सत्यमेव जयते

Department of Higher Education
Ministry of Human Resource Development

RUSA 2.0 Guidelines

Index

CHAPTER 1 INTRODUCTION TO RUSA 4

Introduction 4
Background 4
Approval Process of RUSA (2012-till date) 5
Salient Features of RUSA 6
Guiding Principles of RUSA 8
Objectives of RUSA 10
Scope of RUSA 12
Funding Strategy 12
Institutional Structure of RUSA 12
National level bodies 12
State Level Bodies 13
Institution Level Arrangements 13
Financial Outlay of the Scheme 13
MoU between MHRD and State Governments 14
RUSA 2.0 Targets 14

CHAPTER 2 STRUCTURE OF RUSA 16

CENTRAL LEVEL STRUCTURE 16
STATE LEVEL STRUCTURE 18
INSTITUTIONAL LEVEL STRUCTURE 24

CHAPTER 3 PROCESS FLOW UNDER RUSA 26

Prerequisites of RUSA 26
Approval by National Mission Authority for the inclusion of the States 27
Submission of SHEP 28
Appraisal of SHEP by TSG 29
Approval of Plans by the PAB 29
Disbursement of funds to the States 30

CHAPTER 4 GENERAL NORMS UNDER RUSA 32

CHAPTER 5 COMPONENTS UNDER RUSA 35

COMPONENT 1: CREATION OF UNIVERSITIES BY UPGRADATION OF EXISTING AUTONOMOUS COLLEGE 36

COMPONENT 2: CREATION OF UNIVERSITIES BY CONVERSION OF COLLEGES IN A CLUSTER 48

COMPONENT 3: INFRASTRUCTURE GRANTS TO UNIVERSITIES 59

COMPONENT 4: QUALITY AND EXCELLENCE IN SELECT STATE UNIVERSITIES (NEW) . 66

COMPONENT 5: NEW MODEL DEGREE COLLEGES 72

COMPONENT 6: UPGRADATION OF EXISTING DEGREE COLLEGES TO MODEL DEGREE COLLEGES 79

COMPONENT 7: NEW COLLEGES (PROFESSIONAL) 84

COMPONENT 8 ENHANCING QUALITY AND EXCELLENCE IN SELECT AUTONOMOUS COLLEGES 91

COMPONENT 9: INFRASTRUCTURE GRANTS TO COLLEGES 96

COMPONENT 10: RESEARCH, INNOVATION & QUALITY IMPROVEMENT 102

COMPONENT 11: EQUITY INITIATIVES 108

COMPONENT 12: FACULTY RECRUITMENT SUPPORT 111

COMPONENT 13: FACULTY IMPROVEMENT 115

COMPONENT 14: INSTITUTIONAL RESTRUCTURING, CAPACITY BUILDING AND REFORMS . 119

CHAPTER 6 STATE HIGHER EDUCATION PLAN 120

MEMORANDUM OF UNDERSTANDING 144

Chapter 1 Introduction to RUSA

Introduction

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

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

In lieu of above, a new overarching Centrally Sponsored Scheme for funding State Level Institutions was proposed called Rashtriya Ucchatar Shiksha Abhiyan (RUSA). It is an umbrella scheme to be operated in mission mode till March 2020, which seeks to mainly improve overall quality of existing State higher educational institutions. The scheme is implemented through a set of bodies with clearly defined roles and functions at the National, State and Institutional level.

Background

In a country with diverse higher education space, centrally funded institutions receive generous funding from the Centre but have a limited coverage in terms of enrolment. On the other hand, 94% of the students who are enrolled in government funded or government controlled private institutions come under the ambit of State higher education system, but their funding is only a fraction of that provided to Central Institutions. UGC mandate allows it to fund only a limited number of institutions that are UGC Section 12(B) and 2(f) compliant. Out of the 286 State universities (now 384 state universities), only 182 State universities are eligible for central assistance, which leaves a significant number of colleges and universities not eligible for UGC grants. Secondly, UGC is also not allowed to channelize funds through the

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

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

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

Approval Process of RUSA (2012-till date)

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

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

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

The Expenditure Finance Committee (EFC) in its meeting held on 11.09.2013 cleared the Ministry's proposal and the Cabinet approved RUSA in it meeting on 3rdOctober, 2013.Subsequent to the implementation of the 1st phase of RUSA, the Cabinet approved the

continuation of RUSA 2.0 on 21st March, 2018. The second phase of RUSA aims to focus on quality and also address concerns of access and equity in underserved, unserved and aspirational districts. The salient features of RUSA 2.0 and the programmatic norms for the components approved are discussed at length in the following sections.

Salient Features of RUSA

1. **Coverage: The scheme covers only the Government and Government aided State Higher Education institutions. Open universities and Institutions offering Medical, Agriculture, Vetnary, etc. disciplines are not covered under the ambit of RUSA. Also, uni-disciplinary institutions are given low priority under RUSA.**

2. **Prerequisites: In order to be eligible for funding under RUSA, States have to fulfil certain prerequisites, which include the academic, administrative and governance reforms. The prerequisites are at two levels: commitments given by institutions to the States and commitments given by States to Center. Unless these commitments are fulfilled, the States and institutions are not able to avail of grants under RUSA. The pre-requisites are detailed in Chapter 8.**

3. **Bottom-up Approach: RUSA follows a "bottom-up" approach for planning and budgeting to address multiple and graded inequalities and promote need-based planning. States are encouraged to undertake strategic thinking and planning keeping future needs of the higher education in mind. Both demand side and supply side challenges are required to be addressed by the SHEPs.**

4. **Subsuming existing schemes: Two Centrally Sponsored Schemes of Model Degree Colleges and the Sub-mission on Polytechnics were subsumed under RUSA in the first phase. University Grants Commission (UGC) Schemes such as development grants for State universities and colleges, one-time catch up grants, etc. are dovetailed in RUSA. However, Individual oriented schemes (for teachers, students etc) would continue to be handled by UGC.**

   During the second phase of RUSA, the scheme on University with Potential for Excellence and Colleges with Potential for Excellence, administered by UGC have now been subsumed under RUSA 2.0, as Enhancing Quality and Excellence in select State Universities and Enhancing Quality and Excellence in select Autonomous Colleges.

5. **Preparatory Grants (under Institutional restructuring, Capacity Building and Reform): Under the scheme, a preparatory amount is provided to the State Government to enable them to create/ strengthen necessary institutional framework for complying with the a-**

priori requirements and -commitments under RUSA. These funds can be utilized for setting up/ strengthening the SHECs, State Project Directorate and State Resource Centre; and undertake baseline surveys to help them in capacity building. The details of preparatory grant are captured in Chapter 6.

6. **Resource Envelope: The resources allocated to a particular State for a given financial year is termed as the Resource Envelope. The allocation is based on a Fund Equalization formula described in Chapter 8. The resource envelope for a given financial year is based on a mix of base and performance-based funding, linked to conditionalities and adherence to reforms.:**

7. **IDPs & SHEPs: All institutions are required to prepare their Institutional Development Plan (IDPs) for all components with financial proposals on parameters that capture their respective need-based requirements. The States aggregate the IDPs and integrate into State Higher Education Plan (SHEP) by superimposing the State relevant components. It is imperative that each State undertakes base line surveys and stakeholder consultations to constitute the basis for preparing IDPs and SHEPs. It is imperative that SHEPs are duly approved by the State Higher Education Councils before onward submission to MHRD.**

8. **Appraisal of SHEPs: The funding to States is made on the basis of critical appraisal of State Higher Education Plans done by Technical Support Group (TSG) at the Centre. The prioritization of components based on the resource envelope of the State is jointly done by the State and the TSG in a collaborative exercise, based on adherence to RUSA norms and State-specific needs. The prioritized components are jointly presented before the Project Approval Board (PAB) for approval.**

9. **Funding under RUSA: All funding under the RUSA is norm based and future grants are outcome dependent. The central funding is strategic and based on SHEPs, which serve as a benchmark against which the performance of a State and its institutions are graded. Centre-State funding is in the ratio of 90:10 for North-Eastern States, Sikkim, J&K, Himachal Pradesh and Uttarakhand and 60:40for other States and Union Territories (UTs) with Legislature. Also, the UTs without Legislature would be 100% centrally funded under this scheme.**

10. **Flow of Funds: The central funding flows from MHRD to institutions, through the State Governments. The State Higher Education Council is responsible for transfer of central share along with the matching State share to the approved institutions.**

11. **State Higher Education Councils: SHECs is the key institution at the State level to channelize resources to the institutions from the State budget. They undertake the**

process of planning and evaluation, in addition to other monitoring and capacity building functions.

Guiding Principles of RUSA

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

1. Quality and Research Focus:

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

2. Norm based and Outcome-dependent funding:

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

3. Incentivizing and dis-incentivizing:

RUSA incentivizes and dis-incentivizes the State actions. Not only compliance to rules, regulations and fulfilment of norms are supported by incentives; non-performance or non-fulfilment of prerequisites and norms invite reduced allocations for States and institutions. This is intended to make the scheme not only demand driven, but also competitive. The States

and institutions are encouraged to compete with each other in order to reap benefits of competition based formulaic grants

4. Apolitical decision-making:

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

5. Autonomy:

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

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

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

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

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

6. Disclosure-based Governance:

Disclosure based governance must be followed by institutions in terms of its decision and outcomes. RUSA envisages greater participation of all stakeholders, where the institutions are responsible for their quality not just to the regulatory authorities but also to the students, parents and the society. A policy of full disclosure and clean governance are the first steps towards establishing such a system of higher education.

7. Equity based development:

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

Objectives of RUSA

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

1. **Improve the overall quality of existing State institutions by ensuring that all institutions conform to prescribed norms & standards and adopt accreditation as a mandatory quality assurance framework. This objective is a precondition for sanction of funds under all the components of RUSA.**

2. **Enhancing quality into Universities or Model Degree Colleges to upgrade their academic infrastructure and provide better teaching-learning environment to students. Component 1 provides for up gradation of an autonomous college in a university, Component 2 allows creation of a university by conversion of 4-5 colleges in a cluster, component 4 and 8 provide for Enhancing Quality and Excellence in select**

State Universities and Autonomous Colleges, and component 10 on Research, innovation and quality improvement. (subject to adherence to RUSA norms)

3. **Identify and fill critical infrastructure gaps in higher education by augmenting and supporting the efforts of the State Governments. Components 3 and 9 pertaining to infrastructure grants to universities and colleges address this objective, where funds are sanctioned for upgrading the existing infrastructure by way of new construction, renovation or purchase of equipment.**

4. **Ensure adequate availability of quality faculty in all higher educational institutions. RUSA addressed this by way of component 12 on faculty recruitment, where the State is required to fill all the vacant sanctioned posts and claim funds under RUSA for additional posts to enable them to achieve the student-teacher ratio of 20:1.**

5. **Facilitate research and innovation in the State higher educational institutions. Component 10 provides for this objective where State is required to furnish a detailed research and innovation plan.**

6. **Improve Access and Equity in higher education by providing adequate opportunities of higher education to SC/STs and socially and educationally backward classes; promote inclusion of women, minorities, and differently abled persons. Component 3, 5, 6, 9 &11 deals with this objective.**

7. **Achieve the target of GER of 32% by expanding the institutional base of States by establishing new institutions, in order to achieve high enrolment targets.**

8. **Usher transformative reforms in the State higher education system by creating an institutional structure for planning and monitoring at the State level (SHEC), promoting autonomy in State Universities and improving governance in institutions.**

9. **Correct regional imbalances in access to higher education by facilitating access to high quality institutions in urban, semi-urban and rural areas to get access to quality institutions. This objective is a precondition while deciding allocations for different districts of the State.**

10. **Commitment of States to undertake reforms: Academic (semester system, CBCS, curriculum development, etc.) and Examination (internal evaluation, end of semester evaluation) in the higher educational institutions. States can also undertake affiliation reforms by restricting the no. of colleges affiliated to a university to 100. Prerequisites,**

a set of a priori commitments required from the States ensure timely implementation of reforms under RUSA.

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

Scope of RUSA

All State public universities and colleges (both 12B and 2(f) compliant and non-12B) from all States and Union Territories (UTs) across the country are eligible to be covered under RUSA. Subject to eligibility, an estimated 384 State universities and 8500 colleges (only Government and Government aided) are covered under this initiative to improve the learning outcomes and scale-up research, development and innovations.

Funding Strategy

RUSA is being funded through the Ministry of Human Resource Development (MHRD) with prescribed contribution from the State governments and Union Territories (UTs). The project cost in the public funded institutions for all sub-components is shared between the Central Government and State governments in the ratio of 90:10 for North-Eastern States, J&K, Himachal Pradesh and Uttarakhand and 60:40 for Other States and UTs with Legislature. the UTs without Legislature would be 100% centrally funded under this scheme. The funding strategy is described in Chapter 8 of this handbook.

Institutional Structure of RUSA

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

National level bodies

RUSA Mission Authority is the Apex body at the national level. The Minister of Human Resource Development (MHRD) is the Chairperson of the Mission Authority. The RUSA Mission Authority delineates overall policy and planning, reviews functioning of Project Approval Board (PAB) etc. The Secretary (Higher Education) chairs the PAB which approves SHEPs, assesses performance of States and institutions and approve release of funds. The

National Project Directorate, which is embedded in the Ministry, is headed by the Joint Secretary (Higher Education) in his capacity as the National Mission Director. These two bodies are supported by the Technical Support Group (TSG)which examines and appraises SHEPs, monitors flow of funds and information and provides all operational, technical, logistical and managerial support.

State Level Bodies

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

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

Institution Level Arrangements

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

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

Financial Outlay of the Scheme

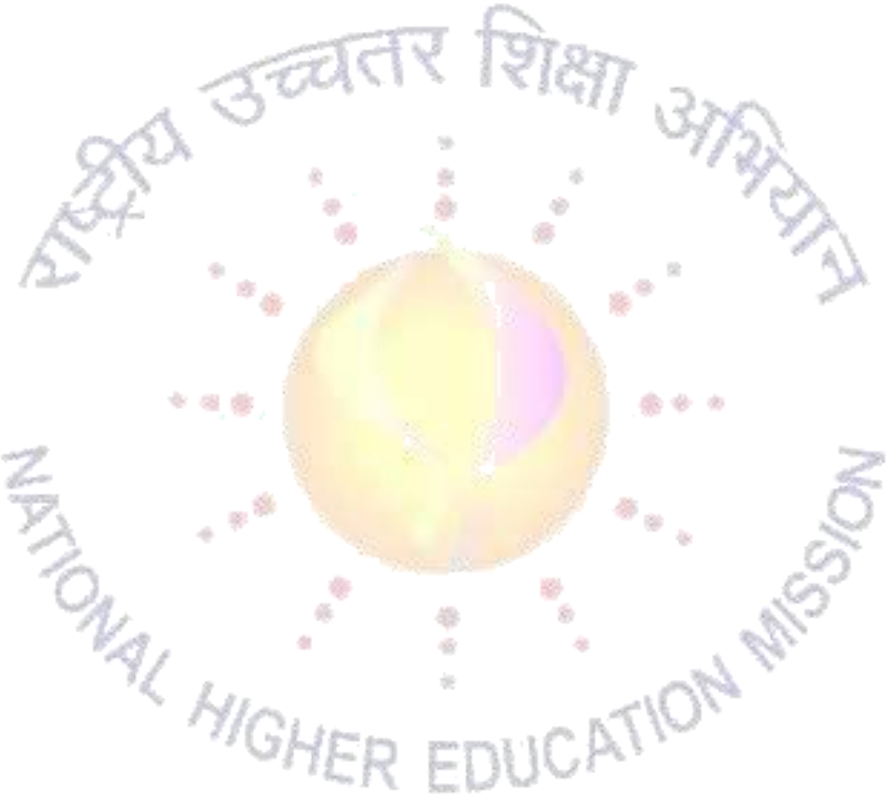
The scheme has been accorded extension by the Cabinet till March 2020 with approved financial outlay of Rs. 9,604.58 cr (which includes state share).

