
- 50% capacity of the new hostels for socially and economically weaker sections
- Make the campus disabled-friendly with ramps and tactile pathways.
- Ensure special facilities/equipments for the disabled

Financial Norms	No	Item	TIER 1 Cities		TIER 2 Cities		Hilly Areas	
			Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM
				33371		31622		44650
				Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
	1	Administrative Building and Common Facilities.	1200	400.45	1200	379.46	800	357.2
	2	Seminar Room	300	100.11	300	94.86	200	89.3
	3	Library	300	100.11	300	94.86	300	133.95
	4	Academic Block (classrooms etc)	1000	333.71	1000	316.22	1000	446.5
	5	Electronics Lab	300	100.11	350	110.67	200	89.3
	6	IT Lab Electrical	300	100.11	350	110.67	200	89.3
	7	CNC Lab	250	83.42	250	79.05	200	89.3
	8	Mechatronics Lab	300	100.11	350	110.67	200	89.3
	9	Chemical Lab	200	66.74	250	79.05	175	78.13
	10	Civil Lab	200	66.74	250	79.05	175	78.13
	11	Instrumentation Lab	300	100.11	350	110.67	200	89.3
	12	Workshop	250	83.42	250	79.05	250	111.62
	13	Computer Centre cum Cyber Café	700	233.59	700	221.35	400	178.6
	14	Conference Room	250	83.42	250	79.05	250	111.62
	15	Confidential Room	200	66.74	200	63.24	150	66.97
	16	Committee/Syndicate Room	300	100.11	300	94.86	150	66.97
	17	Common Room	150	50.05	150	47.43	150	66.97

		for students						
18	Toilet Block	200	66.74	220	69.56	150	66.97	
19	Cafeteria	90	30.03	100	28.45	50	22.32	
	Total	6790	2265.82	7120	2248.22	5200	2321.75	
<b>No</b>	<b>Item</b>	<b>TIER 1 Cities</b>		<b>TIER 2 Cities</b>		<b>Hilly Areas</b>		
		<b>Area (SM)</b>	<b>Total Cost Per SM</b>	<b>Area (SM)</b>	<b>Total Cost Per SM</b>	<b>Area (SM)</b>	<b>Total Cost Per SM</b>	
			<b>26096</b>		<b>24722</b>		<b>32581</b>	
			Rs. In Lakh		Rs. In Lakh		Rs. In Lakh	
<b>1</b>	Hostel	1280	334.02	1420	351.05	855	278.56	
	<b>Grand Total</b>	7690	2599.84	8140	2599.27	5750	2600.31	

**Note 1:** These costs are illustrative; the grant is subject to a maximum of Rs 26 crores for each institution.

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

**Note 3:** Equipment, fixtures and furniture are part of the estimate

**Note 4:** Staff -

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

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

<b>Component 7</b>	<b>Infrastructure Grants to Colleges</b>
<p>Summary</p> <p>Infrastructure grants can be utilized by the colleges to address critical needs in institutional infrastructure, especially for creating/upgrading laboratories, libraries, hostels, toilets etc. 3500 colleges will be given grant of Rs.2 crore each during the 12<sup>th</sup> Plan period.</p>	
<p><b>Funding Priorities</b></p> <ul style="list-style-type: none"> <li>Colleges will be prioritized for purposes of funding according to; (i) colleges which have not been included under section 12B. These colleges will be further prioritized on the basis of inter-se antiquity (year of establishment; (ii) colleges</li> </ul>	

included under section 12B but have not received funding.

Within the categories (i) and (ii) colleges will be divided into category A, B & C on the basis of following criteria:

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

Priority will be given to colleges on the basis of NAAC grade.

- If the institution is not accredited, its status while applying for accreditation will be considered.
- Colleges not covered by UGC grants will be preferred.

## Financial Norms

### Creation of New Facilities

Items	Norms
Hostels (separate for boys and girls)	New Construction
Toilets (separate for boys and girls)	New Construction
Laboratory	New Construction
Computer Centre	New Construction
Classrooms(including technologically enabled classrooms)	New Construction
Common Room for Students	New Construction
Canteen/Cafeteria	New Construction

### Renovation/Upgradation of Existing Facilities

Items	Norms
Academic Buildings	Renovation/Upgradation of Existing Buildings

Administrative Buildings	Renovation/Upgradation of Existing Buildings
Campus development	Beautification, Amenities, Water Supply, Drainage, Water Harvesting, Alternate Energy Sources, playgrounds, etc.
Hostels	Renovation/Upgradation of Existing Buildings/Facilities
Toilets	Renovation/Upgradation of Existing Buildings/ Facilities
Library	Renovation/Upgradation of Existing Buildings/Facilities; Digitisation of Existing Resources/Automation
Classrooms	Renovation/Upgradation of Existing Buildings/Facilities
Auditorium	Renovation/Upgradation of Existing Buildings/Facilities
Canteen/Cafeteria	Renovation/Upgradation of Existing Buildings/Facilities
Laboratory	Renovation/Upgradation of Existing Buildings; Repair Works
Computer Centre	Upscaling of Existing Network to Enable WiFi

#### New Equipments/Facilities

Items	Norms
Sports facility	New equipments/facilities
Computers	New equipments
Books/Journals/ E-Resources	Purchase of new books/ Subscription of new journals

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

Note 2: *Repairs and maintenance cost shall not exceed 10% of total cost*

Note 3 :Creation of New Facilities shall not exceed 35%, Renovation/ Upgradation of existing facilities shall not exceed 35% and purchase of new equipments, creation of new facilities shall not exceed 30% of the total cost of the project.

**Note 4:** Each institution has the flexibility of choosing the appropriate items based on their need (supported by evidence) in order for them to convert into a fully functional Model Degree College. The institutional plan will be appraised and evaluated at the State and Technical Support Group levels and objective decision will be taken to support reasonable and balanced plans

<b>Component 8</b>	<b>Research, Innovation and quality improvement</b>
<p><b>Summary</b>          During the current plan period, 10 States will receive funds under this component to facilitate research and innovations.</p>	
<p><b>Components to be funded (this list is only illustrative. All innovative schemes will be funded as per the decision of the PAB)</b></p> <ul style="list-style-type: none"> <li>• States that have either already implemented reforms or given the commitment to the earliest implementation of reforms that would facilitate research and innovation at institutional level.</li> <li>• Plans for providing facilities that support research hubs/parks etc.</li> <li>• Adoption of meta-university concept that offer cross university education and credit transfer facility to students</li> <li>• Procure high quality e-resources</li> <li>• Upgrade library and laboratory facilities</li> <li>• Facilities like incubation centers, innovation hubs, etc.</li> <li>• Initiatives to attract top-rated international faculty</li> <li>• Competitive compensation for faculty</li> <li>• Initiatives to attract high quality researchers and students</li> <li>• Institutions that offer merit-based scholarships, fully-funded doctoral fellowships, post-doctoral fellowships</li> <li>• Exposure visits for both faculty and students</li> <li>• Faculty and students exchange programmes with world-class institutions</li> <li>• Initiatives to scale up industry-academia partnership</li> </ul>	

- Promotion of inter-disciplinary and trans-disciplinary research centers
- Promotion of research and entrepreneurial activities
- Support for the setting up of science parks and cutting edge technology and instrumentation facility
- Support different types of research programs – Base Research, Key Technology (R&D), High end (R&D), etc.
- Develop a network of top quality University – Convergence model
- Outreach and public engagement facility
- Staff Excellence and organizational Stewardship
- Support in bifurcating undergraduate, postgraduate and research programmes
- Identify a few departments or fields of critical importance and move them into a position of world leadership while striving to prevent others from losing such stature.
- Special grants to faculty for conducting outstanding research.

**Financial Norms**

An amount of Rs. 120 crores would be given to each of the 10 States which meet the prerequisites. States will have to prepare a Research and Innovation Plan (RIP) with components. PAB will be at liberty to approve the plan in its entirety or restrict it to a few selected interventions. States can leverage this plan through CSR, PPP, industry participation, etc. Weights will be assigned wherever extra resources are promised in the RIP.

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

*Note 2: Buildings/construction should not exceed 10% of the sanctioned amount.*

*Note 3: Each institution has the flexibility of choosing the appropriate items based on their need (supported by evidence) in order for them to convert into a fully functional university. The institutional plan will be appraised and evaluated at the State and Technical Support Group levels and objective decision will be taken to support reasonable and balanced plans*



	<i>Note 4: States may decide the about unit of implementation. It can be either the State as a whole or a few select institutions.</i>
--	--

<b>Component 9</b>	<b>Equity Initiatives</b>
<p><b>Summary</b></p> <p>During the 12<sup>th</sup> Plan period, 20 States will receive funds under this component. All State universities and colleges will be eligible to receive grants for equity initiatives. Innovative approach/schemes to ensure greater inclusion will be considered on priority.</p>	
<p><b>Funding Priorities</b></p> <ul style="list-style-type: none"> <li>• Better participation rate of SC/ST/OBCs against specified percentages of reservations in institutions.</li> </ul> <p>The number of institutions that have/plan to create:</p> <ul style="list-style-type: none"> <li>• Equal opportunity cells</li> <li>• Remedial classes, language labs, etc.,</li> <li>• Financial aid and scholarships for socially and economically backward students</li> <li>• Equity and gender sensitization campaigns</li> <li>• Innovative schemes/programmes to enhance equity and inclusion</li> </ul>	
<b>Financial Norms</b>	Each State would be given an amount of Rs. 5 crores. States will be at liberty to design State-specific strategies. Even the unit of implementation can be either the State as a whole or a few select institutions.

