

GUIDELINES FOR INNOVATIVE/EMERGING AREAS

(Teaching and Research in Interdisciplinary
Innovative and Emerging Areas)

during the XI Plan Period

(2007 - 2012)



**UNIVERSITY GRANTS COMMISSION
BAHADUR SHAH ZAFAR MARG
NEW DELHI – 110002**

Website: www.ugc.ac.in

GUIDELINES FOR INNOVATIVE/ EMERGING AREAS DURING XI PLAN

Teaching and Research in Interdisciplinary Innovative and Emerging Areas

1. INTRODUCTION AND OBJECTIVES

Keeping in view the need for training of personnel through the University system, the UGC is implementing the Scheme of Innovative Programmes which has been renamed as " Teaching and Research in Interdisciplinary and Emerging Areas" in the previous Plan period to support (i) full-time specialised courses at Undergraduate and Post-graduate levels including one year PG Diploma after Post-graduation in Interdisciplinary and Emerging Areas and (ii) accommodate brilliant ideas and innovative proposals to influence teaching, research, academic excellence, societal growth and relevant activities in various disciplines which meet educational, national and global priorities and to promote group / departmental research work in universities and colleges.

OBJECTIVES

- I. Identify areas in various disciplines with respect to educational, national and global priorities.
- II. Encourage new ideas and innovations and to provide support for their implementation.
- III. Identify institutions and support them to develop (i) specialized courses at Under-graduation and Post-Graduate levels in emerging areas and (ii) accommodate original ideas and innovative proposals to influence teaching, research, academic excellence and societal development of relevance.
- IV. Consider steps to encourage, promote and make use of brilliant ideas for promoting scientific and technological applications for the benefit of society.
- V. Identify user departments/ institutions who may actively participate and derive benefit from the course or programme and train personnel, and also sponsor students for the course.
- VI. Provide financial support for the above purposes in bringing innovation in various disciplines and in Emerging Areas.

2. ELIGIBLE TARGET GROUPS

The Universities / Institutes / Colleges which are fit to receive financial assistance under Section 2(f) and 12(B) of UGC Act and are eligible as per guidelines may submit their proposals **WHICH SHOULD NOT BE OF A ROUTINE NATURE** in the enclosed prescribed form (ANNEXURE -I) as and when they are

invited by the UGC.

- i) The applicant Departments or Departments (in the case of interdisciplinary proposals) submitting a proposal for the introduction of Innovative courses in emerging areas should have the core faculty members with specialization in the field of proposed new courses to be introduced.
- ii) The proposal must have the objectives, the work plan and the justification that it is of an innovative nature and belongs to emerging or hi-tech areas or in the areas of national and global priorities.
- iii) For societal development and strengthening of education on a mass scale, where there is a resource crunch and facilities are inadequate, whatever innovation is possible is to be supported. Hence, the scheme lays emphasis on selection of innovative ideas with a field orientation, preferably interdisciplinary in nature.
- iv) Departmental group research work in new and emerging areas and specialized or interdisciplinary courses at the Under-Graduate and Post-Graduate level by the applicant universities and colleges, which have the involvement of active researchers, scientists, and social scientists, technologists, industrialists and academicians.

3 (i) **NATURE OF ASSISTANCE**

The UGC financial assistance will be on 100% basis. The funds may be provided for most essential and critical requirements of laboratory equipment, contingency, staff etc. for starting the courses in interdisciplinary and emerging areas.

The limit of the financial assistance will be **Rs.60.00 lakhs** for non-recurring and recurring items **plus staff** (if approved) on actual basis. The maximum limit does not mean that each applicant department will be provided this amount and items as a package. The applicant department will have to submit the proposal for consideration by the expert Induction Committees. The most essential and critical needs may be proposed by the applicant departments.

The final Induction Committee in consultation with the applicant department will decide the **critical and essential items** to be provided out of the list of Non-recurring and Recurring items for implementing the Innovative/ Emerging Areas courses.

3(ii) **DURATION OF THE PROGRAMME**

The duration of the Innovative Programme is for a period of 5 years.

The assistance for this Programme is for one term only i.e. for 5 years. As

such, UGC's assistance automatically ceases after the approved duration is over. Thereafter, the State Government / University / Institute / College will take over the recurring liabilities to run the approved course as per the concurrence of the State Government or the assurance / undertaking given by the University/Institute/College at the time of acceptance of terms and conditions of UGC assistance in implementing the programme.