MoU between MHRD and State Governments

State Governments will have to enter into an MoU with the Department of Higher Education (MHRD), in order to be eligible for the second phase of RUSA. The draft MoU is in Chapter.

RUSA 2.0 Targets

1. **Increase the spending of States on higher education as a % of GSDP to 2% or above.**
2. **Ensure all the State Institutions are NAAC Accredited by the end of March 2020 as a part of mandatory quality assurance framework.**
3. **Reduce the student-teacher ratio to 15:1 in Institutions by the end of March 2020 Increasing the National GER to 32% by March 2022**
4. **Ensure growth of GER with more inclusion of disadvantaged groups (SC/ST/Women) Ensure that all the States participate in AISHE and data pertaining to all State institutions is furnished.**
5. **Ensure that the number of colleges affiliated to State Universities reduce to 200.**


राष्ट्रीय उच्चतर शिक्षा अभियान
NATIONAL HIGHER EDUCATION MISSION

Chapter 2
Structure of RUSA

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

1. Central Level

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

2. State Level

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

3. Institutional Level

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

CENTRAL LEVEL STRUCTURE

The central level structure comprises of 4 bodies namely

- National Mission Authority
- Project Approval Board
- National Project Directorate

Technical Support Group/ RUSA Resource Centre.

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

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

Member- Planning Commission (In-Charge- Higher Education) Vice-Chairperson- Secretary, Dept. of Higher Education, MHRD Chairperson- UGC

Chairperson- AICTE

Chairperson of the SHEC's of all States

Three experts in field of Higher Education Financial advisor to MHRD

Chairperson-MCI

Chairperson-BCI

Secretary- Agriculture

Secretary-Culture

Secretary- Health

Secretary- S&T

Secretary- Sports

Representative of Ministry of Finance.

Functions:

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

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

Chairman UGC, Co-Chairman

Vice-Chairman UGC

Chairman AICTE

Secretary UGC

Chairman SHEC of concerned State

Two experts in Higher Education

Sector Financial Advisor in MHRD

Advisor (HE), Planning Commission

Joint Secretary (HE), Convener

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

3. **NATIONAL PROJECT DIRECTORATE (NPD): Joint Secretary (HE) is the National Mission Director and heads the National Project Directorate. NPD is part of the department of Higher Education in MHRD. The other members in NPD are:**

One deputy secretary/ director rank

officer Two undersecretary rank officer

Support

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

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

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

STATE LEVEL STRUCTURE

State level structure comprised of three bodies namely

State Higher Education Council

State Project Directorate

State Technical Support Group

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

1. STATE HIGHER EDUCATION COUNCIL (SHEC)

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

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

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

1.1. NEED OF SHEC

State universities cannot be monitored fully through a central system

Centre has only partial funding these institutions while States provide the rest of funding

SHEC is required to be constituted by an Executive order initially but converted into a Statutory body through Acts of State legislature within 2 years

1.2. INSTITUTIONAL ARCHITECTURE OF SHEC

Out of the total, 7 members of the council should be from the State and 3 members must be individuals of national eminence (outside the State)

SHEC should consist of 15-25 members, each with a term of 6 years.

1/3rd of members will retire every 2 years and the existing council will nominate 3 new members every 2 years

The council must meet at least once every quarter; the quorum for the council meetings shall be 1/3rd of the strength, including the Chairman and Member Secretary

1.3. COMPOSITION OF SHEC

Chairman: An eminent Academic/ Public Intellectual with proven leadership qualities

Vice Chairman: must be an eminent academic administrator (rank of professor) or a professional from industry with sufficient experience

Member Secretary: eminent academic of the rank of Professor-Chief Executive State Project Director

10-15 Members: from field of arts, science and technology, culture, civil society, industry, vocational education & skill development

3 VC's: of State Universities and 2 Principals: Autonomous/ Affiliated colleges

1 Nominee: Government of India

1.4. FUNCTIONS OF SHEC

i. Strategy and Planning

Preparing the State Higher Education Plan (Perspective Plan, Annual Plan and Budget Plan)

Providing State Institutions inputs for creating their Plans and implementing them

Coordination between apex bodies, regulatory institutions and government

ii. Advisory Functions

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

iii. Funding Functions

Funds managed by the SHEC will include funds from RUSA as well as State share, both of which will flow through the State government

Determine the methodology for timely transfer of State's share of funds to institutions

Disburse funds to State universities and colleges on the basis of the State Higher Education Plan and transparent norms

iv. Monitoring & Evaluation

Monitoring the implementation of State Higher Education Plan

Creating and maintaining the Management Information Systems

Compiling and maintaining periodic statistics at State and Institutional Level

Evaluating State Institutions on the basis of norms and KPIs developed under RUSA

Ensuring timely submission of Utilization Certificates from Institutions

v. Quality Assurance & Academic Functions

Faculty quality enhancement initiatives

Quality of examinations/ Examination reforms

Maintaining the Quality of Curriculum

Promoting Innovation in Research

Protecting the autonomy of State Institutions

Providing approval to set up new institutions/ colleges Accreditation reforms

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

State Government

Overall policy design for higher education in the State: The States must design their educational policies to bring out detailed State Higher Education Plans (SHEPs) keeping in mind the norms and indicators under RUSA. These plans constitute the primary vehicle for the States to plan for accelerated growth and equitable development of the higher education sectors.

Perspective and annual budgeting: Perspectives for higher education in the State are to be drawn up for a spread over a period of ten year with detailed planning and budgeting exercise to fix the annual targets for programme implementation and the required budget for them. It is important that the action plan is realistic, practically implementable and correlates the physical outputs with cost estimates.

Funding (central and State share) to SHEC/institutions: In addition to the State providing its share, it must also be ensured that the money is transferred to the State Higher Education Councils within the time stipulated by RUSA. Funding is to be provided for government institutions subject to approvals for permitted activities based on certain norms and parameters

Provide operational costs for the SHEC: The State Higher Education Councils (SHECs) are supported by the project Directorate (created by the State Govt) and State Technical Support Group (TSGs) providing all operational, technical, logistical and managerial support.

Decide on and support student support activities: **The State governments shall take appropriate decisions to undertake activities related to student support services such as admissions, reservations, financial assistance etc. in order to achieve the objectives for expansion, excellence and equity in Higher education.**

State Higher Education Council (SHEC)

Strategy and planning within the overall policy design of the State Govt: **The State Higher Education Council (SHECs) are responsible for planned and coordinated development of higher education in the State and to foster sharing of resources between universities, benefit from synergy across institutions.**
Monitoring and evaluation of RUSA: **The primary responsibility of monitoring lies with State Higher Education Council (SHEC) It monitors the progress of institutional projects on a regular basis and shall provide guidance for improving the performance of the institutions in project implementation.**

Quality assurance and academic functions: State Higher Education Council (SHEC) advises the State governments on strategic investments in higher education. It also advices universities on statues and ordinance formulation. It includes faculty quality enhancements initiatives, quality of examinations, maintaining quality of curriculum, promoting innovations in research, protecting the autonomy of State institutions, providing approval to setting up of new institutions /colleges, and accreditation reforms etc.

Impact assessment of schemes: Evaluating the State institutions on the basis of the norms and Key Performance Indicators (KPIs) developed under RUSA. The State Higher Education Councils (SHECs) may develop additional norms as they deem fit.

Research and innovation funding: The funds managed by the State Higher Education Council (SHEC) include funds from RUSA as well as the State share-both of which flows through the State government. It determines the appropriate methodology for timely transfer of the State share funds to the institutions. The funds also get disbursed to the universities and colleges on the basis of the innovative and dynamic plans and transparent norms.

2. STATE PROJECT DIRECTORATE (SPD)

The SPD consists of State Project Director and such adequate support staff as may be required for the effective functioning of the Directorate.
The State Project Director must be a senior officer of the rank of Commissioner /Secretary of State Government

FUNCTIONS

Oversee project implementation at the State level. Maintain statistical data and MIS reports.

Engage project auditors as required.

3. TECHNICAL SUPPORT GROUP

The State council appoint and decide the composition of TSG. The TSG monitors the flow of funds and information, generic MIS report and provide all operational support through SHEC.

Advisory on Composition of State Technical Support Group

Post	Minimum Qualification Recommended	Work Experience Recommended	Job Description (Illustrative)	No of Posts
Data Entry	10+2 and additional diploma in the relevant field	3 yrs.	Data compilation, aggregation of IDPs at state level	Depends on States' requirements
MIS Manager	Post Graduate in Statistics/ MCA with at least 2 years of relevant experience of data handling.	5yrs	Monitoring - fund flow, project implementation and managing MIS interface	Do
Consultant Communication	Graduate with PG Diploma in Mass Communication	5 yrs.	Inbound and out bound communication with stake holders at centre and state level	Do
Consultant Higher Education	Masters' Degree and / or M.Phil. / PhD in Social Sciences / Sciences / Engineering and Technology /	5yrs	Preparation of SHEP, research, monitoring, planning and administrative works for SHEC.	Do

	Management / Law. Experience in Social Development Sector preferred.			
Consultant- Data Manager	Masters in Statistic / Mathematics	5yrs	Data crunching for SHEP from primary / secondary data	Do
Chief Consultant	MBA/ Economics/ PGDBM /Public Admn/Academic	15yrs	Management head of TSG at state level for SHEC	Do

General support staff in addition to above consultant as per the work requirement.

INSTITUTIONAL LEVEL STRUCTURE

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

1. BOARD OF GOVERNERS

COMPOSITION

The BoG is a 10- 15-member body chaired by an eminent individual/Vice Chancellor.

The Chairman need not be an academic but must have prior experience in a similar capacity.

The board members must comprise eminent individuals from the institutions itself, State government, society, industry as well as the academia.

FUNCTIONS:

Form, supervise and -guide various Committees required for project implementation and internal project monitoring

2. PROJECT MONITORING UNIT

COMPOSITION

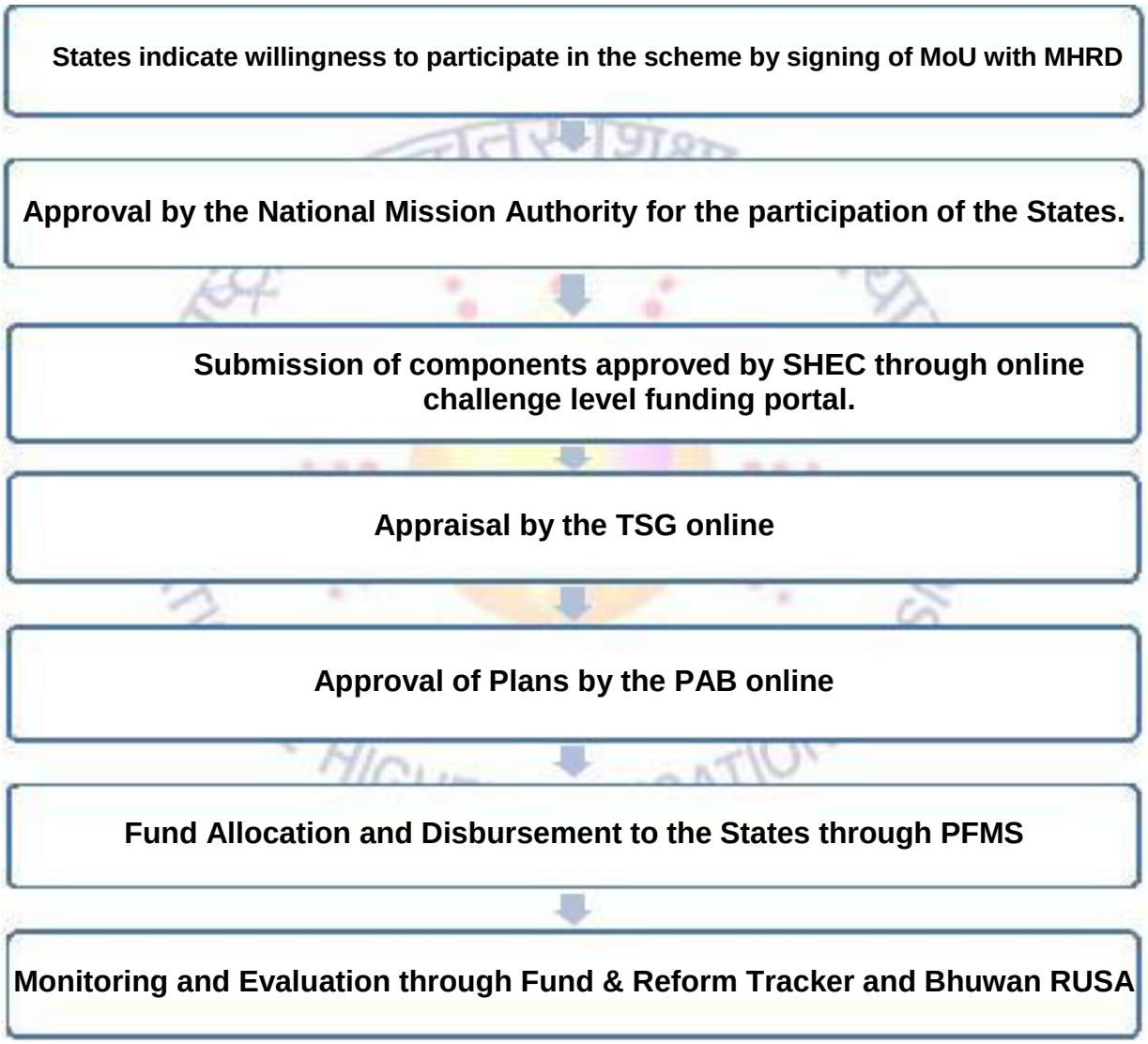
Representative from academic officials of the Institution, faculty, senior administrative officers, technical and non-technical support staff and students.

FUNCTIONS:

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

Chapter 3 Process Flow under RUSA

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



Prerequisites of RUSA

In order to realize the intended outcomes, a set of commitments towards reform process have to be made by the States which must be fulfilled during the course of the

implementation of the RUSA. These are non-negotiable and are at two levels; commitment given by the States to the Centre and the commitment given by institutions to the State. Unless these commitments are fulfilled, the States and institutions would not be eligible to avail grants under the scheme. The prerequisites of RUSA are listed below, and described in detail in chapter 6 of this handbook:

PREREQUISITES	
Commitments of States to Centre	**Commitments of Institutions to States**
Setting up of SHEC	**Institutional governance reforms**
SHEP (including Perspective Plan, Annual Plan and Financial & Work Plan).	**Academic and examination reforms**
Expenditure on Higher Education as % of Gross State Domestic Product (GSDP).	**Accreditation Commitments Project**
Separate RUSA Bank Account.	**Management Teams Separate RUSA**
State funding commitment – share and timeliness	**Bank Account Equity Commitments**
Filling up of faculty positions	**Commitments on research and innovation efforts**
Governance and administrative reforms	**Faculty recruitment and**
Accreditation reforms	**improvement Establishment of**
Affiliation reforms	**MIS Regulatory compliance**
Academic and Examination reforms	**Registration on Know Your College Portal (KYC)**
To upload the information on AISHE regularly.	