<b>Component 10</b>	<b>Faculty Recruitment Support</b>
<p><b>Summary</b></p> <p>Support will be provided to fill positions in the category of Assistant Professor or equivalent cadre against vacancies. 5000 such positions would be supported during the current plan period. All the State universities will be eligible to receive grants under this programme. The recruitment process will have to adhere to UGC norms and regulations.</p>	
	<b>Funding Priorities:</b>

	<ul style="list-style-type: none"> <li>• Commitments of States to take over the liability of faculty positions at the end of the scheme(after 5-8 years, depending on the year in which such positions are sanctioned)</li> <li>• Priority will be given to those states where more recruitment has taken place in the universities and colleges during the last 3 years</li> <li>• Lowest number of unfilled faculty positions.</li> <li>• Better student-teacher ratio</li> <li>• Priority will be given to new institutions.</li> <li>• Second priority shall be given to those states which have a faculty-student ratio between 15:1 to 20:1.</li> <li>• States with more than 20:1 ratio will have to first commit to sanction and fill positions to bring down the faculty-student ratio to 20:1.</li> <li>• UGC regulations on minimum qualifications should be followed</li> </ul>
<b>Financial Norms</b>	Rs.5.8 lakh for each faculty position per year. This is a fixed amount and any excess over and above this amount due to higher scales, grade pay or DA increase has to be borne by the State government.

<b>Component 11</b>	<b>Faculty Improvement</b>
<p>Summary</p> <p>States will be given funds to develop faculty, improve academic and pedagogical skills of teachers, develop innovative strategies to enhance quality of teaching, research and innovation by teachers. States may select any of the existing training institution or even a university or Academic Staff College for this purpose.</p>	
<b>Financial Norms</b>	As per need. Rs. 10 crores will be given for each of the identified states.20 States will be supported in the current plan period.

<b>Component 12</b>	<b>Vocationalisation of Higher Education</b>
---------------------	--

## Summary

Funds for vocationalisation will be given to all the States/State universities.

### Funding Priorities

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

### Financial Norms

Rs. 15 crores would be given to each of the identified States.20 States will be supported in the current plan period. This will be used to support State Universities in the States.

### Component 13

### Leadership Development of Educational Administrators

#### Summary

This is a centrally administered program for professional development for the professional development of educational administrators/academic leaders/policy makers. This scheme will support leadership development programmes for department heads, deans, registrars, principals, vice-principals, vice-chancellors, pro

vice-chancellors, SHEC members, state project directors, commissioners, secretaries etc. Besides, capacity building initiatives will be provided to State-level policy makers and members of governing bodies at the institutional level.

**I. Funding Priorities**

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

**II. Future Commitments**

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

**Financial Norms**

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

**Component 14**

**Institutional Restructuring and Reforms**

Summary

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

**Funding Priorities**

<ul style="list-style-type: none"> <li>• Creation of SHEC</li> <li>• Creation of State Accreditation agencies.</li> <li>• States which have already undertaken sectoral, academic and governance reforms or have committed to undertake them as a part of their willingness to participate in RUSA.</li> </ul>	
<b>Financial Norms</b>	<p>Each State will be given Rs. 10 crore repeated in two installments. 20 States will be eligible to be covered during the 12<sup>th</sup> Plan period.</p> <p><b>Note:</b> States that have already established SHECs will have to give a detailed proposal detailing the funds required for strengthening the existing ones and the activities to be carried out in the next two years. Final decision on the amount to be sanctioned will be taken by the PAB on the basis of a differential funding method.</p> <p>The states can utilize these resources in organizing meetings, consultations, workshops, trainings, hiring consultants and other preparatory work to prepare the state for the reforms and for setting up/strengthening State Higher Educational Councils, State Resource Centers and State Project Directorate.</p>

<b>Component 15</b>	<b>Capacity Building and Preparation, Data Collection and Planning</b>
<p>Summary</p> <p>Funds will be given to States and Union Territories to</p> <ul style="list-style-type: none"> <li>• Undertake baseline surveys</li> <li>• Data collection and compilation.</li> <li>• Organise meetings, consultations, workshops, trainings</li> <li>• Hire consultants</li> <li>• Preparation of State perspective plans/strategy reports</li> </ul>	
<p><b>Utilization of Funds</b></p> <p>Funds will be given upfront to all the States which agree to participate in RUSA to undertake baseline surveys (to the extent of Central share).</p> <p>Baseline survey shall be able to identify critical gaps in higher education and which would help in undertaking capacity building exercises to prepare SHEPs through strategic thinking.</p>	

<b>Financial Norms</b>	Each State will be given a total amount of Rs.10 crore repeated in two installments.20 States will be supported during the current plan period.
------------------------	---

<b>Component 16</b>	<b>Management Information System</b>
<p>Summary</p> <p>Funds will be provided to create and maintain strong data systems at the State level for surveys and analysis that could provide information to the national MIS. The RUSA MIS and All India Survey on Higher Education (AISHE) will be integrated. Hence all the participating institutions/states will be mandated to participate in the AISHE and provide detailed information so that the data on State Universities and Colleges can be consolidated.</p>	
<p><b>Utilisation of Funds</b></p> <ul style="list-style-type: none"> <li>• The MIS shall be centrally designed, developed and implemented.</li> <li>• It shall cover all participating bodies and institutions.</li> <li>• A common tool shall be developed to generate standardized information that would help in monitoring progress of reforms, utilization of resources etc.</li> <li>• Universities and colleges shall be provided adequate infrastructural support to install the MIS and required training to the personnel for using the system.</li> </ul>	
<b>Financial Norms</b>	<ul style="list-style-type: none"> <li>• Each State would be given an amount of up to Rs. 2 crore for covering recurring expenditure/maintenance, etc.</li> <li>• Design and Development of MIS including State and institutional level modules will be done centrally.</li> <li>• Equipments would be procured centrally.</li> </ul>

--	--

<b>Component 17</b>	<b>Support to Polytechnics</b>
<p>Summary</p> <p>In consonance with the Planning Commission guidelines, the existing scheme regarding Sub-Mission on polytechnics will be merged with RUSA.</p>	
	<p><b>Funding Priorities</b></p> <ul style="list-style-type: none"> <li>• Setting up of new polytechnics</li> <li>• Strengthening of existing polytechnics</li> <li>• Construction of women’s hostels in polytechnics</li> <li>• Scheme of community development through polytechnics (CDTP) to provide non-formal, short-term, employment oriented skill development programmes through AICTE approved polytechnics.</li> </ul>
<b>Financial Norms</b>	<p><b><u>1. Setting up of New Polytechnics</u></b></p> <p>Financial assistance will be provided to States / UTs, limited to Rs.12.30 crore per institution to meet the costs of establishing a polytechnic in districts which do not have any government polytechnic and also under-served districts; subject to the respective State / UT Governments providing land free of cost, meeting 100% recurring expenditure and also non-recurring expenditure beyond Rs.12.30 crore.</p> <p><b><u>2. Strengthening of existing Polytechnics</u></b></p> <p>Financial assistance would be provided to upgrade infrastructural facilities of 500 existing diploma level public funded polytechnics by (i) providing financial assistance for modern equipments and replacement of obsolete equipments, (ii) providing modern facilities for application of IT in teaching, learning and testing processes and (iii) introduction of new diploma courses. The Scheme provides a maximum of Rs.2 crore per polytechnic.</p>

	<p><b>3. <u>Construction of Women’s Hostels in Polytechnics</u></b></p> <p>One time financial assistance, subject to a maximum of Rs.1crore for each polytechnic, to be provided to 500 existing AICTE approved government / government aided Polytechnics.</p> <p><b>4.<u>Scheme of Community Development through Polytechnics(CDTP)</u></b></p> <p>Annual recurring grants-in-aid upto a maximum of Rs 17 lakh and a one-time non-recurring grants-in-aid of Rs 20 lakh (Rs.13 lakh for old Community Polytechnics) would be provided to the select AICTE approved Diploma Level Institutions.</p>
--	--

<b>Component 18</b>	<b>Management Monitoring Evaluation and Research (MMER)</b>
<p><b>Summary</b></p> <p>This scheme is envisaged to provide support to resource centres and support groups for the effective implementation of various programmes under RUSA.</p>	
<p><b>Key Feature</b></p> <p>All States which qualify for funding under RUSA by meeting the pre-requisites would be eligible for MMER funds.</p>	
<b>Financial Norms</b>	<ul style="list-style-type: none"> <li>• 1% of the total outlay of RUSA for the States will be given to the States as MMER funds for meeting the expenditure on creation and maintenance of Technical Support Group (TSG) at the State level.</li> <li>• All administrative expenses including that on preparation of annual accounts and audit will be charged to the MMER funds.</li> <li>• An initial amount of Rs. 2-4 crores will be given to those States that are eligible to participate in RUSA as per the fund equalisation formula</li> <li>• The balance amount will be decided on the basis of the final outlay decided for each State and will be released annually.</li> </ul>



## **10. Guiding Principles**

RUSA is structured on the following guiding principles which are inviolable. These tenets constitute the foundational premise for funding and all the decisions taken under the scheme must be guided by them.