3(iii) FINANCIAL ASSISTANCE

The details of the financial assistance during the XI Plan period under the said programme are as under:-

A. <u>Non - Recurring</u>	<u>Rs. in Lakhs</u>
i. Equipment	
OR	30.00
For field related activities in Science or Social Science and other related areas.	
ii. Books and journals	2.00
iii. Seminar/Conference at National level (for organization only) after 3 years of the operation of the project objectives to present the achievements for application by other user departments/organizations /industries/agencies	1.00
iv. Minor equipment/Maintenance Grant for equipment procured under the Head-Equipment (cost of an item should not be less than Rs 10,000/-)	5.00
v. Minor repairs/facilities	2.00
Total (NR)	= 40.00

B. Recurring

- | | | |
|------|------------------------------------------------------------------------------------------------------------------------------------------------|-------------|
| i. | Working expenses / Contingencies
(@ Rs.1.20 lakh p.a.) | 6.00 |
| ii. | Consumables / Glasswares
(@ Rs.0.60 lakh p.a.) | 3.00 |
| iii. | Travel/Field trips (in India only) for teachers/students
involved in the programme (@ Rs.0.40 lakh p.a.) | 2.00 |
| iv. | Hiring services of Technical /Secretarial assistance to
the Programme (purely temporary for
programme period only) (@ Rs.0.60 lakh p.a.) | 3.00 |
| v. | Visiting / Guest Faculty (in the identified subject
areas not available in the applicant deptt./
university) (@ Rs. 1.20 lakh p.a.) | 6.00 |

vi. **Staff (Academic)**

For Universities

Reader/Lecturer - Two (2)

For Colleges

Lecturer - upto Three(3)
(As per actual)

The faculty position, if any, for introduction of innovative courses in Emerging Areas must be filled up by scholars having specialized qualifications in the concerned subject.

(UGC assistance for staff approved, if any, will be for programme duration only. Thereafter, the State Government / University / Institute/College concerned will take over the recurring liabilities as per general terms and conditions of the UGC)

Total

20.00 + staff

Grand Total (NR + R): 40.00 + 20.00

60.00 lakhs + staff
(on actual basis)

Rs.60.00 lakhs is the maximum admissible grant which would be the upper limit and depending on the need of the Course, this amount can be less than the maximum given limit.

4. PROCEDURE FOR APPLYING FOR THE SCHEME

The UGC will circulate the guidelines of the scheme among the Vice - Chancellors / Registrars of all eligible Universities / Institutes with the request for onward circulation (photocopies) to the eligible departments in the University and financial also to the Principals of the Colleges in their jurisdictions which are receiving financial assistance as per UGC Act.

The University / Institute / College may submit their proposals as per the guidelines and in the prescribed form given in the guidelines, with full information. The proposal should reach the UGC office, New Delhi on or before 31st July of every year. The final outcome should be communicated to the Institution on or before 31st December every year so that the Institution could implement the programme from the next academic year.

The proposals of the Colleges eligible as per guidelines should be submitted through their respective universities. Otherwise they will not be accepted for consideration.

5. THE FOLLOWING KINDS OF PROPOSALS WILL NOT BE CONSIDERED.

- i) Proposals not recommended by the Screening Committee in the Universities/ Colleges constituted as per Annexure-II.
- ii) Proposals not prepared and submitted as per guidelines and in the prescribed form with full information and duly signed and forwarded by the Competent authority as indicated in the form.
- ii) Proposals for creation / establishment of new Centre / Departments will not be considered under this programme.
- iv) **Proposals for introduction of Diploma/Certificate and M. Phil Courses will not be considered.**
- v) Any proposal submitted under Innovative Programme for introduction of new courses / modernization of courses by a Department receiving support from UGC under SAP/COSIST (now ASIST) programme will **not** be considered as introduction / development of new courses in the approved thrust areas or related areas is a part of the Special Assistance Programme (SAP) / COSIST (now ASIST). As per the guidelines for SAP/COSIST Programme (now ASIST), the applicant department should introduce and implement the proposed course with the facilities already made available under SAP/COSIST/ASIST Programmes for Post - graduate Education and Research.