Approval by National Mission Authority for the inclusion of the States

- **The National Mission Authority gives approval for inclusion of the States under RUSA based on the willingness submitted by the States and commitments given by them in conformity with the norms to bring in required reforms.**

- **After approval for inclusion of the States, preparatory grants are released to the States (refer to chapter 8 for heads under which preparatory grants can be used).**

Submission of SHEP

A Perspective Plan (State Higher Education Plan) for higher education has to be drawn up for the 12th and 13th plan period by the State Higher Education Council and sent to the MHRD.

The Perspective Plan is required to be broken down into annual plans with detailed planning and budgeting exercise to fix the annual targets for programme implementation.

The SHEP would have mainly two components:

Institutional component: The bottom-up approach for planning and budgeting under RUSA begins at the institutional level with formation of "Institutional Development Plan" (IDP). The IDP in the prescribed format (Annexure III) should be sent to the SHEC by the institutions. These IDPs have to be aggregated by the State Higher Education Council.

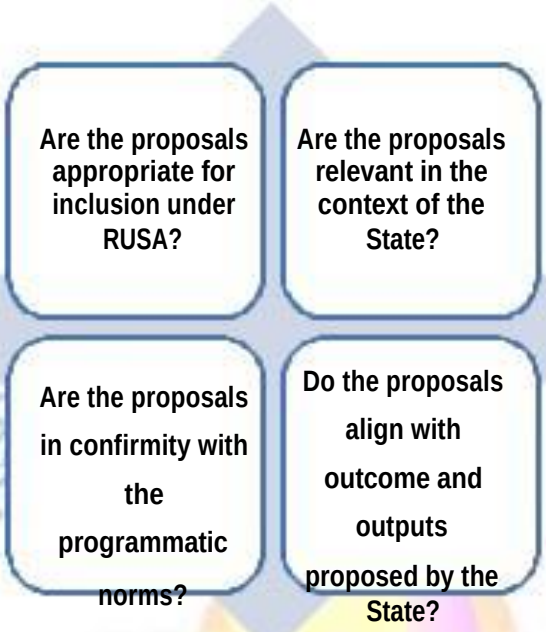
State component: The State component should address issues related to excellence, spatial and geographical gaps, access, governance etc. The State has to identify un-served/under-served areas and make special provisions for the new institutions in those areas. The plans must also address the problem of institutional congestion and have a strategy to deal with the same. Similarly, State must also look at the State as a single entity to plan for affiliation reforms and creation of new universities etc.

Excellence, Access and Equity must form the main thrust areas of the SHEP.

The IDPs must be based on the inputs/ discussions with the multiple – stakeholders within the institution's jurisdiction. Also, SHEC should engage in consultation with multiple stakeholders across the State to address regional requirements.

SHEPs serve as the benchmark against which the performance of a State and its institutions are graded.

States should consider following points while including new proposals in the SHEP.



It is imperative that the State Higher Education Plan must be approved by the State Higher Education Council, before submission to the MHRD. Any additional proposals of the State for consideration in the subsequent PABs must be first incorporated in the SHEP.

Appraisal of SHEP by TSG

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

Approval of Plans by the PAB

The Project Approval Board (PAB) at the MHRD undertakes a detailed review of the SHEPs and the recommendations of the TSG on the SHEPs.

It also assesses the performance of the State and look at the targets that have been set in the SHEPs.

The PAB approves the funds under various components based on certain parameters like the proposals' conformity with the programmatic norms, resource envelope available for a State, justification for the proposals, etc.

The approval for disbursement of funds under various components by the PAB may be unconditional or conditional. In case of conditional approval, States are required to submit a Detailed Project Report (DPR) for the approved proposals. The DPR would again be assessed by the TSG at the Central level before release of funds. (Refer to Chapter 7 for DPR templates)

The Project Approval Board reviews the progress periodically. All the future approvals by the PAB takes into account outcomes and achievements against the targets set in the SHEPs. The emphasis is not only on physical output, but also on the intended outcomes.

Disbursement of funds to the States

After the perspective Plan submitted by the State has been approved by the PAB, the Project Directorate, with the concurrence of the Integrated Finance Division (IFD) of the MHRD carries out sanctions on the Public Finance Management System (PFMS) portal and EAT Module of the Controller General of Accounts (CGA). After this, funds are transferred online to the States/ UTs consolidated fund.

The States contribute their share along with central share to the dedicated RUSA account (savings account only) of the SHEC within 15 days of receipt of the central share. SHEC must ensure to transfer the funds to dedicated RUSA Bank Account of institutions within 15 days of the receipt of the combined pool of funds from State government.

The releases made to institutions must be as per the approved Institutional Development Plans and after adjusting unspent balances from the previous year. Non-compliance would affect further allocation of grants in the future.

The funds with the SHEC/institutions do not lapse at the close of financial year. SHEC/Institutions are empowered to utilize the unspent balance during the next financial year for the same purpose for which the funds were allocated. The amount shall however be taken into account while releasing funds for the next year.

The States shall adhere to RUSA Guidelines and create enabling processes for expeditious implementation of the scheme. It is assumed that after obtaining the due approval from the Project Approval Board (PAB) on the Plan, resources (Central Share + State Share) must be released in a timely manner to the beneficiary institutions.

Chapter 4
General Norms under RUSA

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

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

Education through Education and Information Technology (NMEICT), Rural Infrastructural Development Fund (RIDF) etc. (This list is only illustrative and not exhaustive).

7. **States may engage any of the Central/State agencies such as the Central Public Works Department (CPWD), State Public Works Department (PWD) and State and Central PSUs for civil works. In all cases States would be required to follow the relevant State Treasury rules and procedures.**

8. **States would be required to procure all consumables, equipment, furniture, fixtures etc. in accordance with the State procurement policy and relevant rules for government procurement applicable to the States. In all such cases competitive bidding and e-procurement method should be adopted. RUSA PAB shall have a right to question any of the procurement which appears on a higher side.**

9. **Affiliation reforms and accreditation norms as elaborated in Section 4.8.7 in the RUSA document should be followed by States. Accreditation shall be a pre-requisite for all the existing institutions which are more than six years old.**

10. **Commitment of the institutions and the States to academic and examination reforms would critically evaluated by the TSG and PAB before sanctioning plans.**

11. **Wherever RUSA initiatives are to be supported by necessary legal instruments (like legislation or Rules or Orders), the same shall be binding on the State. Any consequences arising out of delay in passing the legislation or litigation shall be fully discharged and defended by the State Governments. RUSA shall be at liberty to stop grants, or even to recover the same in case of such an eventuality.**

12. **SHECs and Institutions participating in the programme shall maintain a separate single account in the name of RUSA, to be operated by an authorized representative of the SHEC or institution as the case may be. The account details will be shared with MHRD, and any subsequent change in account must be done in consultation with the Ministry.**

13. **All receipts and expenditure under RUSA shall be debited and credited to RUSA. Interest accrued, if any on such an account shall be used for the purpose (for the project) for which it was released.**

14. **States must ensure that the State machinery and the State institutions necessarily become a part of the MIS developed by the RUSA Mission Authority since a robust MIS only can ensure optimum gains from the project.**

15. **States would be entitled to 1% of the total State allocation as Management Monitoring Evaluation and Research (MMER) to be spent on maintaining the State TSG and other institutional structures and corollary expenses. However, the salary of the government staff/officers deployed by the State shall be charged on to State exchequer only.**

16. **In respect of proposals from North-Eastern States, the PAB will consider prioritization in respect of certain components on a need-based approach, taking into account their geographical and other challenging circumstances under which institutions function.**

17. **North eastern, Himalayan states (special category states) will be adequately considered in components, wherever applicable on the basis of their needs.**

18. **State Governments may review state higher education policies and work out measures to significantly ease hurdles in attracting private investment in education, especially in backward areas.**

19. **All infrastructure constructed under the scheme shall be barrier free and accessible to persons with disability and follow Harmonised Guidelines and Space Standards for Barrier-Free Built Environment to persons with disability and elderly persons, published by CPWD in February 2016.**

Chapter 5
Components under RUSA

Component 1: Creation of Universities by Upgradation of Existing Autonomous College

1.1 Abstract:

3 autonomous colleges (University Grants Commission autonomous colleges regulation 2018 and compliance to the same) which have necessary infrastructural facilities, teaching strength and academic quality will be considered for up-gradation to Universities (public). The grant is subject to a maximum of Rs 55 crores for each institution.

1.2 Funding Priority:

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

(a) Physical Infrastructure

Must have been in existence for at least 15 years.

Must have autonomy status conferred by UGC

The land already available with the college must be enough to support the additional enrolments and capacity (at least 10 acres in mega cities, 15 acres in metro cities and 20 acres in rest of the country).

Should have adequate library, hostel, laboratory, ICT and sports facilities.

(b) Academic Quality

Should have been accredited by NAAC and must have received 3.51 CGPA and above.

For eligibility, such colleges should also have a healthy Student-teacher ratio, Post –Graduate Departments, and should have filled at least 70% of their sanctioned faculty positions etc.

The minimum existing enrolment of the college must be 2000 and the proposed total enrolment of students must be enough to sustain the institution as a university with a minimum enrolment requirement of 4000 students.

Should have teaching programmes both in undergraduate and postgraduate courses.

It must also have credible research capacity as evidenced through research and publications of faculty members.

The college must be multi-faculty (at least two or more faculties such as Arts, Commerce, Science, Engineering, Law etc)

Should have inter-disciplinary programmes in teaching and research.

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

(c) Governance Structure

Must have or commit to a robust internal governance structure: with Academic Council, Board of Studies/Research Councils and Finance Committees as per the guidelines of the regulatory body (UGC).

Must have enough administrative and non-teaching staff and the capacity to function and be managed as a University. States are required to sanction additional staff as soon as the approval of PAB is received to meet the desired ratio of 1:1.1.

1.3 Future Commitments:

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

(a) Physical Infrastructure

Convert all the existing buildings into fully disabled friendly to improve access. Ensure special facilities/equipment for the disabled students.

Adequate hostel and toilet facilities for girls.

Per student availability: adequate classroom, lab and library space

(b) Academic Quality

Inter-disciplinary and trans-disciplinary programmes should be encouraged; the upgraded institution should be a multi-disciplinary university.

Commit to rigorous evaluation on the indicators under the Institutional Plan template with greater weightage on "Quality and Research index" after 3 years of its establishment as a University Commit to adequate library, laboratory and hostel facilities.

The institution must commit to inclusion of ICT in teaching and learning processes in all its colleges and provide internet access (preferably Wi-Fi) to all students

Specify the innovations contemplated in academics and governance.

Specify how to make innovations sustainable and scale-up.

Should have a teaching to non-teaching ratio of 1:1.1

(c) Governance and related issues

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

The institution must be governed by a Board of Governors/governing body with a different nomenclature having representation from academia, industry, public 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 asper UGC recommendations.

(d) Equity and Inclusion

Adherence to the reservation policy of State government in admission and faculty recruitment.

Ensure that the campus is disabled friendly with all the requisite facilities Equipment, fixtures and furniture are part of the estimate and should not exceed 50% of the approved cost.

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

Per sq. Metre cost rate given is only relevant for New Construction, and not Renovation. Cost of construction and Renovation should follow CPWD rates.

Short Listing Criteria- Indicators & Weights (Total 100 marks)

A. NAAC Score (20 marks)

S. No.	Indicator	Weights
1	CGPA Above 3.80	20 marks
2	CGPA 3.7-3.79	15 marks
3	CGPA 3.6-3.69	10 marks
4	CGPA 3.51-3.59	7 marks

B. Faculty Positions filled in regular mode (20 marks)

S. No.	Indicator	Weights
1	Above 85% of sanctioned faculty positions	20 marks
2	80-84.9%	15 marks
3	70-79.9%	10 marks
4	60-69.9%	5 marks

C. Student-Teacher Ratio (20 marks)

S. No.	Indicator	Weights
1	Above 1:10 – 1:20	20 marks
2	Above 1:20 – 1:30	15 marks
3	Above 1:30 – 1:40	10 marks
4	Above 1:40 – 1:60	5 marks

D. Functional Governance Structure (20 marks)

S. No.	Indicator	Weights
1	Governing Council/ Board	
	Yes	5 marks
	No	0 marks
2	Academic Council/ Board	
	Yes	5 marks
	No	0 marks
3	Research Council	
	Yes	5 marks
	No	0 marks
4	Board of Studies	
	Yes	5 marks
	No	0 marks
5	Finance Committee	
	Yes	5 marks
	No	0 marks

E. Funding Priority (20 marks)

S. No.	Parameter	Weights
1	Does the institution have a vision-mission statement?	
	Yes (Please upload)	3 marks

	No	0 marks
2	Does the institution offer inter-disciplinary program	
	Yes	3 marks
	No	0 marks
3	Does the institution offer:	
	UG & PG	3 marks
	Only UG	1 mark
4	Does the institution have research program? (Ph D)	
	Yes	3 marks
	No	0 marks
5	Has the institution been conferred CPE status by UGC?	
	Yes	3 marks
	No	0 marks
6	Does the institution have an Alumni Association?	
	Yes	2 marks
	No	0 marks
7	What is the percentage of students getting placed in the Institution?	
	Over 90%	3 marks
	Over 75%	2 marks
	Over 50%	1 mark
	Below 50%	0 mark

1.5Baseline Data

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

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

Total Number of Teachers (sanctioned positions)	number			
Total Number of Teachers (actual in position)	Regular teachers			
	Contractual or ad-hoc teachers			
Student Teacher Ratio (Filled position)	Ratio			
Whether college is multi-faculty?	Yes/No			
Number of Departments	Number			
If yes, no. of courses offered presently	Number			
Additional no. of courses to be offered after upgradation	Number			
Total number of Administrative and Support Staff	number			
Teaching to Non-Teaching Ratio	Ratio			
Number of Books in Library	Number			
Number of Computers	Number			
Total Student in Hostels	Number			
SC Girls	%			
SC Boys				
ST Girls				
ST Boys				
OBC Girls				

OBC Boys				
Other Girls				
Other Boys				
Whether college has a separate Sports Complex	Yes/no			
Whether Board of Studies/Research Councils in position	Yes/no			
Whether Finance Committees in position	Yes/no			
Adherence to financial norms for creation of infrastructure	Yes/no			
Jurisdiction mentioned for the proposed university whether unitary or Affiliating?	Unitary/ Affiliating			
Reservation for socially & economically weaker sections-existing	SC (in %)			
	ST (in %)			
	OBC (in %)			

2. Physical & Financial Proposal

		Autonomous College A		Autonomous College B		Autonomous College C & so on.	
Tier Category of proposed college (Tier-1/Tier-2/Tier-3)							
Details for the proposed college	Whether New Construction/ Renovation / Equipment	Physical Value (Area in Sq. Mt.)	Financial Value (Rs. in lakhs)	Physical Value (Area Sq. Mt.)	Financial Value (Rs. in lakhs)	Physical Value (Area Sq. Mt.)	Financial Value (Rs. in lakhs)
Administrative Area							

School of Sciences		
School of Social Sciences		
School of Engineering, Technology & Computer Technology		
Schoolof Teacher Education		
School of Humanities and Liberal Arts		
Classrooms (Common)		
Central library		
Auditorium		
Canteen/Cafeteria/Toilet Blocks/Misc.		
Hostel		
Total		

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

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

Commitment	Autonomous College A	Autonomous College B	Autonomous College C & so on.