- Performance-based outlays and outcome-based reimbursements
- Incentivizing and disincentivising
- Apolitical decision-making
- Disclosure based governance
- Autonomy
- Equity-based development
- Quality and research focus

(see section 4.7 of RUSA document for more details)

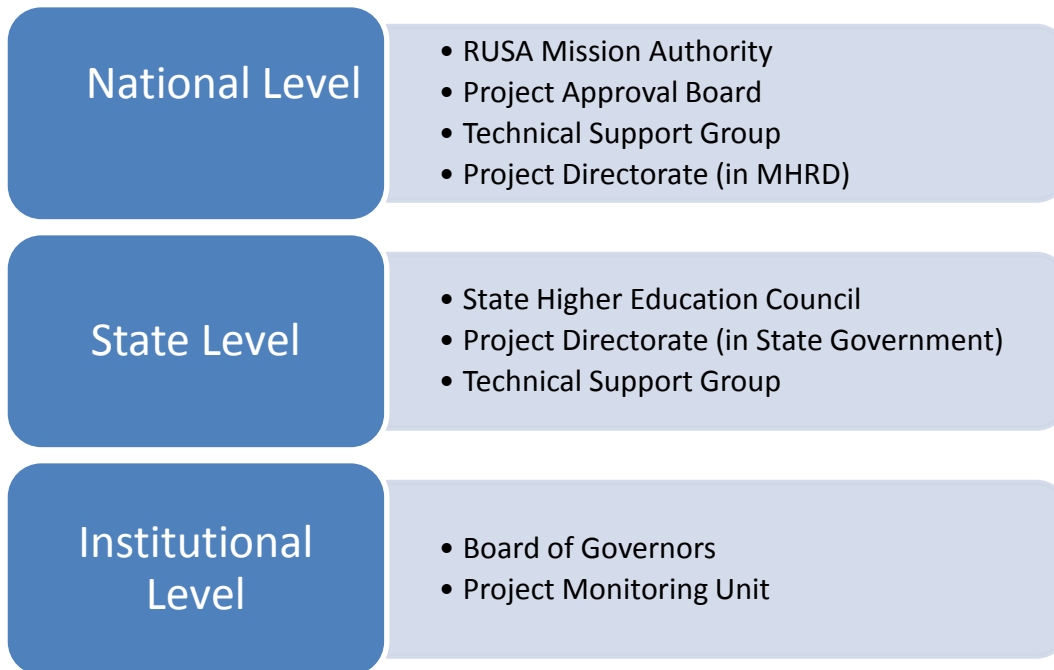
## **11. Timeline**

The beginning of the financial year (1st of April) would be the commencement date of the State Annual Plans. Year 2013-14 is very crucial in this respect. Since RUSA contemplates a holistic and comprehensive planning exercise, and exhorts States to prepare perspective plans, the balance time left in this year should be utilized by States to prepare them and submit to RUSA Mission Authority for appraisal and approval. Since institution building is not an overnight exercise, it is expected that SHEP should reflect the entire futuristic strategy of States. Sanction of Annual Plan therefore should be construed a mere formality due to time constraints. Hence, the budget needs to be approved and communicated at all levels before this date. This implies that it needs to be sent for approval and consented at all levels of authority before 1st of April. The success of budgeting exercise would be dependent on adherence to time schedules. Delays in submissions and approvals would delay the finalization of the SHEPs. The tabular representation of the time schedule is placed at Annexure IV.

## **12. Implementation Modalities at the Central, State and Institutional levels**

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

## Institutional Structure for RUSA



(see chapter 5 of the RUSA document for the detailed composition and functions of these bodies).

### 13. Funding Strategy

#### 13.1. Norm-based Funding

- Central funding under RUSA would be strategic, based on SHEPs.
- Funding under RUSA would necessarily have to be expended in the higher education sector in the State – and would not substitute State funding, since the state government would also have to necessarily increase its annual investment by a fixed percentage.
- Central funding is linked to certain sectoral academic and governance reforms.
- Institutions would also be encouraged to raise their own funds through various legitimate means.

- The overall norm-based funding schema should apply filters at the primary, secondary and tertiary levels to determine the eligibility of institutions to receive funding. The template for schema is available in the RUSA document.
- The norms, which would determine the eligibility of institutions to receive funding, would also grade the institutions based on their level of compliance to regulations to determine the quantum of funding. Institutions will be given an objective score against these norms and it will decide the quantum of funds they will be eligible for.

### **13.2. Performance-based funding**

- SHEPs serve as the benchmark against which the performance of a State and its institutions are graded.
- The funding for the future would be decided on the basis of level of **past** achievements.

### **13.3 Competitive funding**

- Better performing States can also compete for additional resources.

## **14. Resource Allocation**

The Ministry of Human Resource Development is the nodal agency administering the RUSA program. It receives the budget targets of participating States, reviews/analyzes them and then gives approvals and makes disbursements. The entire process runs through a two-way mechanism:

- “Budgetary Demands” emanating from Institutions to State governments and SHECs. States prepare the SHEP and pose it to RUSA Mission Authority.
- “Budgetary Approvals/ Allocations” conveyed from the MHRD to the State Councils/State governments and in turn to the institutions
- The overall allocation will be made on the basis of a Fund Equalisation Formula placed at Annexure V.

- An additional weightage has been assigned to ensure enhanced allocation of resources to States with weak socio-economic and health indicators.
- Socio-demographic variables like rural/urban distribution; proportion of SC/ST and vulnerable groups; districts with adverse education indicators; difficult, most difficult and inaccessible areas, left wing affected districts, etc. would be considered on priority while allocating resources to the districts, subject to overall norms and programmatic norms. The Project Directorate headed by the Mission Director will be responsible for implementation and monitoring of RUSA and communication of resources allocated to states.

#### **Resource Allocation Pattern**

<b>States</b>	<b>Center: State Contribution</b>
Assam, Manipur, Meghalaya, Arunachal Pradesh, Nagaland, Mizoram, Tripura, Jammu & Kashmir, Sikkim, Himachal Pradesh and Uttarakhand	90:10
Other States and UTs	65:35

#### **14.1. Demand for additional funds**

After the finalization of the SHEP, the states may place a demand for additional funds for various components of RUSA to the Mission Director in the Ministry. After review and feedback from the concerned program divisions, the Ministry may approve or disapprove the request. In case of an approval, a letter/corrigendum shall be issued to the State notifying the revised approved

amount. In case the demand for additional funds is not approved, the states may submit the proposal for consideration the following year.

#### **14.2. Resource Envelope**

The resources allocated to a particular State for any given financial year is termed as the “Resource Envelope”. The resource envelope for a financial year would consist of:

- Unspent Balance.
- GoI Allocation proposed for the year.
- State’s share due for the year.
- Interest accrued in RUSA account.

Central share will be communicated and allocated for the eligible components.

#### **15. Approval Process and Flow of Funds**

The Project Approval Board (PAB) at the MHRD would undertake a detailed review of the SHEPs submitted by the states. It will also assess the performance of the State and look at the targets that have been set. The SHEP will then be approved by the PAB and funds will be released to the States accordingly.

The States must prepare a SHEP-12<sup>th</sup> plan, keeping in mind that 4 years annual plans (including current year) must be aggregated. The second PAB meeting would in-principle accord approval to the SHEP so as to enable States to plan in advance for the rest of plan years.

### **15.1. Key Sources of Funds and Financial Outlays**

- Grants-in-aid-made by or through the MHRD in quarterly tranches every year: 40% on sanction of plan by PAB and balance in three equal instalments subject to submission of utilization of earlier release, both from center and state by concerned SHEC.
- Centre-State funding in the ratio of ratio of 90:10 in the North Eastern states, Sikkim, J&K Himachal Pradesh &Uttarakhand, and 65:35 for other states and UTs.
- The State contribution made by the State Government will be booked as expenditure in the State Budget at the time of its release to the SHEC/Institutions
- The States would have to ensure availability of sufficient land for new construction activities free of cost. The cost of land acquisition, if any cannot be made a part of the total outlays.
- For reporting, the same may be reflected on line through the Public Financial Management System (PFMS) portal of the Controller General of Accounts CGA and submission of a separate Utilization Certificate of the total amount utilized along with unspent balance, if any, at the end of the financial year as per GFR.

### **15.2. Fund Flow from MHRD to States**

- After the approval of the respective state plan by the PAB, the Project Directorate, with concurrence of the IFD, MHRD will carry out sanctions on the PFMS portal of the Controller General of Accounts (CGA). After this, funds are transferred online to the states/ UTs.
- The States should contribute their share along with central share to the dedicated RUSA account of the SHEC within 15 days of receipt of the central

share. Delay in disbursement of the funds (including central and state share) to the dedicated RUSA account of SHEC will attract penal interest @ 1.5% .

- The funds with the SHEC/Institutions do not lapse at the close of financial year. SHEC/Institutions are empowered to utilize the unspent balance during the next financial year for the same purpose for which the funds were allocated. The amount shall however be taken into account while releasing grants-in-aids for the next year. Also, the amount remaining unutilized at the close of the program shall either be refunded or utilized in a manner as decided by the Government of India.

### **Fund Flow from State to Institutions (Universities and Colleges)**

- SHEC should transfer the funds to the dedicated RUSA account of institutions within 15 days of the receipt of the combined pool of funds from state government.
- Non-compliance of release of funds from SHEC to Institutions as per the approved plan will further affect allocation of grants in the future.
- The releases made to institutions should be as per the approved Institutional Development Plans and after adjusting unspent balances from the previous year.

### **Monitoring of Fund Flow**

The transfer should take place through the Public Financial Management System (PFMS) portal also to ensure the following:

- Track the flow of Funds
- Online information of bank balance
- Track the utilization of money
- Ultimate e-payment to the beneficiary
- Dissemination of relevant information to the end users



- Decision Support System for all levels of program heads
- Enhance transparency and accountability in public expenditure

## **16. Banking Arrangements**

To facilitate transfer of funds, proper banking arrangements at all levels is crucial. The SHECs and beneficiary institutions should open a dedicated RUSA account in a scheduled commercial bank, preferably a Nationalised bank. The account details will be mapped on PFMS portal of CGA to facilitate on line fund transfer and monitoring purpose. Any subsequent change in account may be done only with prior concurrence of the RUSA Mission Directorate.