- vi) However, the Department should obtain the recommendations of the full Advisory Committee of the SAP/COSIST (now ASIST) programmes in concurrence with the outside experts/nominees of the UGC and also approval of the University bodies (Board of Studies, Academic Council and Executive Council) before introducing the courses under Innovative Programme. This shall be supported/ provided more than **2 departments come together in developing, organizing and running the programme.**
- vii) If the proposed course is on self-financing basis.

6. PROCEDURE FOR APPROVAL BY THE UGC:

Every University can apply for 2 Innovative Programme in the XI Plan period. Affiliating College can apply for one programme in plan period. Rs.60.00 lakhs is the maximum admissible grant which would be upper limit and depending on the need of the course, this amount can be less than the maximum given limit.

Three tier System will be followed for processing of the new proposals for identification and support under Innovative Programme including Courses in Emerging Areas.

- A. **Short-listing at the University level:** The Vice-Chancellor shall constitute a Screening Committee to screen the proposals and to forward to UGC. He should receive the proposals on or before 30th April from the departments concerned. The Committee should evaluate each proposal keeping the guidelines in view and recommend **not more than 2 proposals each year.** In case it recommends more than 2 proposals then none of the proposals from that University shall be considered. While forwarding the proposals to UGC, the Universities should attach a one-page note for each proposal indicating the reasons why as to the proposals should be considered under the “Innovative” or “Emerging Area”.
- B. **Short-listing of new proposals at UGC level:** The Principal shall constitute a Screening Committee to screen the proposals and to forward. He should receive the proposals on or before 30th April from the departments concerned. The Committee should evaluate each proposal keeping the guidelines in view and recommend **not more than 1 proposal each year.** In case it recommends more than 1 proposal then none of the proposals from that college shall be considered. While forwarding the proposals to UGC, the colleges should attach a one-page note for each proposal indicating the reasons as to why the proposals should be considered under the “Innovative” or “Emerging Area”.
- C. **Short-listing of new proposals at UGC level:**

All the proposals prepared as per guidelines in the prescribed form (Annexure -I) with required information, received from the eligible University Departments/Institutes/Colleges through the University Vice-Chancellor/Registrar/Principal shall be considered.

The proposals received on or before 31st July shall be scrutinized and short-listed by the Expert Committees and the eligible and viable proposals are short-listed for further consideration by the Assessment Committee.

Terms of Reference for the Short-listing Committee of University/UGC

The Committee will:

- i. see that the proposals are in Emerging/ Innovative/ Multidisciplinary Area and are of an **innovative nature** and **not of a routine nature**.
- ii. identify new and emerging areas and specialized or interdisciplinary courses at the Under-graduate and Post-graduate level by the applying universities / institutes and colleges, which have the involvement of active researchers, scientists, social scientists, technologists, industrialists and academicians and the course proposed belongs to emerging or hi-tech areas or in the areas of **national and global priorities**.
- iii. see that the applicant department is viable in terms of its existing core academic staff with academic achievements to nurture and strengthen such courses in Innovative Areas in the University/Institute/College at the level (UG or PG) proposed.
- iv. see whether the proposed course will encourage, promote and make use of **original ideas** for promoting scientific and technical applications for the benefit of society.
- v. assess the possibility of success of this Innovative Course or creative project, within the approved duration.
- vi. if the applicant's department is found non-viable for financing under this scheme, give reasons for the same. Give the specific comments/recommendations in order of PRIORITY in the **FORM (Annexure - III)**

D. Assessment Committee for Final Selection:

The short-listed proposals thereafter will be assessed on the spot by an Assessment Committee which will generally consist of experts in the fields, preferably with one member from the expert committee who was invited to short-list the new/fresh proposals and one member in the subject area concerned. The representatives of the department proposing the introduction of the course will be invited to make presentation before the Assessment Committee for the final selection out of the shortlisted proposals. They will be asked to bring a certificate to the effect that the institution shall abide by the terms and conditions prescribed for the scheme. The Assessment Committee on the subject areas will submit their assessment report/recommendations to the UGC. The Committee will also finalize the quantum of financial assistance to be given within the financial limit as given in the guidelines and also mention the duration of the Innovative Courses or the Innovative Project.