Physical Infrastructure		
Convert all the existing buildings into fully disabled friendly to improve access.		
Ensure special facilities/equipments for the disabled students.		
Adequate hostel and toilet facilities for girls.		
Per student availability: adequate classroom, lab and library space		
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		
Commit to facilitate research after up gradation to University		
Commit to adequate library, laboratory and hostel facilities.		
The institution must commit to inclusion of ICT in teaching and learning processes in all its colleges and provide internet access (preferably Wi-Fi) to all students		
Should have a teaching to non-teaching ratio of 1:1.1		
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		
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.		

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

S. No.	Name of College	Reason

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

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

Component 2: Creation of Universities by conversion of colleges in a Cluster

2.1 Abstract

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

2.2 Funding Priority

Colleges with a NAAC grade of 3.51 and above will be eligible. However, in case such a cluster is not possible, the Lead college has to have NAAC score of 3.51 and the participating colleges need to have NAAC score of at least 3.25.

The purpose of such an intervention is to bring together 3-5 colleges which have the required academic and administrative autonomy (but do not have the power to award degree) and convert them into a university (which has the degree awarding power) through an Act of State Legislature.

Colleges fulfilling conditions of autonomy under the UGC Autonomous College Regulations, 2018 of the UGC will be eligible.

Colleges with high Teacher-Student Ratio, Post –Graduate Departments, and having filled 85% of their sanctioned faculty positions etc. are eligible to be considered

These colleges selected should offer inter and multi-disciplinary programs.

Colleges joining the cluster must have the capacity to function as a university when coalesced. This would include, among other factors, the strength and experience of the administrative staff, the number of years that the individual colleges have been functioning, degree of autonomy they have enjoyed in the past, etc.

The conversion plan for the creation of universities must include stage-wise planning with regard to expansion in infrastructure, number of students, schools and departments, administration, academic functions, research activities, etc. It must also

cover the timelines and concrete steps that will be taken for the integration of all the concerned colleges as well as the expected end State of the new University.

Agree to a Memorandum of Understanding which should clearly specify the nature and extent of relationship among partnering colleges and lay down the modalities for the functioning of the cluster.

Other requirements that needs to be fulfilled

(a) Physical Infrastructure

At least two of the participating colleges should have been in existence for 15 years.
Should have an existing combined enrolment of 2000 student and the proposed total enrolment of students must be enough to sustain the institution as a university with a minimum enrolment requirement of 4000 students.
As the university would be a multi-campus university, the physical proximity of the institutions should be such that they are able to share physical and human resources and would be able to facilitate student and faculty mobility (ideally within a maximum radius of 15-20 kms from the lead institution (to take into account the special condition of North East Region States). In exceptional cases with strong quality credentials, the circumference of such a cluster may extend up to 50 kms.
The State government should identify a nucleus college or ensure the availability of necessary land required for the university in and around the nucleus college to build university super-structure. The combined land availability should be at least 15 acres in mega cities, 20 acres in metro cities and 25 acres in rest of the country.

(b) Academic Quality

The new cluster university may be a combination of colleges with autonomous status/ Colleges with Excellence/ College with Potential for Excellence status.
All participating colleges should have NAAC accreditation of 3.51 and above However, in case such a cluster is not possible, the Lead college has to have NAAC score of 3.51 and the participating colleges need to have NAAC score of at least 3.25.
Should have teaching programmes in undergraduate and postgraduate courses.
Must have a few faculty members with excellent research performance through publications, undertaking research projects and guiding research students.
Should have demonstrated high academic performance in inter-disciplinary teaching and research programmes.
Should have a Student–teacher ratio (25:1) (combined based on sanctioned strength)

The combined graduate and postgraduate departments proposed by the institutions must be able to lay the foundation for a multi-disciplinary institution and should have appropriate diversity in teaching and research.

(c) Governance and related issues

The participating colleges should have:

A robust internal governance structure as per the guidelines of the regulatory body. Also, it is advisable that such institutions should have an Academic Council/ Board of Studies/Research Councils and Finance Committees.

Ability to raise /mobilize resources from sources other than public funding.

(d) Equity and Inclusion

Reservation as per State norms
Make all the buildings disabled friendly

2.3 Future Commitments

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

(a) Physical Infrastructure

Convert all the existing buildings into fully disabled friendly to improve access. Commit to hostels for boys and girls.

Per student availability: adequate classroom, lab and library space

(b) Academic Quality

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

Agree to academic reforms

(c) Governance and related issues

Agree to certain principles of governance like equal status to participating institutions, collective decision-making, autonomy and accountability, independence and interdependence, physical proximity, optimal size, partnership of publicly funded institutions, etc.

Agree to a governance structure which should ensure equal and adequate representation of partnering institutions for democratic decision-making and

effective implementation of academic programmes, financial autonomy and social accountability.

An appropriate governance structure for cluster universities shall be detailed by respective States through a new Act or amendments to the existing Act within a year from the date of establishment.

(d) Equity and Inclusion

Due preference for hostel accommodation should be given to for socially and economically weaker sections.

Convert existing buildings into fully disabled friendly ones.

2.4 Physical and Financial Estimates

Note:

A detailed conversion plan must be submitted by the institution.

Equipment, fixtures and furniture are part of the estimate and should not exceed 50% of the approved cost.

Equipment, fixtures and furniture are part of the estimate

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

Staff -

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

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

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

Cost of construction and Renovation should follow CPWD rates.

Short Listing Criteria Indicators & Weights (Total 100 marks)

A. NAAC Score for Lead College (20 marks)

S. No.	Indicator	Weights
1	CGPA Above 3.80	20 marks
2	CGPA 3.7-3.79	15 marks

3	CGPA 3.6-3.69	10 marks
4	CGPA 3.51-3.59	7 marks

B. Faculty Positions filled in regular mode for Cluster as a whole (20 marks)

S. No.	Indicator	Weights
1	Above 85% of sanctioned faculty positions	20 marks
2	80-84.9%	15 marks
3	70-79.9%	10 marks
4	60-69.9%	5 marks

C. Student-Teacher Ratio for Cluster as a whole (20 marks)

S. No.	Indicator	Weights
1	Above 1:10 – 1:20	20 marks
2	Above 1:20 – 1:30	15 marks
3	Above 1:30 – 1:40	10 marks
4	Above 1:40 – 1:60	5 marks

D. Functional Governance Structure for Cluster as a whole (20 marks)

S. No.	Indicator	Weights
1	Governing Council/ Board	
	Yes	5 marks
	No	0 marks
2	Academic Council/ Board	
	Yes	5 marks
	No	0 marks
3	Research Council	
	Yes	5 marks
	No	0 marks
4	Board of Studies	
	Yes	5 marks

	No	0 marks
5	Finance Committee	
	Yes	5 marks
	No	0 marks

E. Funding Priority for Cluster as a whole (20 marks)

S. No.	Parameter	Weights
1	Does the institution have a vision-mission statement?	
	Yes (Please upload)	3 marks
	No	0 marks
2	Does the institution offer inter-disciplinary program	
	Yes	3 marks
	No	0 marks
3	Does the institution offer:	
	UG & PG	3 marks
	Only UG	1 mark
4	Does the institution have research program? (Ph D)	
	Yes	3 marks
	No	0 marks
5	Has the institution been conferred CPE status by UGC?	
	Yes	3 marks
	No	0 marks
6	Does the institution have an Alumni Association?	
	Yes	2 marks
	No	0 marks
7	What is the percentage of students getting placed in the Institution?	
	Over 90%	3 marks
	Over 75%	2 marks
	Over 50%	1 mark
	Below 50%	0 mark

1.5 Data Capture Format

1 Willingness to be up graded to the university status

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

2 Details of the proposed institutions

Details	Unit	Lead College (Cluster College 1)	Cluster college 2	a. Cluster college 3	Cluster college 4	Cluster college 5
Name of College and address with district name						
Whether Govt./ Aided	Category					
University to which college is affiliated						
Distance from Lead College (KM)						
Available Land Area of the College						
Year of Establishment						
Whether Autonomous college						

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

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

HIGHER EDUCATION

3. Physical & Financial Proposal

S. No	Item	College 1 (Tier 1/2/Hilly)		College 2 (Tier 1/2/Hilly)		College 3 (Tier 1/2/Hilly)	
		Area (SM)	Tier 1 (@ Rs. 33371 per SM)	Area (SM)	Tier 2 (@ Rs. 31622 per SM)	Area (SM)	Hilly (@ Rs. 44650 per SM)
			Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
1	Administrative Area& Common Facilities						

2	School of Sciences			
3	School of Social Sciences			
4	School of Engineering, Technology & Computer Technology			
	School of Teacher Education			
6	School of Humanities & Liberal Arts			
8	Central Library along with Computer Centre/ e-resource centre			
	Auditorium			
10	Canteen/ Cafeteria/ Toilet blocks/ Miscellaneous			
Total				
11	Hostel			
Grand Total				

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

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

S. No.	Name of College	Reason

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

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

6. **Commitment**

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

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

Component 3: Infrastructure Grants to Universities

3.1 Abstract:

Infrastructure grants shall be utilized for meeting critical infrastructural requirements in 50 public universities with a grant of Rs.20 crore each.

3.2 Funding Priorities

Universities will be prioritized on the basis of following criteria:

Universities with valid NAAC accreditation of 2.5-3.25 will be eligible. Grant will be provided to support for strengthening of infrastructure facilities for new construction, renovation and purchase of equipment. Beneficiary Universities under RUSA 1.0 for the same component will not be considered. Universities from north east and Himalayan region would be considered after taking into consideration universities which have not availed of this in the earlier phase. Universities would be further prioritized on basis of NAAC accreditation, enrolments & antiquity.

The State can spend maximum 50% of the total cost in case of new construction, renovation/upgrade and equipment each. For e.g., the expenditure ratios could be 40:50:10; or 50:30:20; or 45:45:10, etc.

3.3 Physical and Financial Outlay

Creation of New Facilities

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

Renovation/Upgradation of Existing Facilities

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

New Equipments/ Facilities

Item	Norms
Sports Facility	
Computers	
Books/ Journals	
E Resources	
Lab Equipment	

3.4 a) Baseline Data

	Unit	University1	University 2	University 3
Name of the University				
NAAC Accreditation (if none, status of application)	Grade			

Whether included under 12B of UCG Act	Yes /no
Year of Establishment	
No. of Students Total	
Sanctioned Post No. of	
regular faculty Courses/	
Dept. Autonomous/	
CPE Special Attributes,	
if any Future	
Commitments:	a) University shall agree to abide by a Disclosure Management Framework
	b) University shall abide by the principle of mid-course assessment and evaluation

b) Physical and Financial Detail

		University 1		University 2		University 3	
	Details	Physical Value (Area in Sq. Mt.)-	Financial Value (Rs. in lakhs)	Physical Value (Area in Sq. Mt.)	Financial Value (Rs. in lakhs)	Physical Value (Area in Sq. Mt.)	Financial Value (Rs. In lakhs)
Creation of New Facilities	Hostels (separate for boys and girls)						
	Toilets (separate for boys and girls)						
	Laboratories						
	Computer Centre						
	Classrooms (including technologically enabled classrooms)						
	Canteen/Cafeteria						
	Common room for Students						

Renovation / Up gradation of Existing Facilities	Academic building		
	Administrative buildings		
	Campus development		
	Hostels		
	Toilets		
	Library		
	Classrooms		
	Auditorium		
	Canteen/Cafeteria		
	Laboratory		
	Computer Centre		
	Playground		
New Equipments/ Facilities	Sports Facility		
	Computers		
	Books/ Journals		
	E Resources		
	Lab Equipment		
Any other item, that the State deems fit.			

Short Listing Criteria Indicators & Weights (Total 100 marks)

A. NAAC Score (20 marks)

S. No.	Indicator	Weights
1	CGPA 3.0-3.25	20 marks
2	CGPA 2.75-2.99	15 marks
3	CGPA 2.5-2.74	10 marks
4	CGPA 0-2.49	0 marks

B. Faculty Positions filled in regular mode (20 marks)

S. No.	Indicator	Weights
1	Above 85% of sanctioned faculty positions	20 marks

2	80-84.9%	15 marks
3	70-79.9%	10 marks
4	60-69.9%	5 marks

C. Student-Teacher Ratio (20 marks)

S. No.	Indicator	Weights
1	Above 1:10 – 1:20	20 marks
2	Above 1:20 – 1:30	15 marks
3	Above 1:30 – 1:40	10 marks
4	Above 1:40 – 1:60	5 marks

D. Functional Governance Structure (20 marks)

S. No.	Indicator	Weights
1	Governing Council/ Board	
	Yes	5 marks
	No	0 marks
2	Academic Council/ Board	
	Yes	5 marks
	No	0 marks
3	Research Council	
	Yes	5 marks
	No	0 marks
4	Board of Studies	
	Yes	5 marks
	No	0 marks
5	Finance Committee	
	Yes	5 marks
	No	0 marks

E. Funding Priority (20 marks)

S. No.	Parameter	Weights
1	Does the institution have a vision-mission statement?	
	Yes (Please upload)	3 marks
	No	0 marks
2	Does the institution offer inter-disciplinary program	

	Yes	3 marks
	No	0 marks
3	Does the institution offer:	
	UG & PG	3 marks
	Only UG	1 mark
4	Does the institution have research program? (Ph D)	
	Yes	3 marks
	No	0 marks
5	Has the institution been conferred CPE status by UGC?	
	Yes	3 marks
	No	0 marks
6	Does the institution have an Alumni Association?	
	Yes	2 marks
	No	0 marks
7	What is the percentage of students getting placed in the Institution?	
	Over 90%	3 marks
	Over 75%	2 marks
	Over 50%	1 mark
	Below 50%	0 mark

c) Proposed Plan

Item	Renovation/New Construction/Equipment	Existing Infrastructure	Proposed Infrastructure	Financials	Justification
E.g. Classroom	New Construction	10	5	10 lakhs per class	More seats required for more classes required for additional courses

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

Name of the university	2014-15	2015-16	2016-17	Total cost (Rs. lakhs)

1.				
2.				
....				

Component 4: Quality and Excellence in select State Universities (New)

4.1 Abstract:

Universities with NAAC CGPA 3.51 and above under the UGC's Graded Autonomy Regulations, 2018 will be supported to enhance quality, teaching and research. 10 high performing State Universities will be supported under this component at Rs. 100 crores each.

4.2 Funding Priorities

State Universities which feature in UGC's Graded Autonomy Regulations, 2018 (Grade 1) will be covered for support under this component.

No more than 30% would be spent on construction and Equipment

Financial assistance will be given for quality enhancement and improvement in teaching and research

Institutions approved under the component will need to mentor other institutions.