### **16.1 Operating the RUSA Account**

The following points should be taken into account while operating the RUSA Account:

- The SHEC account shall be utilized for crediting funds received from the GoI/state under RUSA and transferring funds to beneficiary institutions. The SHEC will also incur administrative expenditure as permissible and as approved by the PAB out of this account.
- Cheque/Digital signing mandate shall be given to the bank as per extant guidelines of MoF and in line with delegation of powers issued by Ministry and/or State Government.
- Only one bank account at the institutional level would be permitted so as to discourage scattered maintenance of RUSA funds as this would lead to weak financial management and poor internal controls. No funds other than GoI releases and State's contribution should be kept in the RUSA bank Account.
- The Bank accounts registered on PFMS can be changed only with prior permission of GoI.

- No funds shall be kept in the form of a Fixed Deposit or any other investments of any nature other than the savings bank account. Moreover, savings accounts should be simple savings bank accounts and not smart savings bank accounts.

### **16.2 Signatories to the Bank Account**

A set of two designated signatories at State level and two designated signatories at Institutional level should be notified. Both of them should jointly sign cheques/ issue electronic instruction for e-banking to operate all bank accounts.

### **16.3 Preparation of Annual Accounts and Audit of accounts**

SHEC will prepare its Annual Accounts in the format given by the Ministry, i.e. MHRD. The accounts will be audited annually by an independent Chartered Accountant appointed by the SHEC. The audited annual accounts will be submitted by the SHEC to the Mission Directorate.

## **17. Detailed component-wise allocations for target achievement**

Detailed component-wise allocations and physical targets for the 12<sup>th</sup> Plan is placed at Annexure VI.

## **18. Flow of information**

Since RUSA's basic principle is norm-based funding, its backbone is the availability of timely, relevant and up-to-date information on the basis of which norm-based and performance appraisal decisions can be taken. The Information collected on a State-wise basis would be sent to the RUSA National Implementation Agency. At this level, the information will be used to ascertain eligibility of the institutions for further funding for the next financial period.

The role of universities and State higher education councils in this process are as follows:

**a. University**

- The basic units for the collection of information are universities. They shall collect necessary information from affiliated and constituted colleges.
- Information will be collected through the Management Information System.
- All universities and colleges will have to upload data and information to RUSA portal as well as AISHE portal.

**b. State Higher Education Council (SHEC)**

- The SHEC will collate the information collected by the universities.

The responsibility of timely and accurate data collection and maintenance of the MIS systems is one of the major responsibilities of the SHEC. This information would have three-fold use:

1. Assess the performance of every university on an yearly basis, in terms of the norms set by RUSA
2. Assess the performance of universities against specific grants or project based funding
3. Formulation of the five/ten year state education Plans on the basis of the current performance and possible future growth

**19. Management Information System (MIS)**

The first step towards implementation of RUSA would be the installation of a new Management Information System to capture the required data in a timely fashion. A common tool would be developed to get standardized information that would help in the calculation of norms. Universities and colleges will be provided

adequate infrastructural support to install the MIS and the required training to the personnel for using the system.

## **20. Monitoring and Evaluation**

- The primary responsibility of monitoring will lie with States/SHECs. Each State will have to create a Project Directorate and a TSG. SHECs would be required to oversee the functioning of Project Directorate and TSG.
- The management structure at the institutional level, i.e., the Board of Governors (BoG) will monitor the progress of institutional projects on a regular basis and shall provide guidance for improving the performance of the institutions in project implementation.
- Each institution will have to form a Project Monitoring Unit with appropriate representation from academic officials of the institution, faculty, senior administrative officers, technical and non-technical support staff and students. The Unit, headed by the Head of the Institution, will be responsible for the monitoring of the project at the institutional level.

The Project Monitoring Unit will perform the following roles:

1. Procurement of goods, works and services
2. Financial management and performance audit.
3. Implementation of faculty and staff development programs
4. Periodically update the MIS.

- State governments shall regularly monitor and evaluate the progress of institutions.
- The Project Appraisal Board (PAB) at the national level in MHRD will review the project annually.
- Monitoring will be based on action plans prepared by each project institution and achievements made with respect to a set of norms, which are defined in the Institutional Development Plans. It will focus on implementation of reforms by institutions, achievements in project activities under different components, procurement of resources and services, utilization of financial allocations and achievements in faculty and staff development and management development activities.**will there be a Central PMU or this function?**

## **21. Information Regarding State-level Functionaries**

If the State agrees to participate in RUSA, it shall provide information regarding the State-level functionaries in the format placed at Annexure VII.

# Annexure 1

## MHRD Letter addressed to States

R.P Sisodia  
Joint Secretary (Higher Education) &  
Mission Director, RashtriyaUchcharShikshaAbhiyan

Dear

As you would be aware, on 3<sup>rd</sup> October, 2013, the Cabinet approved the new Centrally Sponsored Scheme of RashtriyaUchcharShikshaAbhiyan (RUSA) for implementation in the 12<sup>th</sup> Plan.

2. RUSA is not merely a new funding mechanism to support institutions in the State higher education system but also the prime vehicle for implementing a comprehensive reform agenda at both the institutional and State levels. The quantum of funding and further support under RUSA would be dependent upon the commitment to this reform process and the efficacy with which it is implemented.

3. The focus in the current year will be on preparatory work such as capacity building & preparation, data collection & planning, training, ongoing programmes like Model Degree Colleges etc. Work of substantial nature would be taken up from the second year onwards. With only a few months left in the current year, it is critical that that we commence these activities right away so that available resources are optimally and efficiently utilised and the Plan of Action for next year is ready.

4. In order to kick start the process, the states and Union Territories would be required to communicate to the RUSA Mission Authority its willingness to participate in RUSA by committing to undertake the *a-priori* prerequisites and other reform activities. It is therefore requested that the enclosed undertaking may be signed and the accompanying checklist completed and returned for us to take further action in the matter. The undertaking may be signed by an officer not below the rank of Secretary to State/UT Government.

5. Guidelines on RUSA for helping States and institutions conduct various activities under the Scheme are under preparation and will be circulated shortly.

6. The undertaking along with the filled in check-list may be submitted by 31.10.2013. If it is not received by this date, it will be presumed that the concerned State/UT is not keen to avail of the grants available under RUSA and further action will be taken accordingly.

With

Encl: As above

Yours sincerely,  
-sd-  
(R.P Sisodia)

To,

All Chief Secretaries (except States of Mizoram, Madhya Pradesh, Chhatisgarh, Delhi and Rajasthan)

Copy to:

All Principal Secretaries, Higher Education (except States of Mizoram, Madhya Pradesh, Chhatisgarh, Delhi and Rajasthan)

## UNDERTAKING

The Government of..... (mention State or Union Territory here) hereby conveys its willingness to participate in the RashtriyaUchcharShikshaAbhiyan (RUSA) and commits to fulfil all the prerequisites under the Scheme. The Government of..... further commits to accept and abide by all decisions of the RUSA Mission Authority and the Project Approval Board.

Dated:

Place:

(Signature with official seal)

Name:

Designation:

## CHECKLIST

1. Name of State/Union Territory:
2. (a) Whether a State Higher Education Council exists:
  - (b) If so by what name and what is its composition and role?
  - (c) If not, by when does it commit to set up one?  
(Please enclose a copy of the order constituting the Council)
3. Whether it commits to prepare a State Higher Education Plan (Perspective, annual & budget plans) and submit them for consideration of the Project Approval Board?
4. (a) What is the expenditure on higher education as a percentage of Gross State Domestic Product (GSDP) in the last three years (2012-13, 2011-12 and 2010-11)?
  - (b) Whether it commits to raising its expenditure on higher education as a percentage of the GSDP as required under the Scheme?
5. Whether it commits to contribute its share of funds under the Scheme and adhere to the timelines for fund release?  
(10% for NER, J&K, Himachal Pradesh and Uttarakhand and 35% for other States & UTs)
6. (a) Whether there is a ban on recruitment and filling up faculty positions in state public universities and public and public aided colleges?
  - (b) If so whether orders for removing the ban have been issued? If so please attach copy of the Government order.
7. Whether it commits to carry out accreditation reforms, affiliation and examination reforms, governance and administrative reforms at State and institutional level including institutional governance reforms?  
(as per enclosed document)
8. Whether it commits to ensure compliance of institutions to the prerequisites and other reforms?

(Signature with official seal)

Name:

Designation:



## Annexure II

### Format of Institutional Development Plan

#### Institutional Plan Template

#### Sample Template for Institutional Plan

#### 1. INSTITUTIONAL BASIC INFORMATION

##### 1.1 Institutional Identity:

- Name of the Institution : \_\_\_\_\_
- Is the Institution approved by regulatory body? : Yes/No
- Furnish approval no. :
- Type of Institution : Govt.funded/Govt.aided/Private unaided/Autonomous/Other
- Status of Institution : Autonomous Institute as declared by University/Non-autonomous/Deemed University/Constituent Institution
- Name of Head of Institution and Project Nodal Officers

Head and Nodal Officer	Name	Phone	Mobile	Fax	E- mail
Head of the Institution					
RUSA Institutional coordinator					
Nodal Officers for:					
Academic Activities					
Civil Works including Environment Management					
Procurement					
Financial aspects					
Equity Assurance Plan					

##### 1.2 Academic Information:

- UG/PG/PhD programs offered in Academic year 200X- XX

S. No	Title of programs	Level (UG, PG, PhD)	Duration (Years)	Year of starting	sanctioned annual intake	Total student strength
-------	-------------------	---------------------	------------------	------------------	--------------------------	------------------------


- Whether Institution is Accredited?