Terms of Reference for the Assessment Committee

The Committee will:

- i. see that the proposals, in Emerging Area/ Interdisciplinary/ Innovative Course are not of a **routine nature**.
- ii. identify new and emerging areas and specialized or interdisciplinary courses at the Post-graduate level by the applying University/ Institute and college, which have the involvement of active researchers, scientists, social scientists, technologists, industrialists and academicians and the course/ project proposed belong to emerging or hi-tech areas or in the areas of **national and global priorities**.
- iii. assess the possibility of success of this innovative course or creative project, if the UGC agrees to support the same within the approved duration.
- iv. appoint Coordinator and Deputy Coordinator for the programme/course.
- v. recommend the financial inputs that may be provided within the approved limit **[(Rs.60.00 lakhs + staff (on actual basis))]** to a finally selected proposal after presentation and discussion with the Departmental Representatives based on the detailed and objective assessment of the proposal. The committee would give its report with specific recommendations as per the format (**Annexure - III**) that the proposal is of an innovative nature and is fit for support under the Innovative/ Emerging Areas/ Interdisciplinary Programmes and submit the report to the UGC for consideration.

7. PROCEDURE FOR RELEASE OF GRANTS BY UGC;

The Recommendations of the Assessment Committee after consideration may be approved by the UGC. Thereafter, approval of the UGC will be conveyed to the selected Departments and their Institutions on or before 31st December every year.

The UGC will sanction admissible grants according to the availability of funds under this Scheme on or before 31st March every year.

The concerned Institution is required to identify the Coordinator of the programme in the case of introduction of new courses. The Commission may approve the name of the person already given in the proposal with the approval of the Vice-Chancellor/Principal after consulting the representatives of the University/College at the time of presentation of the proposal.

The UGC expects that for better coordination and accountability for successful implementation of the programme, the Coordinator may continue for the full term of the programme or up to his/her date of superannuation as the case may be.

Conditions for receipt of grants under Innovative / Interdisciplinary Programme

- i. The general terms and conditions as applicable from time to time for UGC assistance are applicable to this programme.**
- ii. The University / Institute / College will take action to communicate or handover the following information, documents immediately on receipt of the approval letter from the UGC:
 - a) Letter of acceptance of the terms and conditions of grants of the programme by the Registrar of the University / Principal of the College and the Coordinator of the programme / project.
 - b) A copy of the approval of the University bodies (Executive Council, Academic Council and Board of Studies) to start the course as approved by the UGC in the University/Institute/ College.
 - c) An assurance from the University / Institute / College that the approved course will continue even after the UGC assistance to the programme ceases.
 - d) A separate Saving Bank account for the grant under the programme is essential to be maintained with intimation to the UGC.
 - e) The name of the bank and account number (for the programme) with detailed address may be intimated to the UGC, if financial support is provided under the programme.
 - f) The University / Institute / College will submit the name of the Statutory Auditors with their full address to be noted by the UGC.
 - g) The Coordinator should have the freedom to place orders and act as per directions of **Purchase Committee** constituted by the institution for the purpose as per guidelines.
 - h) **In the case where University / Institute /College is unable to follow the guidelines and terms and conditions of grant the assistance grant will be withheld and the funds paid may be asked to be refunded or even the programme may be withdrawn by the UGC.**

8. **PROCEDURE FOR MONITORING THE PROGRESS OF THE INNOVATIVE PROGRAMME (COURES)**

Monitoring/Evaluation and Review of the progress, performance, achievements made by the Department(s) approved under the Innovative Programmes including courses in Emerging Areas are done as under :-

- A - Departmental Committee
- B - Mid-term Monitoring/Review Committee
- C - Final Review Committee

A. **Departmental Committee**

The Departmental Committee headed by the Vice-Chancellor or his representative includes the Coordinator, Deputy Coordinator and Head of the Department / Senior faculty members. The Committee will be responsible for utilization of UGC grants and procurement of equipments etc. The Committee will also look into the scope of courses from time to time and may take appropriate steps to ensure fulfillment of objectives.

B. **Mid-term Monitoring/Review Committee**

The Mid-term monitoring and review is mandatory to the departments completing 2 years w.e.f. the date of implementation or as communicated by the UGC. For optimizing the efficiency and usefulness of the programme, the Mid-term Monitoring Committee constituted by the Commission will evaluate and review the academic, research achievements and progress of the work done and functioning of the department, either regionally or as decided by the UGC. On the basis of the report of the committee, a decision will be taken by the Commission and may be conveyed accordingly.