4.3 Physical and Financial Outlay

Creation of New Facilities

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

Renovation/Upgradation of Existing Facilities

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

Hostels	Renovation/Upgradation of Existing Facilities
Toilets	Renovation/Upgradation of Existing Facilities
Library	Renovation/Upgradation of Existing Buildings/ Facilities; Digitisation of Existing Resources/Automations
Classrooms	Renovation/Upgradation of Existing Buildings/ Facilities
Auditorium	Renovation/Upgradation of Existing Buildings/ Facilities
Canteen/Cafeteria	Renovation/Upgradation of Existing Buildings/ Facilities
Laboratory/Virtual Labs	Renovation/Upgradation of Existing Buildings/ Facilities
Computer Centre	Up scaling of existing network to enable
Playground wi-fi	Upgradation of Existing Facilities

New Equipments/ Facilities

Item	Norms
Sports Facility	
Computers	
Books/ Journals	
E Resources	
Lab Equipment	

Short Listing Criteria Indicators & Weights (Total 100 marks)

A. NAAC Score for Institution (20 marks)

S. No.	Indicator	Weights
1	CGPA Above 3.80	20 marks
2	CGPA 3.7-3.79	15 marks
3	CGPA 3.6-3.69	10 marks
4	CGPA 3.51-3.59	7 marks

B. Faculty Positions filled in regular mode for Institution (20 marks)

S. No.	Indicator	Weights
1	Above 85% of sanctioned faculty positions	20 marks

2	80-84.9%	15 marks
3	70-79.9%	10 marks
4	60-69.9%	5 marks

C. Student-Teacher Ratio for Institution (20 marks)

S. No.	Indicator	Weights
1	Above 1:10 – 1:20	20 marks
2	Above 1:20 – 1:30	15 marks
3	Above 1:30 – 1:40	10 marks
4	Above 1:40 – 1:60	5 marks

D. Functional Governance Structure for Institution (20 marks)

S. No.	Indicator	Weights
1	Governing Council/ Board	
	Yes	5 marks
	No	0 marks
2	Academic Council/ Board	
	Yes	5 marks
	No	0 marks
3	Research Council	
	Yes	5 marks
	No	0 marks
4	Board of Studies	
	Yes	5 marks
	No	0 marks
5	Finance Committee	
	Yes	5 marks
	No	1 marks

E. Funding Priority for Institution (20 marks)

S. No.	Parameter	Weights
1	Does the institution have a vision-mission statement?	
	Yes (Please upload)	3 marks
	No	0 marks
2	Does the institution offer inter-disciplinary program?	
	Yes	3 marks
	No	0 marks
3	Does the institution offer:	
	UG & PG	3 marks
	Only UG	1 mark
4	Does the institution have research program? (Ph D)	
	Yes	3 marks
	No	0 marks
5	Has the institution been conferred CPE status by UGC?	
	Yes	3 marks
	No	0 marks
6	Does the institution have an Alumni Association?	
	Yes	2 marks
	No	0 marks
7	What is the percentage of students getting placed in the Institution?	
	Over 90%	3 marks
	Over 75%	2 marks
	Over 50%	1 mark
	Below 50%	0 mark

AL HIGHER EDUCATION

4.3 Baseline Data

Particulars of the University:

S No	Information / details	
a.	Details of the State University	
	i.	Name:
	ii.	Address:
	iii.	Location (Metropolitan / Non-metropolitan / Non-urban area):

	iv.	Contact details of the Vice Chancellor, Registrar and Nodal person identified for this purpose. (Name, designation, landline, mobile, fax, email):

III. Vision of the University:

S.No.	Information to be provided
a.	Fifteen-year Vision Plan including Mission Statement, Values, Institutional Goals & Vision to meet the objectives and Characteristics of an University with quantified milestones and timelines to achieve world class repute as expected in the Regulations.
b.	How far is the Institution/ University from becoming an University, including the present status of the institution, the status which seek to achieve to become as world class and gap in each parameter.
c.	Plan for becoming a University. The plan should give the status of the Institution at the present stage on all relevant parameters, the status to which they seek to reach after ten years and fifteen years on each of the parameters, and how they target to reach the same on each of the parameters.
d.	SWOT analysis of the institution focusing on its present status in the quality hierarchy and the proposed measures to address the shortcomings?

I. Proposed - year strategic Plan (for each year):

a	An academic plan showing the courses proposed and a research plan focusing on current thrust / niche area(s) of expertise and proposed plan in pursuit of excellence in those areas.
b	A faculty recruitment policy and plan to meet the academic plan requirements and to achieve 1:10 faculty-students ratio.
c	Proposal, if any, to recruit faculty from industry, Government, Non-profit Organizations, etc. Including foreign faculty.
d	Student admissions policy mentioning plan to select Indian and foreign students.

e	**Plan to provide scholarship to meritorious Indian and foreign students.**
f	**A comprehensive plan to develop research laboratories with demonstrable progress towards it.**
g	**Plan for Teaching and Research Collaborations with Global Universities figuring in the most reputed global rankings.**
h	**Networking plan outlining the teaching and research collaborations and partnerships**
i	**Infrastructure development plan. (Existing and Proposed infrastructure with financial repercussion and time line for development)**
j	**Administrative plan for getting accreditation from National and International Agencies as well as marketing and promotion.**
k	**Governance plan elaborating the proposed Institutional structure and how it overlaps with ownership, decision-making process and social engagement.**
l	**Clarify as to how Governance plan will be committed to the highest global standards of transparency, accountability and efficiency.**
m	**Plan for involving the alumni in the management of the Institution and leveraging alumni financial resources.**
n	**Intended target on possible world ranking after 5 years.**
o	**A research plan indicting the research laboratories and other facilities proposed to be established. In case of humanities, social sciences and other interdisciplinary faculties, the research plan should indicate the broad areas and nature of field work and research sought to be done**
p	**Sustainability plan for the period when the additional public funding ceases.**
q	**Plan for affiliating any other HEI, if act permits (please refer guidelines 6.4.3(e)(i)**

II. Proposed two years implementation plan (for each year)

a	**Mention the detailed and tangible action plan, milestones, and timelines by which it seeks to achieve high performing status, mentioning milestones to be achieved in two years with an annual work plan.**
b	**Timeline to achieve the expectations for each of the parameters as proposed in two years.**
c	**States are requested to submit the detailed annual financial plan of expenditure for two years with an annual break up, for total not exceeding Rs. 100 crores.**

Component 5: New Model Degree Colleges

5.1 Abstract:

Support will be provided for creation of colleges with requisite infrastructure (class rooms, library, laboratory, faculty rooms, toilet blocks and other essential requirements with technological advanced facilities) in 70 Aspirational Districts and identified by the NITI Aayog and un-served and under-served areas in north east and Himalayan regions.

This component setting up of a new MDC by way of new construction the proposed college is eligible for a funding of Rs. 12 cr (max) for the plan period and any over and above amount is to be borne by the State Government. Those aspirational districts which have received a model degree college under RUSA 1.0 will not be eligible for funding consideration.

5.2 Funding priorities:

Aspirational districts categorised into:

- **Category 1: with 0 Model Degree College**
- **Category 2: High proportion of socially and economically backward population**

Un-served and under-served areas in north east and Himalayan regions

5.3 Short Listing Criteria Indicators & Weights (Total 40 marks)

A. Aspirational District/ Unserved Districts (20 marks)

S. No.	Indicator	Weights
1	With zero Model Degree College	20 Marks
2	Unserved & Underserved areas with zero Model Degree College and low Institutional Density	15 marks

B. Aspirational Districts with Institutional Density (20 marks)

S. No.	Indicator	Weights
1	Less than 25	20 marks
2	25-49	15 marks
3	50-75	10 marks
4	Above 75	0 marks

Other Specifications:

1. LOCATION OF MODEL DEGREE COLLEGE:

The location of the college must be such that there exist no other college in the radius of 10 km.

Predominantly rural population is preferred.

A new college as an additional college in the vicinity may only be permitted only if the existing college has more than 1000 students; or there is no separate college for women in area of 10 Km radius.

The location should be accessible and well connected by transport facilities.

The population density in the proposed location must be higher in comparison with the contending locations.

2. INFRASTRUCTURE

2.1. PHYSICAL INFRASTRUCTURE

2.1.1. LAND: the minimum land requirement is 5 acres.

2.1.2. BUILDING: the colleges proposed must have an administrative and academic building along with enough space to accommodate the academic requirement (as specified by the University for which the MDC may become the constituent college).

2.1.3. CIVIC FACILITIES: essentials like water, electricity, ventilation, toilets in conformity with the norms lay down by State PWD.

2.1.4. FURNITURES: appropriate furniture's for student and staff based on the strength.

2.2. ACADEMIC INFRASTRUCTURE

2.2.1. FACULTY:

For a multi-Faculty co-education college- at least 50 Faculties.

For a multi Faculty Women's college- at least 25 faculty members.

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

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

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

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

2.2.6. STUDENTS:

If college is in non-metro urban area- Min. 1000 students. If college is in backward area-Min. 500 students

Women's college in Non-Metropolitan urban area- min 300 students Women college in a backward area- Min. 150 Students

2.2.7. TEACHER STUDENTRATIO: preferably 1:20

2.2.8. TEACHING-NONTEACHING RATIO: preferably 1:1.1

3. NATURE OF MODEL DEGREE COLLEGE

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

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

FINANCIAL NORM	NO	ITEM	TIER 1 CITIES		TIER 2 CITIES		HILLY AREAS	
			AREA (SM)	COST PER SM= 33371	AREA (SM)	COST PER SM= 31622	AREA (SM)	COST PER SM= 44600
			TOTAL		TOTAL		TOTAL	
				Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
	1	Administrative Buildings, Faculty rooms	800	266.96	800	252.97	525	234.41
	2	Laboratories	410	136.82	500	158.11	300	133.95

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

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

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

A. BASELINE DATA

	Indicator/ Unit	Model college 1	Model college 2	Model college 3

District under which model college is proposed	
Is it Aspirational District	
Number of colleges in the concerned district	Number
No of Colleges per 1,00,000 students of 18-23-year age group in the district (CPI)	Number
Percent of SC and ST population to total in the district	Ratio
Percent of Female students enrolled to18-23-year age group female population in the district (GER)	Ratio
Percent of SC and ST students enrolled to18-23-year age group SC and ST population in the district (GER)	Ratio
Does the State commit to bear recurring expenses	Yes/No
does the State commit to provide girls hostel and toilet	Yes/No
Reservation for socially & economically weaker section	Yes/No
does the State commit to provide disabled friendly campus	Yes/No
does the State commit to provide	Yes/No

facilities/equipment's for disabled

Whether college is constituent or govt.	
Whether a new MDC	
Sanctioned /Established after 01.01.2008	
Available land area	
No of colleges within 10 Km radius	
Student Intake proposed	
Faculty Proposed	
Non-teaching staff proposed	

B. FINANCIAL PROPOSAL

CIVIL COMPONENT

Proposed College Falls under, (Tier-1/Tier-2/Tier-3)	Model College-1		Model College - 2		Model College - 3	
Details for proposed college	Physical Value (Sq. Mt)	Financial Value (lakh)	Physical Value (Sq. Mt)	Financial Value (lakh)	Physical Value (Sq. Mt)	Financial Value (lakh)
Administrative Buildings including faculty room						
Academic Building						
Laboratories						
Classrooms (Number)						
Library						
Computer Centre						
Toilet- Boys						
Toilet -Girls						
Hostel- Boys						
Hostel- Girls						
Auditorium						
Canteen/Cafeteria						
Fixing and fixtures						
Other						
TOTAL						

NON-CIVIL COMPONENT

	Model College-1		Model College - 3		Model College - 3	
	Physical Value	Financial Value (lakh)	Physical Value	Financial Value (lakh)	Physical Value)	Financial Value (lakh)
No. of books in Library proposed						
No. of computers proposed (Including in admin block)						
Cost of procuring lab equipment's						
Sports equipment						
TOTAL						
GRAND TOTAL						

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

C. **CONSOLIDATED SHEET**

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

D. CONDITIONS FOR FUNDING

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

E. SOME IMPORTANT POINTS

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

   Total area allocated for classroom= 810

   Sq. Mt. Area per class = 80 Sq. Mt.

   Total classroom: 10

2. **Nature College: MDC may be set up as a constituent college which means that the funding of the new college will be routed through University or as an affiliated college which means that funding will be routed through the State government.**
3. **The recurring expenditure to be borne by the State.**
4. **Implementation of governance and institutional reforms.**

F. Conditionality

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

Component 6: Upgradation of existing Degree Colleges to Model Degree Colleges

6.1 Abstract

Under this component funds will be provided for upgrading existing government colleges into Model Degree Colleges, located in Aspirational Districts of the Country. However, priority would be given to those districts that have not yet established anew 'Model Degree College under the UGC/RUSA. The support would be to a maximum of 75 Colleges with financial allocation of Rs.4 crores to each college.

Support will be provided to upgrade existing college in the Aspirational Districts and develop them into a Model Degree College with requisite infrastructure (class rooms, library, laboratory, faculty rooms, toilet blocks and other essential requirements with technological advanced facilities)

6.2 Priority for funding

College with NAAC Accreditation of 2.0-2.5 CGPA.

Unserved and underserved areas in North eastern and Himalayan states

High proportion of socially and economically backward population in the district where the college is located.

Low GER of SC/ST and female students in the district where the college is located. Colleges with large student population.
The State can spend maximum 40% of the total cost in case of new construction, renovation/upgrade and equipment each. For e.g., the expenditure ratios could be 40:40:20; or 40:30:30, etc.

6.3 Short Listing Criteria Indicators & Weights (Total 80 marks)

A. Aspirational District (20 marks)

S. No.	Indicator	Weights
1	With zero Model Degree College	20 Marks
2	With 1 Model Degree College	15 marks
3	Other cases	0 marks

B. NAAC Score College (20 marks)

S. No.	Indicator	Weights
1	CGPA 2.25-2.5	20 marks
2	CGPA 2.0-2.24	15 marks
3	Below 2	0 marks

C. Faculty Positions filled in regular mode (20 marks)

S. No.	Indicator	Weights
1	Above 85% of sanctioned faculty positions	20 marks
2	80-84.9%	15 marks
3	70-79.9%	10 marks
4	60-69.9%	4 marks

D. Student-Teacher Ratio (20 marks)

S. No.	Indicator	Weights
1	Above 1:10 – 1:20	20 marks
2	Above 1:20 – 1:30	15 marks
3	Above 1:30 – 1:40	10 marks
4	Above 1:40 – 1:60	5 marks

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

PHYSICAL AND FINANCIAL LAYOUT

In order of priority.

State is flexible to choose the item as per need

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

In order of priority.

State is flexible to choose the item as per need

Table 2. Upgradation/ renovation (maximum 40 %)				
Items	Model college 1		Model college 2	
	Physical unit	Financial unit	Physical unit	Financial unit
Academic building				
Administrative building				
Library				
Classroom				
Laboratory				
Computer centre				
Wi-fi enabling				
Hostels				
Toilets				

Auditorium				
Canteen/ cafeteria				
Campus development				
Playground upgradation				

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

State is flexible to choose the item as per need

4 **BASELINE DATA:**

	Indicator/Unit	College 1 (name)	College 2 (name)	College 3 (name)
District where the college is located	Name			
Number of colleges in the district	Number			
Is it an EBD District	Yes/No			
No of Colleges per 1,00,000 students of 18-23-year age group in the district(CPI)	number			
District GER	%			
Percent of Female students enrolled to18-23-year age group female population in the district (Female GER)	%			
Percent of SC and ST students enrolled to18-23-year age group SC and ST	%			

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

5 **Future Commitments**

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

Girl's hostels and girl's toilets.