- Grade.....
- When.....

- **Accreditation Status of UG programs:**

Title of UG programs being offered	Whether eligible for accreditation or not ?	Whether accredited as on 31st March 20XX?	Whether "Applied for" as on 31st March 20XX?

- **Accreditation Status of PG programs:**

Title of PG programs being offered	Whether eligible for accreditation or not ?	Whether accredited as on 31st March 20XX?	Whether "Applied for" as on 31st March 20XX?

**1.3 FacultyStatus(Regular/On- ContractFacultyasonMarch31<sup>st</sup>,20XX)**

FacultyRank	No.ofsanctionedRegular	PresentStatus: NumberinPositionbyHighestQualification												TotalNumberofregularfacultyinPosition	TotalVacancies	TotalNumberofcontractfacultyinPosition
		DoctoralDegree				MastersDegree				BachelorDegree						
		Engineering		Other		Engineering		Other		Engineering		Other				
		R	C	R	C	R	C	R	C	R	C	R	C			
														15=	16=	17=
1	2	3	4	5	6	7	8	9	10	11	12	13	14	(3+5+7+9+11+13)	(2- 15)	(4+6+8+10)
Prof																
AssoProf																
AsstProf																
<b>Total</b>																

Prof=Professor,AssoProf=AssociateProfessor,AsstProf=AssistantProfessor,R=Regular,C=Contract

**1.4 Baseline Data(alldatagivenforthefollowingparametersto ALLdisciplines)**

S. No	Parameters	
1	Totalstrengthofstudentsinallprogramsandallyearsofstudyintheyear20XX-1X	
2	Totalwomenstudentsinall programsandallyearsofstudy intheyear20XX-1X	
3	TotalSCstudentsinall programsandallyearsofstudy intheyear 20XX-1X	
4	TotalSTstudentsinall programsandallyearsofstudy intheyear 20XX-1X	
5	TotalOBCstudentsinall programsandallyearsofstudy intheyear20XX-1X	
6	NumberoffullyfunctionalP-4andabovelevelcomputersavailableforstudentsintheyear 20XX-1X	
7	Total numberoftextbooksandreferencebooksavailableinlibraryforUGandPG	
	Student-teacher ratio	
8	%ofUGstudentsplacedthroughcampusinterviewsintheyear20XX-1X	
9	%of PGstudentsplacedthroughcampus interviewsintheyear20XX-1X	
10	%ofhighqualityundergraduates(>75%marks)passedoutintheyear20XX-1X	
11	%ofhighqualitypostgraduates(>75%marks)passedoutintheyear20XX-1X	
12	NumberofresearchpublicationsinIndianrefereedjournalsintheyear20XX-1X	
13	NumberofresearchpublicationsinInternational refereedjournalsintheyear20XX-1X	
14	Numberofpatentsobtainedintheyear20XX-1X	
15	Numberofpatentsfiledintheyear20XX-1X	
16	Numberofsponsoredresearchprojectscompletedintheyear20XX-1X	
17	The transitionrateofstudentsinpercentagefrom1 <sup>st</sup> yearto2 <sup>nd</sup> year intheyear 20XX-1Xfor:  (i) allstudents	
18	IRGfromstudents'feeandotherchargesin theyear20XX-1X(Rs.inlakh)	
19	IRG fromexternally fundedR&Dprojects,consultanciesintheyear20XX-1X(Rs.inlakh)	
20	TotalIRGintheyear20XX-1X(Rs.inlakh)	

21	Total annual recurring expenditure of the institution in the year 20XX-1X (Rs. in lakh)	
----	---	--

1. Executive Summary of the IDP.
2. Provide the details of SWOT analysis carried out (in terms of methodology used, analysis and information and data as collected and inferences derived with respect to strengths, weaknesses, opportunities and threats).
  - Based on SWOT analysis, provide the “strategic plan” developed for institutional development.
  - How the key activities proposed in the Institutional Development Proposal are linked with the results of SWOT Analysis.
3. State the specific objectives and expected results of your proposal (in terms of, “Institutional strengthening and improvements in employability and learning outcomes of graduates”. These objective and results should be linked to the SWOT analysis.
4. Provide an action plan for: (max 1 page each)
  - a) Improving employability of graduates
  - b) Increased learning outcomes of the students
  - c) Obtaining autonomous institution status within 2 years
  - d) Achieving the target of 60% of the eligible UG and PG programs accredited within two years of joining the Project and 100% accreditation obtained and applied for by the end of the Project of the eligible UG and PG programs
  - e) Implementation of academic and non-academic reforms (details given in RUSA Document)
  - f) Improving interaction with industry
  - g) Enhancement of research and consultancy activities
5. Provide an action plan for organizing a Finishing School and for improving the academic performance of SC/ST/OBC/academically weak students through innovative methods, such as remedial and skill development classes for increasing the transition rate and pass rate with the objective of improving their employability.
6. Provide an action plan for strengthening of PG programs and starting of new PG programs.

7.

Attach a summary of Training Needs Analysis carried out. Also, provide Faculty Development Plan for the first 18 months for improving their teaching, subject area and research competence based on Training Needs Analysis in the following areas.

- Basic and advanced pedagogy
- Subject/domain knowledge enhancement
- Attendance in activities such as workshops, seminars
- Improvement in faculty qualifications
- Improving research capabilities

8. Provide an action plan for training technical and other staff in functional areas.

9. Describe the relevance and coherence of Institutional Development Proposal with State's/National (in case of CFIs) Industrial/Economic Development Plan.

10. Describe briefly the participation of departments/faculty in the IDP preparation.

11.

Describe the Institutional project implementation arrangements with participation of faculty and staff.

**Institutional Project Budget (this is meant for existing institutions)**

(Rs. in Crore)

S. No	Activities	Project Life	Financial year				
			2012-13	2013-14	2014-15	2015-16	2016-17
1	Infrastructure						
	1. Modernization and strengthening of laboratories						
	2. Establishment of new laboratories for existing UG and PG programs and for new PG programs						
	3. Modernization of classrooms*						
	4. Updation of Learning Resources						
	5. Procurement of furniture						
	6. Establishment/Upgradation of Central and Departmental Computer Centers*						
	7. Modernization/improvements of supporting departments*						

	8. Modernization and strengthening of libraries and increasing access to knowledge resources						
	9. Refurbishment (Minor Civil Works)*						
2	Research and development support						
	Providing Teaching and Research Assistantshipsto increase enrolment in existing and new PG programmes in Engineering disciplines						
	Provision of resources for research support						
	Enhancement of R&D and institutional consultancy activities						
3	Faculty Development Support						
	Faculty and Staff Development (including faculty qualification upgradation, pedagogical training, and organising/participation of faculty in workshops, seminars and conferences) for improved competence based on TNA						
4	Institutional reforms						
	Technical assistance for procurement						
	Institutional management capacity enhancement						
5	Academics support						
	Creation of new departments/courses						
	Enhanced Interaction with Industry						
	Student support activities						
6	Others						
<b>TOTAL</b>							

2.13 Provide the targets against the deliverables as listed below

Indicator	Weightage	Present Rating	Present Score	Target Rating	Target Score
<b>GOVERNANCE QUALITY INDEX - 16%</b>					
% of Faculty Positions vacant	2.0%				
% of Non-permanent faculty	4.0%				
% of Non-teaching staff to teaching Staff	3.0%				
Total no of under graduation programs	1.0%				
Total no of post graduate programs	1.0%				
Total no of doctoral programs	1.0%				
Faculty appointment - turn around/cycle	2.0%				

time in months					
Delay in payment of monthly salary payment of faculty	2.0%				
<b>ACADEMIC EXCELLENCE INDEX - 21.5%</b>					
Delay in exam conduction and declaration of results	3.5%				
Plagiarism Check	1.0%				
Accreditation	4.0%				
Teacher Student ratio	4.0%				
% of Visiting professors	1.0%				
% of graduates employed by convocation	0.5%				
% Number of students receiving awards at National and International level	0.5%				
% of expenditure on Library, cyber library and laboratories per year	1.0%				
Ratio of expenditure on teaching staff salaries to non-teaching staff salaries	1.0%				
% of faculty covered under pedagogical training	1.0%				
% of faculty involved in "further education"	0.5%				
Dropout rate	1.5%				
No of foreign collaborations	1.5%				
Subscription to INFLIBNET	0.5%				
<b>EQUITY INITIATIVE INDEX - 12.5%</b>					
SC Student%	3.0%				
ST Student%	3.0%				
Gender Parity	3.0%				
Urban to Rural Student population	2.0%				



Existence of CASH	0.5%				
Existence of Social Protection Cell	0.5%				
Language assistance programs for weak students	0.5%				
<b>REASERCH AND INNOVATION INDEX - 24%</b>					
Per-faculty publications	2.0%				
Cumulative Impact Factor of publication	3.0%				
H Index of scholars	2.0%				
% of staff involved as principal researcher	1.0%				
% of research projects fully or more than 50% funded by external agencies, industries etc	2.0%				
Total no of patents granted	1.0%				
% of faculty receiving national/international awards	1.0%				
% of research income	1.0%				
Doctoral degrees awarded per academic staff	1.0%				
% doctoral degrees in total number of degrees awarded	3.0%				
% expenditure on research and related facilities	1.0%				
Digitization of Masters and Doctoral thesis	0.5%				
UPE/CPE	3.5%				
% of Income generated from non-grant sources	2.0%				
<b>STUDENT FACILITIES - 15%</b>					
No of new professional development programs	1.0%				
Existence of Placement Cells and	1.0%				