Details for mid-term monitoring and Evaluation Committee

1. An annual Progress Report should be sent by the Department on or before 30th April every year to the UGC. The department will submit a consolidated progress report for 2 years in the prescribed format (**Annexure -IV**). The UGC will organize group monitoring or on-the-spot visit for review of the departments which have completed more than two years from the date of approval of the programme or as communicated by the UGC.
2. The above Committee shall take mid-term review of progress and activities and also receive the minutes of the Departmental Committee. The final decision will be taken by the UGC.

3. The Committee will submit the report, highlighting the various achievements, facilities created, equipment procured, staff/faculty/fellows appointed (if approved by the UGC) the placement of the students utilization of the funds for the purpose it is sanctioned, the status of the Coordinators etc. as relevant to the programme.

C. Final Review Committee

At the end of duration of the programme with effect from the date of implementation or as communicated by the UGC, every department under the Programme is subjected to a final review to be undertaken by the UGC of the overall progress and achievements made during the period. The department will submit final progress report, academic and research achievements, infrastructure and facilities created, utilization of funds, placement of students etc. through a prescribed format to be sent in advance (**Annexure-IV**). This assessment is done through presentation of the work by the Coordinator and other faculty members of the Department before the Committee at Regional level or as decided by the UGC.

The expert committee will submit a report to the Commission for consideration.

Terms of reference of the Final Review Committee

1. The Committee will study in depth the progress report received from the department in the format supplied by the UGC.
2. The Committee will visit the departmental laboratories, library and other infrastructural facilities. It will hold discussions with the Vice-Chancellor, Coordinator, Faculty members, administrative authorities, research scholars and students, staff as may be essential in regard to various academic, teaching, research, collaborative activities, extension and training programme, resource generation, placement of the students etc. consequent upon the departmental participation under the programme.
3. The Committee would examine the progress of utilization of the grants, appointments made against posts approved and faculty in position etc.
4. Based on the detailed and objective assessment of the progress, the Committee will submit its report to the UGC with specific recommendations.

For Contact:-

**Secretary
University Grants Commission
Bahadur Shah Zafar Marg,
New Delhi – 110 002**

**PROFORMA
FOR SUBMISSION OF PROPOSAL
UNDER UGC INNOVATIVE PROGRAMMES**

Department:
University/College/Institute:
Address:
Pin code: Fax/Telex
e-mail Phone
Website:

1. Name of the Innovative Programme/course, subject/discipline proposed to be introduced.
2. **Whether University/College/Institute is included under Section 2(f) and 12(B) of the UGC Act (Enclose copy).**
3. Name of the University / College / Institute as approved by the UGC vide Section 2(f) of the UGC Act.
4.
 - i. Title of the Course:
 - ii. Proposed Post Graduate degree/P.G. diploma (full time) to be introduced with duration of the course:
 - iii. Indicate the academic year in which the course is proposed to be started.
 - iv. Number of the students expected to join for the course:
 - v. Whether there will be any sponsored candidates from the industry, agency /organization.
5. Specify objectives and goal to be achieved, with its impact on teaching, research or both.
6.
 - i. How this proposal comes exclusively under Innovative Scheme of UGC?
 - ii. How it does **not** fit in with other Programmes such as SAP, ASIST, etc.
7. Level of the course to be introduced
 - (a) Under Graduate — B.A./B.Sc./B.com.
 - (b) Post Graduate — M.A./M.Sc./M.com.
 - (c) PG Diploma — Please mention the title.
(After Graduation or P.G.)
8.
 - i. Specify whether the course belongs to emerging or hi-tech areas or in the areas of **national and global priorities**. (List.....)
 - ii. Describe in details specific possible themes which can be taken up for research.
 - iii. Describe the nature, scope, scientific importance, practical usefulness of the new course.