50% of the capacity of new hostels would be used for socially and economically weaker sections.

Ensure a disabled-friendly campus.

Ensure special facilities/equipments for the disabled.

6 Conditions to be met before the release of funds

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

Component 7: New Colleges (Professional)

7.1: Abstract

Support will be provided to create 8 new Professional Colleges in regions and districts in the country where the Institutional Density of Technical and Professional Education is below national average; with allocation of Rs. 26 cr each.

Support under this component is to improve GER in engineering and professional education in regions where almost no such facility exists.

7.2: Funding Priorities

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

District with 0 -1 professional college (Government or Private) – Category A District with 2 or more professional colleges (Government or Private) – Category B

Districts in category A will be given priority over B

Priority would be given to Districts with following characteristics:

- **Central, eastern and north-eastern states Without colleges**
- **With low institutional density in technical and professional education**
- **High proportion of socially and economically backward population**
- **Low GER for female students Low GER (SC/ST)**
- **High Student Population**

Short Listing Criteria Indicators & Weights (Total 40 marks)

A. District Profile (20 marks)

S. No.	Indicator	Weights
1	District with 0 -1 professional college (Government or Private)	20 marks
2	District with 1 professional college (Government or Private)	10 marks
3	More than 2 professional colleges	5 marks

B. Districts with Institutional Density (20 marks)

S. No.	Indicator	Weights
1	Less than 25	20 marks
2	25-49	15 marks
3	50-75	10 marks
4	Above 75	0 marks

7.3 Commitments by the State Government

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

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

Physical and Financial Outlay

No	Item	TIER 1 Cities		TIER 2 Cities		Hilly Areas	
		Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM
			33371		31622		44650
			Rs. in lakh		Rs. in Lakh		Rs. in Lakh
1	Administrative Building	1200	400.45	1200	379.46	800	357.2
2	Seminar Room	300	100.11	300	94.86	200	89.3
3	Library	300	100.11	300	94.86	300	133.95
4	Academic Block (classrooms etc)	1000	333.71	1000	316.22	1000	446.5
5	Electronics Lab	300	100.11	350	110.67	200	89.3
6	IT Lab Electrical	300	100.11	350	110.67	200	89.3
7	CNC Lab	250	83.42	250	79.05	200	89.3
8	Mechatronics Lab	300	100.11	350	110.67	200	89.3
9	Chemical Lab	200	66.74	250	79.05	175	78.13
10	Civil Lab	200	66.74	250	79.05	175	78.13
11	Instrumentation Lab	300	100.11	350	110.67	200	89.3
12	Workshop	250	83.42	250	79.05	250	111.62
13	Computer Centre cum Cyber Café	700	233.59	700	221.35	400	178.6

14	Conference Room	250	83.42	250	79.05	250	111.62
15	Confidential Room	200	66.74	200	63.24	150	66.97
16	Committee/Syndicate Room	300	100.11	300	94.86	150	66.97
17	Common Room for students	150	50.05	150	47.43	150	66.97
18	Toilet Block	200	66.74	220	69.56	150	66.97
19	Cafeteria	90	30.03	100	28.45	50	22.32
	Total	6790	2265.82	7120	2248.22	5200	2321.75
			Rs. 26096 Per SM		24722 Per SM		32581 Per SM
20	Hostel	1280	334.02	1420	351.05	855	278.56
	Grand Total	8070	2599.84	8540	2599.27	6055	2600.31

Note 1: Each institution has the flexibility of choosing the appropriate items based on their need (supported by evidence) in order for them to convert into a fully functional college. Note 2: Equipment, fixtures and furniture are part of the estimate Note 3: Staff -

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

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

7.4: Baseline Data

The following information should be given:

Table 7.1: Baseline data for new professional colleges

Items	Indicator /Unit	Prof college A	Prof college B	Prof college C	Prof college D	Prof college E
District under which professional college is proposed	Name					
Institutional Density of the District	number					
Number of Government Professional colleges or university in the concerned district						

Number Private colleges or university in the concerned district			
Total number of Professional colleges or universities (Govt. & Private) in the concerned district	number		
No of professional Colleges per 1,00,000 students of 18-23-year age group in the district (CPI)	number		
No. of Polytechnics in the District			
No. of ITIs in the Districts			
Total population of 18-23 age group in the district	Number		
Total SC and ST population in the district	Number		
Percent of SC and ST population to total in the district	%		
Total Female population of 18-23 age group in the district	Number		
Percent of Female students enrolled to 18-23-year age group female population in the district (Female GER)	%		
Total SC and ST population of 18-23 age group in the district	Number		
Percent of SC and ST students enrolled to18-23-year age group SC and ST population in the district (SC/ST GER)	%		
Number of major industries in the District	Heavy Industries		
	MSME		
	Small and micro Enterprises		
Number of major industries in the adjoining Districts			

Table 7.2: Commitments of the State Government

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

Table 7.3: Physical and Financial proposal

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

Lab										
Workshop										
Computer Centre cum Cyber Café										
Conference Room										
Confidential Room										
Committee/Syndicate Room										
Common Room for students										
Toilet Block										
Cafeteria										
Hostel										
Total										

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

Table 7.4: Cost of Equipment, fixtures and furniture.

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

Any other										

Table 7.5: Consolidated table of proposed new professional colleges in order of priority:

Professional College	Total cost (Rs. lakhs)	Justification in support of new professional college
College A		
College B		
College C		
College D		
College E		

7.5: Conditionality

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

राष्ट्रीय उच्चतर शिक्षा अभियान
NATIONAL HIGHER EDUCATION MISSION

Component 8 Enhancing Quality and Excellence in select Autonomous Colleges

8.1 Abstract:

Colleges with NAAC CGPA 3.51 and above under the UGC's Autonomy Regulations, 2018 will be supported to enhance quality, teaching and research. 70 high performing Autonomous Colleges will be supported under this component.

8.2 Funding Priorities

- **State Colleges which feature in UGC's Autonomy Regulations, 2018 will be covered for support under this component.**
- **No more than 30% would be spent on construction and Equipment.**
- **Financial assistance will be given for quality enhancement and improvement in teaching and research**
- **Institutions approved under the component will need to mentor other institutions.**

8.3 Physical and Financial Outlay

Creation of New Facilities

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

Renovation/Upgradation of Existing Facilities

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

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

New Equipments/ Facilities

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

Short Listing Criteria Indicators & Weights (Total 100 marks)

A. NAAC Score for Institution (20 marks)

S. No.	Indicator	Weights
1	CGPA Above 3.80	20 marks
2	CGPA 3.7-3.79	15 marks
3	CGPA 3.6-3.69	10 marks
4	CGPA 3.51-3.59	7 Marks

B. Faculty Positions filled in regular mode for Institution (20 marks)

S. No.	Indicator	Weights
1	Above 85% of sanctioned faculty positions	20 marks
2	80-84.9%	15 marks
3	70-79.9%	10 marks
4	60-69.9%	6 marks

C. Student-Teacher Ratio for Institution (20 marks)

S. No.	Indicator	Weights
1	Above 1:10 – 1:20	20 marks
2	Above 1:20 – 1:30	15 marks
3	Above 1:30 – 1:40	10 marks
4	Above 1:40 – 1:60	6 marks

D. Functional Governance Structure for Institution (20 marks)

S. No.	Indicator	Weights
1	Governing Council/ Board	
	Yes	5 marks
	No	0 marks
2	Academic Council/ Board	
	Yes	5 marks
	No	0 marks
3	Research Council	
	Yes	5 marks
	No	0 marks
4	Board of Studies	
	Yes	5 marks
	No	0 marks
5	Finance Committee	
	Yes	5 marks
	No	2 marks

E. Funding Priority for Cluster as a whole (20 marks)

S. No.	Parameter	Weights
1	Does the institution have a vision-mission statement?	
	Yes (Please upload)	3 marks
	No	0 marks
2	Does the institution offer inter-disciplinary program?	
	Yes	3 marks
	No	0 marks
3	Does the institution offer:	
	UG & PG	3 marks
	Only UG	1 mark
4	Does the institution have research program? (Ph D)	
	Yes	3 marks
	No	0 marks
5	Has the institution been conferred CPE status by UGC?	
	Yes	3 marks
	No	0 marks
6	Does the institution have an Alumni Association?	
	Yes	2 marks
	No	0 marks
7	What is the percentage of students getting placed in the Institution?	
	Over 90%	3 marks
	Over 75%	2 marks
	Over 50%	1 mark
	Below 50%	0 mark

8.4 Baseline Data

Particulars of the College:

S No	Information / details
a.	Details of the Autonomous College
i. ii. iii. iv.	Name: Address: Location (Metropolitan / Non-metropolitan / Non-urban area): Contact details of the Principal, Registrar and Nodal person identified for this purpose. (Name, designation, landline, mobile, fax, email):

Proposed five-ten year strategic Plan (for each year):

a.	An academic plan showing the courses proposed and a research plan focusing on current thrust / niche area(s) of expertise and proposed plan in pursuit of excellence in those areas.
b.	A faculty recruitment policy and plan to meet the academic plan requirements and to achieve 1:10 faculty-students ratio.
c.	Proposal, if any, to recruit faculty from industry, Government, Non-profit Organizations, etc. Including foreign faculty.
d.	Student admissions policy mentioning plan to select Indian and foreign students.
e.	Does the college have a plan to provide scholarship to meritorious Indian and foreign students.
f.	A comprehensive plan to develop research laboratories with demonstrable progress towards it.
g.	Plan for Teaching and Research Collaborations with Global Universities figuring in the most reputed global rankings.
h.	Networking plan outlining the teaching and research collaborations and partnerships
i.	Infrastructure development plan. (Existing and Proposed infrastructure with financial repercussion and time line for development)
j.	Administrative plan for getting accreditation from National and International Agencies as well as marketing and promotion.
k.	Governance plan elaborating the proposed Institutional structure and how it overlaps with ownership, decision-making process and social engagement.
l.	Clarify as to how Governance plan will be committed to the highest global standards of transparency, accountability and efficiency.
m.	Plan for involving the alumni in the management of the Institution and leveraging alumni financial resources.
n.	Intended target on possible world ranking after five, eight, ten, thirteen and fifteen years.
o.	A research plan indicting the research laboratories and other facilities proposed to be established. In case of humanities, social sciences and other interdisciplinary faculties, the research plan should indicate the broad areas and nature of field work and research sought to be done
p.	Sustainability plan for the period when the additional public funding ceases.

Proposed two-year implementation plan (for each year)

a.	Mention the detailed and tangible action plan, milestones, and timelines by which it seeks to achieve high performing status, mentioning milestones to be achieved in two years.
b.	Timeline to achieve the expectations for each of the parameters as proposed in the two-year strategic plan.

Component 9: Infrastructure Grants to Colleges

9.1 Abstract:

Infrastructure grants shall be utilized for meeting critical infrastructural in 750 colleges with a grant of Rs.2 crore each.

9.2 Funding Priorities

Colleges with valid NAAC/NBA accreditation of over 2.5 and above out of 4, or appropriate grade in NBA will be eligible to apply. Adequate consideration would be given to the North eastern and Himalayan states (special category states) under this component.
Institutions from special category states who have received grants under this component in RUSA 1.0 won't be allowed to spend the funds under the same items covered in RUSA 1.0.
Grant will be provided to support strengthening infrastructure facilities for new construction, renovation and purchase of equipment.
Colleges which have been covered in the same component in RUSA 1.0 will not be eligible to apply for funding under this component.
The State can spend maximum 50% of the total cost in case of new construction, renovation/upgrade and equipment each. For e.g., the expenditure ratios could be 40:50:10; or 50:30:20; or 45:45:10, etc.

Colleges will be prioritized on the basis of following criteria:

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

9.3 Physical and Financial Outlay

Creation of New Facilities

Item	Norms
Hostels (separate for boys and girls)	**New construction**
Toilets (separate for boys and girls)	**New construction**
Laboratories/ Virtual labs	**New construction**
Computer Centre	**New construction**

Classrooms (including technologically enabled classrooms)	New construction
Canteen/Cafeteria	New construction
Common room for Students	New construction

Renovation/Upgradation of Existing Facilities

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

New Equipment/ Facilities

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

Note 1: The institution may choose from the components above for upgrading the existing facilities.

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

Note 3: Each institution has the flexibility of choosing the appropriate items based on their need (supported by evidence)

9.4 Short Listing Criteria Indicators & Weights (Total 80 marks)

A. NAAC Score (20 marks)

S. No.	Indicator	Weights
1	CGPA Above 3.5	20 marks
2	CGPA 3.25-3.49	18 marks
3	CGPA 3.0-3.24	16 marks
4	CGPA 2.75-2.99	15 marks
5	CGPA 2.5-2.74	14 marks

B. Faculty Positions filled in regular mode (20 marks)

S. No.	Indicator	Weights
1	Above 85% of sanctioned faculty positions	20 marks
2	80-84.9%	15 marks
3	70-79.9%	10 marks
4	60-69.9%	5 marks

C. Student-Teacher Ratio (20 marks)

S. No.	Indicator	Weights
1	Above 1:10 – 1:20	20 marks
2	Above 1:20 – 1:30	15 marks
3	Above 1:30 – 1:40	10 marks
4	Above 1:40 – 1:60	5 marks

D. Funding Priority (20 marks)

S. No.	Parameter	Weights

1	**Does the institution have a vision-mission statement?**	
	Yes	**3 marks**
	No	**0 marks**
2	**Does the institution offer inter-disciplinary program**	
	Yes	**5 marks**
	No	**0 marks**
3	**Does the institution offer:**	
	UG & PG	**3 marks-**
	Only UG	**1 mark**
4	**Does the institution have research program? (Ph D)**	
	Yes	**3 marks**
	No	**0 marks**
5	**Does the institution have an Alumni Association?**	
	Yes	**2 marks**
	No	**0 marks**
6	**What is the percentage of students getting placed in the Institution?**	
	Over 90%	**3 marks**
	Over 75%	**2 marks**
	Over 50%	**1 mark**
	Below 50%	**0 mark**

9.5 a) Baseline Data

	Indicator	Unit	College 1	College 2	College 3
Name of the College					
Year of establishment		**Year**			
Category (Govt./Aided)		**Category**			
NAAC Accreditation (if none, status of application)		**Grade**			
Year of Accreditation & Cycle					
Whether included under 12B of UCG Act		**Yes /no**			
Area of the proposed College fall under	**Pls. Specify**	**Category**			

	(Tier-1/Tier-2/Tier-3)				
Number of students enrolled		Number			
SC	Number/ total	Ratio			
ST	Number/ total	Ratio			
OBC	Number/ total	Ratio			
Women students	Number/ total	Ratio			
Special Attributes, if any					

b) Physical and Financial Details:

	College – 1			College - 2			College - 3		
Details of existing college	New Construction /Renovation (Pls. Specify)	Physical Value (Area in Sq. Mt))	Financial Value (Rs. in lakhs)	New Construction /Renovation	Physical Value (Area in Sq. Mt.)	Financial Value (Rs. in lakhs)	New Construction /Renovation	Physical Value (Area Sq. Mt.)	Financial Value (Rs. in lakhs)
Hostels (Separate for boys and girls)									
Toilets (Separate for boys and girls)									
Laboratory									
Computer Centre									
Classrooms (including technologically enabled classrooms)									
Common room for students									

Canteen/Cafeteria			
Academic Buildings			
Administrative buildings			
Campus development			
Library			
Auditorium			
Sports facility			
Books/Journals/e-Resources			

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

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

d) Details of Proposals with Justification

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

Component 10: Research, Innovation & Quality Improvement

10.1 Abstract:

During the current plan period, 20 State Universities who have demonstrated excellence in two or three thematic areas will be supported up to an amount of Rs. 50 crores each through a project-based funding mode with focus on theoretical/empirical and applied R&D to foster innovation and evidence-based policy in certain areas of national priorities.