Placement Policy					
% of expenditure on infrastructure maintenance and addition	3.0%				
Availability of hostel per out-station female student	3.0%				
Availability of hostel per out-station male student	2.0%				
% of students on scholarship	2.0%				
Average scholarship amount per student	1.0%				
Student Experience Surveys	1.0%				
Graduate Destination Surveys	1.0%				
<b>Infrastructure and Others - 11%</b>					
%Income generated from training courses	1.0%				
% Income generated from consulting	1.0%				
Infrastructural sufficiency	3.0%				
Computer coverage	3.0%				
Internet connectivity of Campus	3.0%				
	100.0%				

### Project Targets for Institutions

#### 2.14 Output and Outcome Targets

Outcome	Output	Indicator	Unit	2014-15	2015-16	2016-17
Higher GER	Enrolments	Number	crores			
	Vocationalisation	Greater pool of trained manpower	Number in lakhs			
Better employability	Relevant courses	Greater proportion of choice based credit subjects	%			
		Enrolment in job oriented courses	Lakhs			
	Inter disciplinary and cross disciplinary learnings	New courses/ programmes giving students a range of options to choose subjects	%			
	Better monitoring of student career progression	Results of student experience surveys and graduate destination surveys	% of graduating students at institutional level			
Quality gains	Faculty (ratio)	Improved Student Teacher Ratio	Ratio			
	Per student space classroom	Sqft per student	Sqft per student			
	Per student space laboratory	Sqft per student	Sqft per student			

#### 2.15 Give an action plan for ensuring that the project activities would be sustained after the end of the Project.

## Evaluation of Institutional Development Proposals (IDP)

S.No	Evaluation Parameters	Marks		
I	<b>Institutional Preparedness and Implementation Feasibility</b>			
	A	Clarity of institutional basic information including baseline data	5	
	B	Overall proposal implementation feasibility		
		1	Clarity in the identification of general development objectives, related specific objectives, their expected results, and its coherence with SWOT analysis	5
		2	Have the key activities been identified clearly and adequately for each specific-objective	5
	3	Adequacy of the Institutional Project Implementation arrangements	5	
	C	Quality of SWOT analysis		
		1	Appropriateness for the procedure adopted for the conduct of SWOT analysis and adequacy of participation of stakeholders	5
	2	Clarity in the identification of strengths, weaknesses, opportunities and	5	
	D	Coherence of proposal with State's/regional development plan	5	
	E	Reasonability of proposed budget	5	
	<b>Sub- total (I)</b>		<b>40</b>	
	II	<b>Clarity and Quality of the Action Plans for:</b>		
		F	Scaling-up research and innovation	
1			quality of action plan for quantitatively increasing and qualitatively	5
2		quality of action plan to transfer technology and for commercialization of R&D (the innovation agenda)	5	
G		Scaling-up PhD enrolment through existing and new programmes	10	
H		Scaling-up enrolment into UG/Masters programmes in existing and	10	
I		research collaborative activities with Institution at National and International level		
		1	identification of options to improve and increase research collaborations at National and International levels	5
2		clarity in identification of expected quality enhancement in Masters and doctoral programmes and faculty research	5	
J		Potential impact and depth of proposed Industry collaboration	5	
K		Faculty development including pedagogical training to:		
		1	Develop faculty/technical staff in subject domain	5
2		Improve pedagogical skills of faculty for better student learning	5	
L		Identification of weak students and for improvement in their learning outcomes	5	
<b>Sub- total (II)</b>		<b>60</b>		
<b>TOTAL (I+II)</b>		<b>100</b>		

# Annexure III

## Format of State Higher Education Plan

### Annexure 1 : State Plan Template

#### Table of Contents

<b>Executive Summary</b> .....	
<b>Chapter 1: Introduction</b> .....	
a...Mission.....	
b...Vision .....	
c...Goals .....	
<b>Chapter 2: Background</b> .....	
d...Demographic Profile of the State.....	
e...Higher Education Profile.....	
f...Private sector plan .....	
g...SWOT Analysis .....	
h...Academic Information.....	
<b>Chapter 3: Analysis of past performance</b> .....	
i....Summary .....	
j....Detailed Analysis .....	
<b>Chapter 4: Preparation of the State Plan</b> .....	
k...Methodology .....	
l....Stakeholder Consultation .....	
<b>Chapter 5: Five-year Perspective Plan</b> .....	
<b>Chapter 6: Snapshot of the Annual Plan</b> .....	
m...Priority Areas.....	
n...Strategy.....	
Sources of funds.....	
Major targets and financial outlays.....	
Prerequisites: Essential commitments from the State .....	
Current level and targets for the next year.....	
<b>Chapter 7: Detailed Plan</b> .....	
o...Overview of the major initiatives .....	
p...Private sector participation .....	
q...Detailed component-wise allocations .....	
<b>Chapter 8: University-wise plans and financial impact</b> .....	
r...Outlays for all universities and colleges .....	
University wise break up .....	
College wise break up .....	
s...Detailed Allocations for Universities .....	
<b>Annexures</b> .....	
Annexure I: State Baseline .....	
Annexure 2: Evaluation of State Development Proposal.....	

## **Executive Summary**

A summary of the contents of the State Plan must be presented. The Executive summary can cover the part performance, vision, key initiatives, main challenges faced etc.

DRAFT

## **Chapter 1: Introduction**

### **Mission**

A mission statement is fundamental to strategic planning. It is an assertion of an institution's raison d'être, or purpose, and should clearly define its ideals as well as the services it offers to various stakeholders. It informs an institution's financial planning, budgeting, staffing and academic programming. One aspect of a mission statement relates to students, in terms of both institutional commitments and expectations.

The mission statement should be a general statement of values, aims and goals of the institution. An effective mission statement will be clear, precise and transparent about commitments, long-term goals and values. It usually includes a commitment to high standards and levels of performance, discussion of the context of the institutional environment, recognition of institutional obligations to the community, the nation and the world, and commitment to its students. A mission statement ordinarily consists of two parts:

- a high-level preamble that encapsulates the gist of the institutional mission; and
- a narrative portion that lists the particularities and elaborates on the implications of the mission statement in practical terms.

### **Vision**

An effective vision statement is vital to a strategic planning process. A vision statement describes what an institution aspires to become in the future and the values it enshrines. It captures in detail what things could be like at the institution if it were functioning effectively and focuses on the contribution the institution will make to society. In the long run, a successful strategic plan must be premised on institutional values, such as:

- Academic freedom;
- Institutional autonomy;
- High quality;
- Equal access; and
- Non-discrimination (by race, ethnic affiliation, religion and gender)

### **Goals**

Institutional goals help translate the institutional vision and mission into action. Goals should state clearly the conditions for institutional effectiveness, and the norms and expectations of students and staff. They should present a broad statement of the aims of the institution. . The goals must consist of clear statements based on objective criteria and capture the main targets that the institution has set for itself.

## **Chapter 2: Background**

### **Demographic Profile of the State**

Population

Rural-Urban spread

### **Higher Education Profile**

GER across categories, across state

Qualitative comparison between various areas of the State

Private sector plan

### **SWOT Analysis**

Key hurdles such as low access due to low income, large tribal population etc

Key strengths such as existence of strong education hubs, industry clusters etc

### **Academic Information**

<b>Type</b>	<b>No of Universities</b>
Central University	
State University	
Private University	
Other degree awarding institution declared by University	
Deemed University	
Other	
Total	

<b>Type</b>	<b>No of Colleges</b>
Government funded	
Government aided	
Private unaided	
Autonomous	
Other	
Total	

<b>Type</b>	<b>No of Colleges</b>
Autonomous colleges	



Affiliated colleges	
Constituent colleges	
Other	
Total	

**Accreditation of Universities**

Agency	Status	Score Range	No of Institutions
Not accredited	Not accredited	-	
NAAC	Accredited and revalidated after 2007	A	
		B	
		C	
		D	
	Accredited but not revalidated after 2007	A	
		B	
		C	
		D	
State Accreditation Authority	Accredited	A	
		B	
		C	
		D	

**Accreditation of Colleges**

Agency	Status	Score Range	No of Institutions
Not accredited	Not accredited	-	
NAAC	Accredited and revalidated after 2007	A	
		B	
		C	
		D	
	Accredited but not revalidated after 2007	A	
		B	
		C	
		D	
State Accreditation Authority	Accredited	A	
		B	
		C	
		D	

**Faculty Status(Regular/On- ContractFacultyasonMarch31<sup>st</sup>,20XX)**

	No.of Sancti	PresentStatus: NumberinPositionbyHi ghestQualification			Tot a	Tot ally	Total N
		DoctoralDegree	MastersDegree	BachelorDegree			

FacultyRank		Engineering		Other		Engineering		Other		Engineering		Other				
		R	C	R	C	R	C	R	C	R	C	R	C			
		3	4	5	6	7	8	9	10	11	12	13	14			
														15=	16=	17=
1	2	3	4	5	6	7	8	9	10	11	12	13	14	(3+5+7+9+11+13)	(2- 15)	(4+6+8+10)
Prof																
AssistantProf																
AssociateProf																
<b>Total</b>																

R=Regular,C=Contract

DRAFT

### **Chapter 3: Analysis of past performance**

#### **Summary**

Summary of the performance of the past year against the major targets set and the major reasons for non-performance

#### **Detailed Analysis**

- Performance against specific goals – details on a state wise basis
- Analysis of the expenditure made against the allocations, committed unspent and uncommitted unspent balances
- Any particular Universities that need to be mentioned for above or below average performance
- Reasons for non-performance
- Affiliation reform progress with data on the number of affiliating universities and number of affiliated colleges for every university
- New strategies adopted for improving equity, access and excellence – any new and innovative practices adopted by the State

## **Chapter 4: Preparation of the State Plan**

### **Methodology**

The steps used for development of the Plan

### **Stakeholder Consultation**

Which were the stakeholders that were consulted for the process of developing the Plan and what were their major contributions?