- iv. If the proposed course is problem specific, discuss the same. Give a brief note on the course if it is in the emerging area.
 - v. Whether the proposed course has already received financial assistance under the course of vocational education or under the course in the Innovative scheme or any other scheme of the UGC or any other agency.
9. (a) Major aims of starting the course by the University / Institute / College (Please specify your purposes)
 - i. Bringing innovation and excellence in **teaching or research** or both
 - ii To give a solution to the local/regional/global problems by training of the required human resources for :
 - a. Generating possible employment opportunities for the students in the area.
 - b. Serve industry, Govt./ other organizations which are possible users or are sponsoring agencies for courses etc. (put numbers here) and to mobilize industry / other organizations to know their requirements.
 - c. Solve problems in ecological / environmental / atmospheric and related aspects.
 - d. Societal education, research and teaching for popularization and application of the know - how, technology output.
 - e. Monitoring, abatement of and giving a solution to the hazardous problems, natural calamity disasters/ flood.
 - f. Any other (please specify).
 10. Indicate the names of other laboratories, international, national or industrial organizations or NGOs with possible area (s) of interaction in such cases, if any.
 11. Infrastructure available for running the course / innovation:-
 - i) Specify major equipments
 - ii) National / International facilities
 - iii) Space / building / class room / laboratory etc. for teaching the course and research.
 - iv) Existing teachers (Prof./Reader/Lecturer - provide names, area(s) of specialization, superannuation dates, experience with years, publication in referred journals).
 - v) Infrastructure / facilities available / created, if any, through Special Assistance Programme (SAP) and COSIST {ASIST} (give the list of equipment and other facilities)
 12. Nodal Department, Coordinator, and Deputy Coordinator of the programme.
 13. Collaborating Departments and the details of the teaching staff.

14. Name of industries or place or Universities / Institutes / Colleges where the work will be undertaken.
15. Furnish details of course collaboration needed along with the syllabus and the plan for infrastructure.
16. Specify the requirements based on the following:-
 - i) Most essential and critical requirements of staff, laboratory, equipment etc., required for starting the course.
 - ii) How much maximum time will be required to implement the innovative programme? (The programme has to be completed within 5 years from the date of approval).
 - iii) Whether the University/ Organisation/ Industry where the course/ innovative project will be undertaken has agreed to provide the required infrastructure facilities for the students? (If yes, attach the rule documents).
 - iv) Whether the State Government / University / Institute / College will take up the recurring liability after cessation of the UGC's assistance to the programme. Yes / No.
17. Mention innovative and creative part of the project (Highlight innovation or creative quality to be brought in).
18. Whether the course is meeting global requirements in hi-tech, emerging, thrust areas or it is a proposal to solve some issues or problems of national priority.
19. How is it going to influence research and teaching?
20. Whether the proposal/project has been submitted to any other agency? If so, what is the status ?
21. The University/College/Institute should mention whether the course is self-financed. Yes / No.
22. (If yes, the details of the fee structure and the total expenditure for the course may be indicated)
23. Indicate the fee to be charged by the College/University/Institute per student per annum / per semester for the proposed course (under aided scheme).
24. Whether fee will be charged as per State Government/University Rules - Yes/No.
25. Whether the University / Institute / College is already running the proposed course? If yes, please mention year of starting.
26. Give specific item-wise details for non-recurring (one time grant) and \ recurring (annual requirements). The list of the equipments priority-wise with cost may be provided. The infrastructure/facilities created, if any, through SAP and COSIST (ASIST) programme may be kept in view.

- Proposal/project will not be considered if it is not submitted in the prescribed form. The proposals from Colleges/Institutes should be submitted through their respective universities. A copy of the proceedings of the Screening Committee constituted by the Vice-Chancellor/Principal should be attached.
- Five hard copies of the proposal are to be submitted to the Secretary, UGC, New Delhi.

**Signature of the Coordinator
of Innovative Programme.**

**Signature of the Registrar
(With Date and Seal)**

**Signature of the Head of the Nodal Department
(With Date and Seal)**

**Signature of the Principal
(In case of College/Institution)
(With Date and Seal)**

Signature of Head(s) of Participating Deptts

UNIVERSITY GRANTS COMMISSION

SCREENING COMMITTEE AT THE UNIVERSITY/COLLEGE LEVEL.

A Screening Committee consisting of 3 members at University/College level may be constituted by the Vice Chancellor of the University/Principal of the College. The Vice Chancellor/Principal of the University/College shall be the chairman of the Committee. One Expert in the subject concerned may be invited from outside the jurisdiction of the University.

The proceedings of the meeting of the Screening Committee should be attached along with the proposals.