10.2 Eligibility Criteria

Only Grade I and II State Universities qualifying under the UGC Graded Autonomy Regulations, 2018 will be considered for support.
Research, Innovation and Quality Improvement will focus on fostering Innovation, entrepreneurship and employability. States will be encouraged to prepare a Research and Innovation Plan (RIP).
Selection of Universities will be on challenge /competitive mode and will largely emerge from Universities in collaboration with the DST/DBT, National Laboratories/ leading humanities and social science research centres and industry.
Universities having undertaken curriculum reforms in one of their flagship department in the last one year

10.3 Short Listing Criteria Indicators & Weights (Total 100 marks)

F. NAAC Score for Institution (20 marks)

S. No.	Indicator	Weights
1	CGPA Above 3.80	20 marks
2	CGPA 3.7-3.79	15 marks
3	CGPA 3.6-3.69	10 marks
4	CGPA 3.51-3.59	9 marks

G. Faculty Positions filled in regular mode for Institution (20 marks)

S. No.	Indicator	Weights

1	Above 85% of sanctioned faculty positions	20 marks
2	80-84.9%	15 marks
3	70-79.9%	10 marks
4	60-69.9%	9 marks

H. Student-Teacher Ratio for Institution (20 marks)

S. No.	Indicator	Weights
1	Above 1:10 – 1:20	20 marks
2	Above 1:20 – 1:30	15 marks
3	Above 1:30 – 1:40	10 marks
4	Above 1:40 – 1:60	6 marks

I. Functional Governance Structure for Institution (20 marks)

S. No.	Indicator	Weights
1	Governing Council/ Board	
	Yes	5 marks
	No	0 marks
2	Academic Council/ Board	
	Yes	5 marks
	No	0 marks
3	Research Council	
	Yes	5 marks
	No	0 marks
4	Board of Studies	
	Yes	5 marks
	No	0 marks
5	Finance Committee	
	Yes	5 marks
	No	0 marks

J. Funding Priority for Cluster as a whole (20 marks)

S. No.	Parameter	Weights
1	Does the institution have a vision-mission statement?	
	Yes (Please upload)	3 marks
	No	0 marks
2	Does the institution offer inter-disciplinary program?	
	Yes	3 marks
	No	0 marks
3	Does the institution offer:	
	UG & PG	3 marks
	Only UG	1 mark
4	Does the institution have research program? (Ph D)	
	Yes	3 marks
	No	0 marks
5	Has the institution been conferred CPE status by UGC?	
	Yes	3 marks
	No	0 marks
6	Does the institution have an Alumni Association?	
	Yes	2 marks
	No	0 marks
7	What is the percentage of students getting placed in the Institution?	
	Over 90%	3 marks
	Over 75%	2 marks
	Over 50%	1 mark
	Below 50%	0 mark

Baseline Data

Particulars of the University:

s No	Information / details	
a.	Details of the State University	
	i.	Name:
	ii.	Address:
	iii.	Location (Metropolitan / Non-metropolitan / Non-urban area):

	iv.	Contact details of the Vice Chancellor, Registrar and Nodal person identified for this purpose. (Name, designation, landline, mobile, fax, email):

III. Vision of the University:

S. No.	Information to be provided
a.	Fifteen-year Vision Plan including Mission Statement, Values, Institutional Goals & Vision to meet the objectives and Characteristics of an University with quantified milestones and timelines to achieve world class repute as expected in the Regulations.
b.	How far is the Institution/ University from becoming an University, including the present status of the institution, the status which seek to achieve to become as world class and gap in each parameter.
c.	Plan for becoming a University. The plan should give the status of the Institution at the present stage on all relevant parameters, the status to which they seek to reach after ten years and fifteen years on each of the parameters, and how they target to reach the same on each of the parameters.
d.	SWOT analysis of the institution focusing on its present status in the quality hierarchy and the proposed measures to address the shortcomings?

III. Proposed five-ten-year strategic Plan (for each year):

a.	An academic plan showing the courses proposed and a research plan focusing on current thrust / niche area(s) of expertise and proposed plan in pursuit of excellence in those areas.
b.	A faculty recruitment policy and plan to meet the academic plan requirements and to achieve 1:10 faculty-students ratio.
c.	Proposal, if any, to recruit faculty from industry, Government, Non-profit Organizations, etc. Including foreign faculty.

d.	Student admissions policy mentioning plan to select Indian and foreign students.
e.	Plan to provide scholarship to meritorious Indian and foreign students.
f.	A comprehensive plan to develop research laboratories with demonstrable progress towards it.
g.	Plan for Teaching and Research Collaborations with Global Universities figuring in the most reputed global rankings.
h.	Networking plan outlining the teaching and research collaborations and partnerships
i.	Infrastructure development plan. (Existing and Proposed infrastructure with financial repercussion and time line for development)
j.	Administrative plan for getting accreditation from National and International Agencies as well as marketing and promotion.
k.	Governance plan elaborating the proposed Institutional structure and how it overlaps with ownership, decision-making process and social engagement.
l.	Clarify as to how Governance plan will be committed to the highest global standards of transparency, accountability and efficiency.
m.	Plan for involving the alumni in the management of the Institution and leveraging alumni financial resources.
n.	Intended target on possible world ranking after five, eight, ten, thirteen and fifteen years.
o.	A research plan indicting the research laboratories and other facilities proposed to be established. In case of humanities, social sciences and other interdisciplinary faculties, the research plan should indicate the broad areas and nature of field work and research sought to be done
p.	Sustainability plan for the period when the additional public funding ceases.

VI. Proposed two years implementation plan (for each year)

a.	Mention the detailed and tangible action plan, milestones, and timelines by which it seeks to achieve high performing status, mentioning milestones to be achieved in two years with an annual work plan.
b.	Timeline to achieve the expectations for each of the parameters as proposed in the two-year strategic plan.

States are requested to submit the detailed annual financial plan of expenditure for two years with an annual break up, for total not exceeding Rs. 50 crores.

Other Specifications:

- States that have either already implemented reforms or given the commitment to the earliest implementation of reforms that would facilitate research and innovation at institutional level.
- Plans for providing facilities that support research hubs/parks etc.
- Adoption of meta-university concept that offer cross university education and credit transfer facility to students
- Procure high quality e-resources
- Upgrade library and laboratory facilities
- Facilities like incubation centers, innovation hubs, etc.
- Initiatives to attract top-rated international faculty
- Competitive compensation for faculty
- Initiatives to attract high quality researchers and students
- Institutions that offer merit-based scholarships, fully-funded doctoral fellowships, post-doctoral fellowships
- Hiring of Doctoral and Post-Doctoral Fellows, Visiting Fellows and Professor Emeritius.
- Faculty and students exchange programmes with world-class institutions
- Initiatives to scale up industry-academia partnership
- Promotion of inter-disciplinary and trans-disciplinary research
- centers Promotion of research and entrepreneurial activities
- Support for the setting up of science parks and cutting-edge technology and instrumentation facility
- Support different types of research programs – Base Research, Key Technology (R&D), High end (R&D), etc.
- Develop a network of top quality University – Convergence
- model Outreach and public engagement facility
- Staff Excellence and organizational Stewardship
- Support in bifurcating undergraduate, postgraduate and research programmes
- Identify a few departments or fields of critical importance and move them into a position of world leadership while striving to prevent others from losing such stature.

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

Component 11: Equity Initiatives

11.1 Abstract

Assistance should be provided for construction of hostels for SC, ST and Girl students. 15 States will receive funds under this component. All State universities and colleges will be eligible to receive grants for equity initiatives. Innovative approach/schemes to ensure greater inclusion will be considered on priority. Each State would be funded an amount of Rs. 5 crores.

11.2 Funding Priorities

Girls' Hostels and related support will be given priority

To improve education of the most vulnerable and marginalized sections, this initiative will address State as a Unit.

Financial assistance will be provided in addressing gender disparities, education through language labs and remedial coaching for socially-economically marginalised groups

The component would be conditionally approved with release of funds subject to submission of DPR by State.

Institutions which have received support under RUSA 1.0 for construction/ renovation of hostels in other components will not be eligible for consideration under this component.

North eastern and Himalayan States will be considered favourably under this component.

11.3 Future Commitments

Adherence to need-based admission of students.

50% of hostel seats should be reserved for socially and economically weaker sections.

Adherence to the reservation policy of State government in admission and faculty recruitment.

11.4 Financial Outlay

Each State would be given an amount of Rs. 5 crore. The State

11.5 Short Listing Criteria Indicators & Weights (Total 40 marks)

A. State Profile (20 marks)

S. No.	Indicator	Weights
1	**Whether the State has been considered under this component in RUSA 1.0?**	

	No	20 marks
	Yes	0 marks
2	States with GER	
	Below 10	20 marks
	10-14.9	15 marks
	15-19.9	10 marks
	20-25	5 marks
	Above 25	0 marks

11.6 Baseline Data

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

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

2. **Physical and Financial Proposal**

Details - University & College wise						
Details	University-1		University-2		University-3 &C	
	Physical (Number)	Financial (Rs. In lakhs)	Physical (Number)	Financial (Rs. In lakhs)	Physical (Number)	Financial (Rs. In lakhs)
Hostels (Females& Marginalised communities)						

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

Name of the College in descending order of importance	2018-19	2019-20	Total

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

Commitment	College A	College B	College C & so on.
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.			

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

S. No.	Name of College	Reason

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

Outcome	Output	Indicator	Unit	2018-19	2019-20
Better equity	SC	Estimated increase in GER for these categories	In %		
	ST				
	OBC				
	Women				

Component 12: Faculty Recruitment Support

12.1 Abstract

(i) Name of the Component: -Faculty Recruitment Support

(ii) Eligible amount under RUSA: - The faculty salary as per the seventh pay commission recommendations for Assistant Professor/ Lecturer will be provided to 200 faculty positions in regular and permanent mode for a period of two years.

(iii) Total No. of faculty position to be supported: - 200 faculty position to be supported till March 2020.

(iv) Timeline: -State must commit to take over the liability of faculty positions at the end of the scheme.

12.2 Priority for funding:

(i) Priority will be given to those States which have filled all their vacant sanctioned positions. After filling the positions, RUSA would assist the States in hiring additional faculty to bring the Student-Teacher Ratio to 20:1.

(ii) For new Institutions created under RUSA:

RUSA may support faculty positions in New Institutions created under RUSA, only after the State fills all the vacant positions (up to 85%) through regular recruitment and brings the STR to 25:1.

12.3 Short Listing Criteria Indicators & Weights (Total 100 marks)

A. NAAC Score for Institution (20 marks)

S. No.	Indicator	Weights
1	CGPA Above 3.80	20 marks
2	CGPA 3.7-3.79	15 marks

3	CGPA 3.6-3.69	10 marks
4	CGPA 3.51-3.59	7 marks

B. Faculty Positions filled in regular mode for Institution (20 marks)

S. No.	Indicator	Weights
1	Above 85% of sanctioned faculty positions	20 marks
2	80-84.9%	15 marks
3	70-79.9%	10 marks
4	60-69.9%	9 marks

C. Student-Teacher Ratio for Institution (20 marks)

S. No.	Indicator	Weights
1	Above 1:10 – 1:20	20 marks
2	Above 1:20 – 1:30	15 marks
3	Above 1:30 – 1:40	10 marks
4	Above 1:40 – 1:60	6 marks

D. Functional Governance Structure for Institution (20 marks)

S. No.	Indicator	Weights
1	Governing Council/ Board	
	Yes	5 marks
	No	0 marks
2	Academic Council/ Board	
	Yes	5 marks
	No	0 marks
3	Research Council	
	Yes	5 marks
	No	0 marks
4	Board of Studies	

	Yes	5 marks
	No	0 marks
5	Finance Committee	
	Yes	5 marks
	No	3 marks

E. Other Indicators (20 marks)

S. No.	Parameter	Weights
1	Does the institution have a vision-mission statement?	
	Yes (Please upload)	3 marks
	No	0 marks
2	Does the institution offer inter-disciplinary program?	
	Yes	3 marks
	No	0 marks
3	Does the institution offer:	
	UG & PG	3 marks
	Only UG	1 mark
4	Does the institution have research program? (Ph D)	
	Yes	3 marks
	No	0 marks
5	Has the institution been conferred CPE status by UGC?	
	Yes	3 marks
	No	0 marks
6	Does the institution have an Alumni Association?	
	Yes	2 marks
	No	0 marks
7	What is the percentage of students getting placed in the Institution?	
	Over 90%	3 marks
	Over 75%	2 marks
	Over 50%	1 mark
	Below 50%	0 mark

12.4 Baseline Data:

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

State Information

(i) Has the State /UT committed to or is committing to take over liability of faculty positions till March 2020.
(ii) Commitment for recruiting only regular faculty
(iii) Sanctioned Posts: a. filled b. vacant
(iv) Timeline for filling vacant positions
(v) Commitment to filling sanctioned position to reach STR of 20%
(vi) Recruitment in last 3years (Regular)

Details Institution wise

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

Faculty Recruitment Support Grant to Colleges (Rs. lakhs)

Name of the Institution in 2018-19 descending order of importance		2019-20	Total
Grand Total			

Component 13: Faculty Improvement

13.1 Abstract:

HRDCs (Human Resource Development Centre) will be given funds to improve infrastructure and resources for training and capacity-building activities. In RUSA 2.0, a total of 8 States will be funded Rs 7 cr each.

13.2 Funding Priorities

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

Support will be provided to Academic Staff College (now called Human Resource Development Centres) for Capacity Building of faculty in Colleges and Universities.

Financial assistance will be provided to improve pedagogy, instructional design, refresher, orientation and teacher training programs for faculty

The performing HRDCs who have not received funding under RUSA 1.0 will be prioritized.

Those HRDCs who have received funding under RUSA 1.0 will also be eligible for funding, provided they are able to show demonstrable quality outcomes- no. of training programs conducted, >75% utilisation of total resources disbursed, innovative programs for teachers and in-service training of teachers, etc.