DRAFT

## **Chapter 5: Five-year Perspective Plan**

Provide the five-year perspective plan. The five-year plan must contain:

- Current scores on norms, scores set for the current year (in the five year plan) and the target scores for the end of five-year plan
- Revisions in the targets that the SHEC deems necessary
- State's assessment of its progress against the five-year plan targets
- Course corrections and major strategies adopted to achieve the plan targets

DRAFT

## **Chapter 6: Snapshot of the Annual Plan**

This section would provide the summary of the State Higher Education Plan; it would capture the main goals and the financial outlay.

### **Priority Areas**

The State identifies 6-7 priority areas that it needs to work on. These areas as well as the justifications must be mentioned.

### **Strategy**

The Strategy section must mention out the thrust areas of the coming year, highlight the key initiatives the States will undertake to tackle weak areas in the State and what the State hopes to achieve from these initiatives.

### **Sources of funds**

<b>Source</b>	<b>Funds expected</b>
1. RashtriyaUchchaShikshaAbhiyan	
2. Grants from State Higher Education Department	
3. Grants from other State departments	
4. Grants from Central Departments	
5. Raised from private sector, institutions, foundations and organizations	
6. Resources raised by higher education institutions from internal sources like student fees, examination fees etc	
<b>Total</b>	

### **Major targets and financial outlays**

<b>Component</b>	<b>Number/target</b>	<b>FinancialOutlay</b>
New Universities		
Up gradation of existing autonomous colleges to Universities		
Conversion of colleges to Cluster Universities		
Infrastructure grants to Universities		
New Model Colleges (General)		

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

**Total**

### Outcome and Output Targets

Outcome	Output	Indicator	Unit	2014-15	2015-16	2016-17
Greater investment in higher education	Increase in resource allocation at State Level	Increase in investment as a% of GSDP	%			
	Increase in resource allocation at State Level	Increase in investment as a% of GSDP	%			
Higher GER	Number of HEIs	Creation of new Universities	Number			
		Creation of new Colleges	Number			
		Upgradation of colleges	Number			

		to Universities				
		Upgradation of Colleges	Number			
	Enrolments	Number	crores			
	GER	Higher GER	%			
Better transition	Increased number of students from secondary to higher education	Increased number	lakhs			
		Higher percentage	%			
Better employability	Vocationalisation	Greater pool of trained manpower	Number in lakhs			
	Polytechnics	New polytechnics	Number			
		Upgradation of polytechnics	Number			
Better equity	SC	Increased GER for these categories	%			
	ST		%			
	Women		%			
Quality Gains	Faculty (ratio)	Improved Student Teacher Ratio	Ratio			
	Academic reforms	CBCS	% of institutions covered			
		Semester system	% of institutions covered			
	Autonomy	Autonomous colleges to universities	Number of institutions covered			
		Colleges to Cluster university	Number of institutions covered			
	Accreditation	More institutions of higher quality	% of institutions covered			
Better research	PhDs	Increase in number	Number of PhDs per			



yields		produced	year			
	M Phils	Increase in number produced	Number of M.Phils per year			
	Investment	Percentage of GSDP spent on R&D	%			

**Prerequisites: Essential commitments from the State**

S. No.	Item	State's Commitment (Yes/No)
1.	<b>Does the State agree to:</b> Set specific targets and policy goals for higher education and agree about size and share	
2.	Share the project cost of the Government funded and aided institutions with MHRD in the applicable ratio (10:90, 35:65)	
3.	Scale up to and maintain prescribed levels of funding to higher education as a % of State Gross Domestic Product	
4.	Create the State Higher Education Council according to the suggestion made under RUSA	
5.	Create a State Accreditation Agency	
6.	Establish "State Project Directorate" (SPD) located in State Directorate of Higher Education / the department responsible for Higher Education with adequate staff and maintain the staffing with stability?	
7.	Fill up vacant faculty positions	
8.	Implement all the affiliation reforms mentioned under RUSA	
9.	Implement all the sectoral governance reforms mentioned under RUSA	
10.	Create and submit the State Higher Education Plan according to prescribed guidelines	
11.	Implement the Project according to the Project Implementation Plan	
12.	Ensure implementation of both academic and non-academic reforms by all institutions	
13.	Discontinue funding to any state beyond the second year of the Project, if the state fails neglects project Implementation	
14.	Adopt a Block Grant pattern for fund release of at least the non-salary non-Plan component of grants to the project institutions	
15.	Comply with the Disclosure Management Framework	

**Current level and targets for the next year**

S No.	Indicator	Weightage	Present Rating	Target Rating	Present Score	Target Score
<b>1.</b>	<b>Governance Index - 17%</b>					
1.1.	% of Universities with more than 100 affiliated colleges	6.0%				
1.2.	% of autonomous of colleges out of total colleges covered under RUSA	3.0%				
1.3.	Ratio of teaching to non-teaching staff in State Higher Education	3.0%				
1.4.	Delay in exam conduction and declaration of results (in %)	3.5%				
1.5.	% of institutions with a functional website	1.5%				
<b>2.</b>	<b>Access Index - 21.5</b>					
2.1.	GER of the State	4.5%				
2.2.	Rural Institutional density of the State	4.0%				
2.3.	Urban Institutional density of the State	4.0%				
2.4.	Median capacity intake of Universities	2.0%				
2.5.	Median capacity intake of Colleges	2.0%				
2.6.	% of students in private universities or colleges as a % of students in state/central institutions	2.0%				
2.7.	Scholarships provided by state as a % of total expenditure on Higher education	3.0%				

<b>3.</b>	<b>Equity Index - 22.5%</b>					
3.1.	SC GER	4.5%				
3.2.	ST GER	4.5%				
3.3.	GER for Females	4.5%				
3.4.	% of districts below GER National average	3.0%				
3.5.	% of students from rural backgrounds (define rural) in the higher education system	3.0%				
3.6.	% of institutions "differently-abled friendly"	1.5%				
3.7.	Existence of Equal Opportunities Commission	1.5%				
<b>4.</b>	<b>Quality Index - 25%</b>					
4.1.	Student teacher ratio across the State	6.0%				
4.2.	% of institutions accredited by NAAC/State Accreditation Authority	4.0%				
4.3.	Average rating of Universities	3.5%				
4.4.	Average rating of Colleges	3.5%				
4.5.	% of active teachers that are non-permanent	3.0%				
4.6.	Per institution foreign collaboration	2.0%				
4.7.	Capacity at PG level as a % of undergraduate capacity	3.0%				
<b>5.</b>	<b>Research and Innovation index - 14%</b>					
5.1.	Capacity at doctoral level as % of undergraduate capacity	4.5%				
5.2.	Average number of publications	4.5%				

	by State Universities					
5.3.	Citation Impact	3.0%				
5.4.	Median patents granted for State universities	2.0%				
	<b>Total Score</b>	<b>100.0%</b>				

DRAFT

## **Chapter 7: Detailed Plan**

Based on SWOT analysis provide the “strategic plan” developed for the State Plan and how the key activities proposed in the State Plan are linked with the results of SWOT Analysis. The Plan must cover the strategies that the State has for improvement in

### **Overview of the major initiatives**

This section must address how the State plans to improve access, equity and excellence in the coming year. Whether there are any thrust areas geographically etc.

- Governance
- Access
- Equity
- Quality
- Research

### **Private sector participation**

Plan for including the private sector in planned higher education expansion and raising resources from the private sector

### **Detailed component-wise allocations**

<b>Component</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>
	<b>Target</b>	<b>Target</b>	<b>Target</b>	<b>Target</b>	<b>Target</b>
New Universities					
Up gradation of existing autonomous colleges to Universities					
Conversion of colleges to Cluster Universities					
Infrastructure grants to Universities					
New Model Colleges (General)					
Upgradation of existing degree colleges to model colleges					

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

## **Chapter 8: University-wise plans and financial impact**

### ***Outlays for all universities and colleges***

#### **University wise break up**

<b>Name of University</b>	<b>Planned Outlay</b>	<b>Current Score</b>	<b>Target Score</b>
University 1			
University 2			
University 3			
University 4			

#### **College wise break up**

<b>Name of College</b>	<b>Planned Outlay</b>	<b>Current Score</b>	<b>Target Score</b>
College 1			
College 2			
College 3			
College 4			

#### **Detailed Allocations for Universities**

##### **University 1**

1. 1 Short note on the performance over the last year against norms (not exceeding 200 words)
- 1.2 Short note on the strategy for the coming year (not exceeding 200 words)
- 1.3 Major Norms – Current and target for coming year

<b>Norm</b>	<b>Current</b>	<b>Target</b>
Governance Quality Index		
Academic Excellence Index		
Equity Initiative Index		