**SUBJECT COMMITTEE MEETING FOR SCRUTINIZING AND SHORTLISTING OF
THE NEW PROPOSALS**

COMMITTEE ON _____

**NAME OF THE COURSE
PROPOSED TO BE INTRODUCED** _____

DATE OF MEETING _____

EVALUATION SHEET

1. Name of the Nodal Department /University/Institute/College
2. Proposal for consideration under Innovative Programme (Please tick mark)
3. Indicate in what way the course proposed is of an Innovative nature or in frontier areas of knowledge.
4. Whether the applicant department is viable or non- viable
in terms of its existing core academic staff, academic: **Viable / Non-viable**
achievements to nurture and strengthen such courses
in the University/College at the level (UG & PG) proposed
5. In what way the proposed project will encourage, promote and make use of original ideas for promoting scientific and technological applications for the benefit of society
6. The specific reasons (in brief) for which the course/project is NOT VIABLE at present, in terms of the position at S.No. 4 and 5.
7. (a) If recommended for further consideration,
(i) Recommended for (Name of the Course)
(ii) Specific Comments/ Recommendations

(b) Not recommended (Give reasons)

SIGNATURE OF THE EXPERTS

- 1.
- 2.
- 3.
- 4.

SIGNATURE OF THE UGC OFFICIAL

UNIVERSITY GRANTS COMMISSION

REPORT OF THE ASSESSMENT COMMITTEE TO CONSIDER THE VIABLE, SHORTLISTED PROPOSAL FOR FINAL SELECTION

Committee in the subject of _____

Date and Place of meeting:

1. Name of the Nodal Department/University /Institute/College with full Address
2. Name/title of the Course originally proposed:
3. Name/Title of the Course/Identified by the Short-listing Expert Committee:
4. Date of Short-listing Expert Committee meeting:
5. Indicate the reasons for selection of this project
6. If not recommended, the specific reasons thereof may be indicated:
7. Name/Title of the Course/Project **finally** recommended by the Expert committee:
8. Level of course Recommended: UG :
PG :
PG diploma :
9. Duration of the Course recommended:
10. Students in take, if any, recommended per year;
11. Name of the Coordinator and Deputy Coordinator recommended
12. Name of the representatives with designation who presented the proposal before the Committee.
 - 1.
 - 2.
 - 3.
 - 4.
13. Names of Experts and UGC Official
 - 1.
 - 2.
 - 3.
 - 4.

Recommendation of the Committee

Financial inputs recommended for implementing the (course) _____
in the nodal Department of _____
University/college for a duration of _____years.

Items recommended

(as per guidelines)

Amount recommended

(within ceiling)

(Rupees in Lakhs)

NON-RECURRING :

RECURRING (within the ceiling of Rs.20.00 lakhs + staff) (as per actual)

EXPERTS

UGC OFFICIALS

- 1.
- 2.
- 3.

UNIVERSITY GRANTS COMMISSION
PROGRESS REPORT

PROFORMA FOR SUBMISSION OF THE REPORT OF THE PROGRESS AND ACHIEVEMENTS MADE UNDER THE UGC ASSISTANCE FOR INTRODUCTION OF COURSES IN INNOVATIVE PROGRAMME.

INPUT DATA

PERIOD OF REPORT: From _____ To _____

I. GENERAL INFORMATION

1. Name of the University/Institute/College with full address, telephone, fax, e-mail telegram:
2. Level of the Course proposed and duration by the university:
 - a) Under Graduate - Yes/No
 - b) Post-Graduate - Yes/No
 - c) PG Diploma - Yes/No
3. Level of the Course and duration approved by the UGC.
4. Title of the Innovative Programme approved by the UGC and duration.
5. Department(s) involved in implementing the Course/Programme approved by the UGC. Full address, telephone, fax, e-mail, Telegram:
6. Name of the nodal Department which is coordinating/implementing the course/programme and noted by the UGC:

II FACULTY INVOLVED AND COORDINATOR

7.
 - a) Name of the Coordinator of the Course/ Programme, Department with his/her designation
 - b) Areas of specialization
 - c) Date of Superannuation
 - d) List of publication in referred journals
 - e) Full address with telephone, Fax-Nos., e-mail.
8. Name of the other faculty members in the Nodal Departments with the information as at 7 (a) to (d)

9. Names of the faculty members of the other Participating Departments involved for implementation of the Course/Programme as approved by the UGC with the information as at 8 (a) to (d)

III FACULTY / OTHER STAFF APPROVED BY THE UGC FOR IMPLEMENTING THE SCHEME (Give numbers):-

Faculty	Name of the Faculty working	No. approved under the Scheme
Reader		
Lecturer		