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

Short Listing Criteria Indicators & Weights (Total marks)

A. HRDCs Profile (30 marks)

S. No.	Indicator	Weights
1	HRDCs (Performing) not received funds under RUSA 1.0	30 marks
2	HRDCs (Performing) having received funds under RUSA 1.0	10 marks
3	HRDCs (Performing) having received funds under RUSA and whose absorption is more than 75%	5 marks
4	HRDCs (Performing) having received funds under RUSA and which have measurable outcomes (no. of orientation programs conducted, teacher training programs, new pedagogical innovations, in-service training, etc.)	5 marks

13.3 Base line Data

	Approved	Filled	Vacant
No. of Faculty Positions			
No. of Non- Teaching Positions			

13.4 Physical and Financial Outlay

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

Activity	Norms	Indicator	Training Institute	University	Academic Staff college
Construction	Building Academic & Administrative	Area (In Sq. M)			
		Amount (In lakhs)			
	Hostel (Sq. M.)	Area			
		Amount (In lakhs)			
	Network Room	Area (In Sq. M)			
		Amount (In lakhs)			
	Classroom	Area (In Sq. M)			
		Amount (In lakhs)			
	Laboratory	Area			
		Amount (In lakhs)			
Up-gradation, renovation and repairs	Building Academic & Administrative	Area (In Sq. M)			
		Amount (In lakhs)			
	Hostel (Sq. M.)	Area (In Sq. M)			
		Amount (In lakhs)			
	Classroom	Area (In Sq. M)			
		Amount (In lakhs)			

	Laboratory	Area (In Sq. M)	
		Amount (In lakhs)	
Equipment	Funds required for Books / e-resources	Amount (In lakhs)	
	Funds required for repairs and renovation	Amount (In lakhs)	
	Furniture/Equipment	Amount (In lakhs)	
	Others	Amount (In lakhs)	
Courses	No of refresher courses organised	Amount (In lakhs)	
	Academic faculty	Amount (In lakhs)	
	Administrative & Support Staff	Amount (In lakhs)	
	Programme cost	Amount (In lakhs)	
	% of Vacancy in permanent faculty position	Amount (In lakhs)	
	Financial support planned by the State	Amount (In lakhs)	
	Funds for training / other faculty improvements	Academic faculty	
		Other Administrative & Support Staff	
	Details of UGC funds for ASC		
	Other*		
	Total (in INR Lac)		

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

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

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

13.4 Conditionality

The State is required to submit a Detailed Project Report (DPR) for the approved proposal to MHRD for review and appraisal, to avail the fund release.

Component 14: Institutional Restructuring, Capacity Building and Reforms

14.1 Abstract

Funds will be provided to 30 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, to the tune of Rs. 3 crores. These funds can be utilized for setting up/strengthening State Higher Educational Councils, State Resource Centers and State Project Directorate.

Large State- 5 crores

Medium States- 4 crores

Small States- 3 crores

14.2 Funding Priorities

Funding under this component will be provided to states who have been able to utilise over 75% of the earlier allocation on a first-cum-first basis.

The States can utilize these resources in Undertake baseline surveys, Data collection and compilation,

Organise meetings, consultations, workshops, trainings, Hire consultants, Preparation of State perspective plans/strategy report,

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

14.3 Funding Priority

Those States will be preferred who submit the utilisation certificate of 2nd instalment of preparatory grants disbursed under RUSA 1.0. Second priority would be given to States who submit utilisation certificate for 1st instalment of preparatory grants under RUSA 1.0.

Chapter 6
State Higher Education Plan

A. Prerequisites

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

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

a) State Higher Education Council:

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

b) State Higher Education Plan:

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

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

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

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

d) State funding- commitment and timelines:

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

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

e) Agreement to create separate fund for RUSA:

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

f) Filling Faculty Positions:

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

g) Accreditation reforms:

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

h) Academic and Examination reforms: Academic reforms:

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

(i) Semester System:

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

(ii)Choice Based Credit System (CBCS)

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

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

(iii)Curriculum Development:

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

(iv)Admission reforms:

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

Examination reforms:

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

(i) Continuous Internal Evaluation:

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

(ii) End of Semester Evaluation:

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

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

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

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

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

(i) <u>Governance and Administrative reforms:</u>

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

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

Affiliation reforms:

i. Limit the number of colleges to be affiliated to any university to 100.However it would mean establishing more affiliating universities than the present numbers.

ii. Establish campuses of existing universities to better serve colleges in their physical proximity.

iii. Large autonomous colleges may be encouraged to develop into universities.

(j) Participation in AISHE:

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

Baseline Data:

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

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

B. State Plan at a Glance

I. Brief State Profile

1. Geographic, Demographic and Special Features

a. Geographical Map of the State outlining all the Districts

b. Brief Narrative on State Geographical Profile:

Indicator	Total	Rural	Urban	Tribal	Hilly
Area (in sq. kms)					
Number of Districts					

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

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

c. State Demographic Profile

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

Population 18-23 years (In Lakhs) as per the Census 2011

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

2. State Education Profile (School and Higher Education)

a. School Transition Rate

Board	2015	2016	2017	Average of 3 Years
State Board Schools				
CBSE Schools				
Other Board Schools				
Total				

b. Student

Enrolment (2011 Census) across socio-economic categories

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

c. State Higher Education Data

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

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

d. District Qualitative Profile

d.1 No. of Aspirational Districts in the State: _____

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

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

Dist 5	

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

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

II. District Higher Education Profile

1. **District wise Education Profile (Overall) (Baseline Data 2015-16)**

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

2. District wise Institution Profile (Baseline Data 2015-16)

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

III. State Institutional Data

1. University Data (State Overall)

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

2. College Data (State Overall)

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

3. University wise College Data

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

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

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

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

a. University wise details

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

4..																
Total																

b. College wise details

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

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

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

3..		
Deemed University		
1		
2		
3..		
State Private University		
1		
2		
3..		
Total		

NATIONAL HIGHER EDUCATION MISSION

7. Autonomous Colleges

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

8. College with Potential for Excellence Status (Baseline Data 2015-16)

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

NATIONAL HIGHER EDUCATION MISSION

IV. Faculty-wise Baseline & Perspective Data

Faculty – 2015-16Baseline data												
	Professors				Readers & Associate Professors				Lecturers & Assistant Professors			
	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total
Sanctioned												
Filled												
Vacant												
Ad-hoc/ Contract												

Applies only to faculty that is employed by/paid for directly or indirectly by the Government A/S/C – Arts/Science/Commerce

Prof – Professional courses such as Engineering, BBA, MBA etc

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

Faculty – 2015-16Baseline Data												
	Professors				Readers & Associate Professors				Lecturers & Assistant Professors			
	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total
Sanctioned												
Filled												
Vacant												
Ad-hoc/ Contract												

Applies only to faculty that is employed by/paid for directly or indirectly by the Government A/S/C – Arts/Science/Commerce

Prof – Professional courses such as Engineering, BBA, MBA etc

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

Faculty – 2018-19 Perspective data												
	Professors				Readers & Associate Professors				Lecturers & Assistant Professors			
	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total
Sanctioned												
Filled												
Vacant												
Ad-hoc/ Contract												

Applies only to faculty that is employed by/paid for directly or indirectly by the Government A/S/C – Arts/Science/Commerce

Prof – Professional courses such as Engineering, BBA, MBA etc

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

Faculty – 2019-20 – Perspective data												
	Professors				Readers & Associate Professors				Lecturers & Assistant Professors			
	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total	A/S/C	Prof	Others	Total
Sanctioned												
Filled												
Vacant												
Ad-hoc/ Contract												

Applies only to faculty that is employed by/paid for directly or indirectly by the Government A/S/C – Arts/Science/Commerce

Prof – Professional courses such as Engineering, BBA, MBA etc

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

V. Research Studies Baseline Data (2015-16)

Faculty/Disciplines	Total Enrolment (in Hundreds)		% of Total Enrolment		Average Annual Enrolment (in Hundreds)		% Annual Average Enrolment	
	M	F	M	F	M	F	M	F
Arts								
Humanities								
Languages								
Sciences								
Commerce								
Management								
Agriculture								
Medicine & Allied Health Science								
Engineering Technology								
Law								
Veterinary Science								
Others								
Total								

VI. Financial Details (Baseline & Perspective)

Year	Financial Outlays (Baseline Data)					
	State GDP (in	Total Expenditure on	Total Expenditure	Total Expenditure on HE as %	Total Expenditure on Technical	Total Expenditure on Tech. Edn

	Rs. Crore)	Education (in Rs. Crore)	on HE as % of GSDP	of Total Expenditure on Education	Education as % of GSDP	as % of Total Expenditure on Education
2015-16						
2016-17						

Financial Outlays (Perspective Plan Data)						
Year	State GDP (in Rs. Crore)	Total Expenditure on Education (in Rs. Crore)	Total Expenditure on HE as % of GSDP	Total Expenditure on HE as % of Total Expenditure on Education	Total Expenditure on Technical Education as % of GSDP	Total Expenditure on Tech. Edn as % of Total Expenditure on Education
2018-19						
2019-20						

VII. Preparation of State Plan

1. Methodology

a. Methodology adopted in preparation of State Plan

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

2. Stakeholder Consultation

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

b. **Details of Stakeholder Consultation**

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

VIII. Source of Funds & Financial Outlays under RUSA

1. **Source of Funds**

Source	Funds Received 2017-18 (In Rs. crores)	Funds Expected 2018-19 (In Rs. crores)	Funds Expected 2019-20 (In Rs. crores)	Total
1. Rashtriya Uchchatar Shiksha Abhiyan				
2. Grants from UGC				
3. Grants from State Higher Education Department				
4. Grants from other State departments				
5. Grants from Central Departments				
6. Raised from private sector, institutions, foundations and organizations				

7. Resources raised by higher education institutions from internal sources like student fees, examination fees etc.				
Total				

2. Major Targets and Financial Outlays under RUSA

Component	Number/ target			Financial Outlay			Adherence to Programmatic Norms and future commitments
	2018-19	2019-20	Total	2018-19	2019-20	Total	
Creation of Universities by way of upgradation of existing autonomous college							
Creation of Universities by conversion of colleges in a cluster							
Infrastructure grants to Universities							
Enhancing Quality and Excellence in select State Universities (New)							
New Model Colleges (General)							
Upgradation of existing degree colleges to model degree colleges							

New Colleges (Professional)									
Enhancing Quality and Excellence in Autonomous colleges (New)									
Infrastructure grants to Colleges									
Research, innovation and quality improvement (State as Unit)									
Equity initiatives (State as Unit)									
Faculty Recruitment Support (Posts)									
Faculty Improvements									
Institutional Restructuring, Capacity Building and Reforms									
Total									

IX. Outcome and Output Targets

S. No.	Outcome	Output	Indicator	Unit	2015-16	2016-17	2017-18	2018-19	2019-20
1.	Quality	Higher no. of Institutions accredited (NAAC)	Universities	No.					
			Colleges	No.					
		Faculty	No. of Teachers	No.					
			Improved Student-Teacher Ratio	Ratio					

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

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

		Investment	**Percentage of GSDP spent on R&D**	**%**						

MEMORANDUM OF UNDERSTANDING

The Memorandum of Understanding (MoU) is made on this day between Ministry of Human Resource Development (MHRD), Government of India having its office at Shastri Bhawan, New Delhi and The State government/UT Administration/Government of _____(hereinafter referred to as the State/UT) having its office at_____

PURPOSE

The purpose of this MoU is to agreement MHRD and the State/UT as to what action and responsibilities are expected to be undertaken by the State/UT for the better implementation of the scheme of Rashtriya Uchchatar Shiksha Abhiyan (RUSA).

BACKGROUND

RUSA is an overarching scheme, operated in a mission mode for funding the state universities and colleges in order to achieve the aims of equity, access and excellence. It seeks to improve the overall quality of existing State higher educational institutions by ensuring their conformity to prescribed norms and standards and adoption of accreditation as a mandatory quality assurance framework; correcting regional imbalances by facilitating access to high quality institutions in rural & semi-urban areas; and providing adequate opportunities of higher education to socially deprived communities; promoting inclusion of women, minorities, SC/ST/OBCs and differently abled persons to ensure equity.

Transformative reforms such as governance, academic, affiliation and accreditation reforms are pre-requisites in the implementation of the scheme in State higher educational institutions. These reforms include creation of State Higher Education Councils (SHECs), Search-cum-Select Committee for selection of Vice-Chancellors, implementation of Choice Based Credit System (CBCS), reduction in the number of colleges affiliated per university, mandatory accreditation etc.

Expectations from State/UT

I. **Creation of a State Higher Education Council (SHEC) through an Act.**

II. **Regular meetings of the SHEC**

III. **Preparation and submission of a State Higher Education Plan (SHEP) after following a bottom-up approach and analysing the critical needs of the State/UT in terms of access, equity and quality in higher education**

IV. **Preparation of the SHEP within the guidelines and norms of the scheme**

V. **Providing updated and correct information to the MHRD as and when requested**

VI. **Participation in Project Approval Board (PAB) meetings, RUSA Mission Authority meetings, workshops, video conferences etc as informed by MHRD**

VII. **Fulfilment of conditions laid down by the PAB in its approval of the components**

VIII. **Timely contribution and utilisation of corresponding State Share**

IX. **Timely utilisation and submission of utilisation certificate (UC) for released central share**

X. **Timely completion of projects**

XI. **Regular updation of data in monitoring mechanisms such as EAT-PFMS, Bhuvan-RUSA, Fund tracker, Reform Tracker, online portals etc**

XII. **Filling up faculty vacancies and ensuring that there is no ban on recruitment and that faculty positions in universities should not be less than 85% of sanctioned faculty strength.**

XIII. **Ensuring that infrastructural facilities created will be barrier free and follow Harmonised Guidelines and Space Standards for Barrier-free Built Environment for persons with Disability and Elderly Persons**

XIV. Ensure that their spending on Higher Education as a percentage of GSDP is at least 2% of GSDP by March 2020

XV. Undertaking administrative, academic, accreditation, governance reforms etc at State level and institutional level including and not limited to:

a. Governance Reforms

i. To revisit and ensure that Universities are given significant amount of autonomy.

ii. Decision making bodies of the Universities should be faculty driven

iii. Merit based, transparent appointments to key University leadership positions.

iv. Formation of State Higher Education Council through an Act of State Legislature

v. State Higher Education Council to be chaired by an academician of repute. SHECs chaired by non-academics should comply to the above by December 2018

b. Affiliation Reforms

To right size existing universities and limit the number of colleges affiliated to one university

c. Accreditation Reforms

Mandatory Accreditation of all Universities and Colleges

Expectations from MHRD

I. Prior intimation to States/UT regarding PAB meetings, Mission Authority meetings, workshops, conferences etc

II. Timely release of instalments of central share

III. Regular monitoring of the implementation of the scheme through mechanisms such as PFMS, Bhuvan-RUSA, Fund tracker, Reform Tracker, online portals, Project Monitoring Unit etc

IV. **Resolving existing committed liabilities**

V. **Creation of portal for online submission of SHEPs and inventory management system**

VI. **Providing guidance to State/UT**

Period of MoU

The MoU shall be valid initially till 31st March 2020. However, this can be extended by mutual consent subject to the scheme and its provisions being approved by the Cabinet or any other Competent Authority

Termination of MoU

MHRD shall have the right to terminate the agreement with the State/UT in case it either fails to fulfil the expectations successfully as mentioned in the agreement or violates any of the clause mentioned in the MOU or misuses the partnership with MHRD in any way.

Arbitration

Any disagreements arising with regard to any aspect of this MoU shall be settled through the Project Approval Board (PAB).

Signature of Head of Higher **Signature of RUSA National Mission Director**

Education Department of State/UT