Research and Innovation Index		
Student Facilities Index		
Infrastructure and others Index		

#### 1.4 Components-wise outlay

Component	Target
Expansion of Institution	
Research and innovation focus	
Infrastructural upgradation of existing institutions	
Establishing Management Information System	
Faculty support – recruitment and capacity building	
Administrative reforms	
Academic reforms	
Affiliation reforms	



## Annexures

### Annexure I: State Baseline

Head and Nodal Officer	Name	Phone	Mobile number	Fax number	Email address
State (Full time appointee)					

### State Baselines

S. No	Parameters			
1	Enrollment and GER of the State			
A	Male	Female	Total	
B	Male SC	Female SC	Total SC	
C	Male ST/DT&ONT	Female ST/DT&ONT	Total ST/DT&ONT	
D	Male OBC	Female OBC	Total OBC	
E	Male (General)	Female (General)	Total (General)	
F	Male (Urban)	Female (Urban)	Total (Urban)	
G	Male (Rural)	Female (Rural)	Total (Rural)	
2	Degrees Awarded			
		Awarded in 2012	Number that originally enrolled in first year of the program	Ratio of degree awarded to enrolled
	3 year Undergraduate degrees			Auto-calculate
	4 year Undergraduate degrees			Auto-calculate
	5 year integrated Masters			Auto-calculate
	2 year masters			Auto-calculate
3	Total number of PhD degrees			
	Enrolled annually (i.)	Awarded annually (ii.)		
		Total		
4	Number of research publications in Indian refereed journals in the year 20XX- 1X			

5	Number of research publications in International refereed journals in the year 20XX- 1X		
6	Number of patents obtained in the year 20XX- 1X		
7	Number of sponsored research projects completed in the year 20XX- 1X		
8	IRG from students' fee and other charges in the year 20XX- 1X (Rs. In lakh)		
9	IRG from externally funded R&D projects, consultancies in the year 20XX- 1X (Rs. in lakh)		
10	Total IRG in the year 20XX- 1X (Rs. in lakhs)		
11	Total Number of autonomous colleges in the State in year 20XX-IX		
12	Total nos. colleges granted autonomy in year 20XX-IX	Total nos. of autonomy withdrawn in year 20XX-IX	
13	Total nos. colleges created in year 20XX-IX	Total nos. of colleges closed down in year 20XX-IX	
14	<b>Institutional Density (per 1000 sq. km)</b>		
	Institutions (Urban)	Institutions (Rural)	Institutions (Total)
15	New Institutions created (Urban)	New Institutions created	New Institutions created (Total)
		(Rural)	
16	Total financial contribution of private sector in Higher Education as a % of total higher education expenditure		
17	<b>Expenditure detail</b>		
	State Expenditure on higher education as a % of GSDP		
	Expenditure on research, development and related activities as % of Total Higher Education Expenditure		
	Expenditure on capital creation as % of Total Higher Education Expenditure		
	Expenditure on salary of teaching staff as % of Total Higher Education Expenditure		
	Expenditure on salary of non-teaching staff as % of Total Higher Education Expenditure		

## Annexure 2: Evaluation of State Development Proposal

(to be filled by the RUSA Resource Centre)

No	EvaluationParameters		Marks
I	<b>InstitutionalPreparednessandImplementationFeasibility</b>		
	A	Clarityof State basicinformation including baseline data	5
	B	Overallproposal implementation feasibility	

	1	Clarity in the identification of general development objectives, related specific objectives, their expected results, and its coherence with SWOT	5
	2	Have the key activities been identified clearly and adequately for each specific-objective	5
	3	Adequacy of the State Project Implementation arrangements	5
<b>C</b>	Quality of SWOT analysis		
	1	Appropriateness for the procedure adopted for the conduct of SWOT	5
	2	Clarity in the identification of strengths, weaknesses, opportunities and Threats	5
<b>D</b>	Coherence of proposal with National development plan		5
<b>E</b>	Reasonability of proposed budget		5
<b>Sub-total (I)</b>			<b>40</b>
<b>II</b>	<b>Clarity and Quality of the Action Plans for:</b>		
<b>F</b>	Scaling-up research and innovation		
	1	Quality of action plan for quantitatively increasing and qualitatively	5
	2	Quality of action plan to transfer technology and for commercialization of R&D (the innovation agenda)	5
<b>G</b>	Scaling-up PhD enrolment through existing and new programs 10		
<b>H</b>	Scaling-up enrolment into UG/Masters programs in existing and new programmes 10		
<b>I</b>	Research collaborative activities with Institution at National and International level		
	1	Identification of options to improve and increase research collaborations at national and international levels	5
	2	Clarity in identification of expected quality enhancement in Masters and doctoral programs and faculty research	5
<b>J</b>	Potential impact and depth of proposed Industry collaboration (to be incorporated in the baseline)		5
<b>K</b>	Faculty development		
	1	Pedagogical training	2.5
	2	Professional development programs	2.5
<b>L</b>	Identification of weak students and for improvement in their learning outcomes		5
	Gender and Disability to be incorporated in the state plan (Equity)		5
<b>Sub-total (II)</b>			<b>60</b>
<b>TOTAL (I+II)</b>			<b>100</b>

**Annexure IV**  
**Detailed Timelines**

Sl. No	Milestone	Timelines
1.	Submission of checklist and undertaking	31 <sup>st</sup> October, 2013
2.	Approval of preparatory activities and ongoing schemes of the eligible States	6 <sup>th</sup> November 2013
3.	Submission of revised checklists (if deficient)	12 <sup>th</sup> November, 2013
4.	Preparation of Institutional Plans by Institutions	20 <sup>th</sup> December, 2013
5.	Submission of Institutional Plans to SHEC	30 <sup>th</sup> December, 2013
6.	Preparation of SHEPs by States	15 <sup>th</sup> January, 2014
7.	Receiving SHEP in MHRD	18 <sup>th</sup> January, 2014
8.	Pre-appraisal meetings (and re-submission, if any)	30 <sup>th</sup> January, 2014
9.	Finalisation and communication of SHEP by States	15 <sup>th</sup> February, 2014
10.	Evaluation and appraisal by TSG	15 <sup>th</sup> to 30 <sup>th</sup> February, 2014
11.	Approval by PAB	28 <sup>th</sup> February, 2014
12.	Communication of Approved Plan and Allocation to States	15 <sup>th</sup> March, 2014
13.	Release of First Installment by NPD	15 <sup>th</sup> April, 2014
14.	Release of States' Share	30 <sup>th</sup> April, 2014

**Annexure V**  
**Fund Equalisation Formula**

Sl. No.	Criteria	Weights
1	Population (Age Group: 18-23) (Criteria reflecting Equal Per Capita Transfers)	+40
2	Per Capita Income (Criteria Reflecting Fiscal Deficiency)	-10

3	Gross Enrolment Ratio (Criteria Reflecting Shortfall in Enrolment)	-10
4	Performance	
	A. Improvement in GER (over 5 Years) (2006-07 to 2011-12)	
	A.1 GER- All categories	+10
	A.2 GER- SCs	+5
	A.3 GER- STs	+5
	A.4 Gender Parity Index (Over 5 Years) (2006-07 to 2011-12)	
	A.4.1 GPI- All Categories	+10
	A.4.2 GPI- SCs	+5
	A.4.3 GPI- STs	+5
	B. Expenditure on Higher Education	
	B.1 Per Capita Expenditure	+10
	B.2 Expenditure as % of NSDP (1)	+10
	C. College - Population Index	-5
	D. Institutional Density	-5
	E. Teacher - Student Ratio	-5
	F. Research Output	+10
5	Special Problems	+25
	<b>TOTAL</b>	<b>100</b>

*(+) Positive means – higher value – larger entitlement*

*(-) Negative means – higher value – lower entitlement*

*Research output will be determined by indicators such as number of research paper published in National & International Journals, number of M.Phil., Ph.Ds. guided, number of collaborative research projects, patents generated citation impact*

DRAFT

## Annexure VI

### Component-wise Allocations and Physical Targets for the 12<sup>th</sup> Plan

	Component	Unit cost (Rs Crores)	No of Universities/ Colleges/ States/Units	Outlay (Rs. Crores)
1.	Creation of Universities by way of upgradation of existing autonomous colleges	55	45	2475
2.	Creation of Universities by conversion of colleges in a cluster	55	35	1925
3.	Infrastructure grants to Universities	20	150	3000
4.	New Model Colleges (General)	12	60	720
5.	Upgradation of existing degree colleges to model colleges	4	54	216
6.	New Colleges (Professional & Technical)	26	40	1040
7.	Infrastructure grants to colleges	2	3500	7000
8.	Research, innovation and quality improvement	120	10	1200
9.	Equity initiatives	5	20	100
10.	Faculty Recruitment Support	0.58	5000	2900
11.	Faculty improvements	10	20	200
12.	Vocationalisation of Higher Education	15	20	300
13.	Leadership Development of Educational Administrators	5	20	100
14.	Institutional restructuring & reforms	20	20	400
15.	Capacity building & preparation, Data collection & planning	10	20	200
16.	Management Information System	10	20	200
17.	<b>Sub Total</b>			<b>21976</b>
18.	4% Management, Monitoring, Evaluation & Research			879

19.	<b>Total</b>			<b>22855</b>
20.	<b>Central Share</b>			<b>16227</b>
21.	State Share			6628

DRAFT



## Annexure VII

### Information on key State Functionaries

Designation	Name	Email Address	Phone Number	Postal Address
State Project Director				
Nodal Information Officer (State)				
Head, TSG (State)				

DRAFT