10. UGC letter No. _____ and Date: -

IV STUDENTS/ CANDIDATES/RESEARCHERS

11. (a) Students/Candidates intake approved per annum by the UGC.
- (b) The Course/Programme is applicable for students/candidates passing out of
- (c) Number of the students/ Candidates expected to appear for the course/ involved in the programme per year
- (d) Number of the sponsored candidates/students from the industry, agency, organization (Also give the names of the industry, agency etc.)
- (e) Number of in-service candidates with their educational qualifications, period of service, department, University/Institute/Organization:
- (f) Number of the SC/ST students/candidates/ in-service candidates
- (g) Placement of the passed out students:

V. MAJOR AIMS OF STARTING THE COURSE BY THE UNIVERSITY/ INSTITUTE/ COLLEGE (PLEASE SPECIFY THE PURPOSE AS GIVEN IN THE PROPOSAL APPROVED BY THE UGC)

12. (a) Whether the approved Course/Programme is for bringing innovation and excellence in teaching or research or both in the area:-
- (b) Whether the approved Course/ Programme will help to give a solution to local/ regional/global problems by training of required human resources for:-
- i. Generating possible employment opportunities for students in the area :-
 - ii. Serving industry, government, other organization which are possible users or are sponsoring agencies for course/programmes etc. and to mobilize industry/other organization to know their requirements (give the names of industry, agency etc.)
 - iii. Solving problems in ecological/environmental/ atmospheric and related aspects
 - iv Societal education, research and teaching for popularization and application of the know-how, technology output:
 - v Monitoring, abatement of and giving a solution to the hazardous problems, natural calamity disasters/flood
 - vi. Any other (please specify)

VI. FINANCIAL INFORMATION

ASSISTANCE RECEIVED FROM UGC TO IMPLEMENT THE APPROVED COURSE/ INNOVATIVE PROGRAMME

13. Duration of UGC assistance approved for the Course/ Innovative Programme.
14. Total allocation of grants (Non-recurring and Recurring) approved by the UGC for the duration (Please give details according to the UGC approval letter(s) :
15. Re-appropriation/enhancement of the allocated grants approved by the UGC, if any (Please enclose a copy of the UGC letter):

Item approved	Original allocation	Re-appropriation/ enhancement	Period for which Re-appropriation was approved
1.	2.	3.	4.
NON-RECURRING			
RECURRING			

**16.TOTAL GRANTS RECEIVED SO FAR OUT OF THE ALLOCATION
APPROVED BY THE UGC FOR THE COURSE/INNOVATIVE PROGRAMME:**

Items approved	Duration approved	Total allocation approved (As per approval letter)	Grants received by the Univ./Instt./College so far(give UGC sanction letter and the date)	Amount actually provided to the Department by the University/Instt./College against the sanctioned grant and the date	If the department was paid less amount than the grants actually paid by the UGC for each item, the reason and the justification
1	2.	3.	4.	5.	6.
NON-RECURRING					
RECURRING					

17. ASSISTANCE RECEIVED BY THE DEPARTMENTS INVOLVED TO IMPLEMENT THE APPROVED COURSE/INNOVATIVE PROGRAMME INCLUDING NODAL DEPARTMENT FROM OTHER PROGRAMMES/SCHEMES OF THE UGC (SAP, COSIST, MAJOR RESEARCH PROJECT ETC.) AND OTHER FUNDING AGENCY.

Name of the Department	Name of the Agency	Name of the programme/ scheme/ course under which financial assistance has been received	Amount of assistance Received NR R Total -----	Duration for which assistance received	Year of Assistance received	Grants received from UGC under Development grants for Xth Plan period
1.	2.	3.	4.	5.	6.	7.

(b) Total fees charged from the candidates enrolled for the course(s):

VIII. INFRASTRUCTURE AVAILABLE FOR RUNNING THE COURSE/INNOVATIVE PROGRAMME

18. Specify the major equipments available with the nodal and other Departments involved to implement the Course/ innovative programme. List of equipments with their sources, year of procurements, model, make may be enclosed.
19. National facilities available, if any, in the Departments involved or any other departments in the University/ Institute/ College which has helped to implement the approved Course/innovative programme.
20. Space/ building/ class rooms available prior to the UGC assistance received for teaching the approved Course/innovative programme.
21. Infrastructural facilities available/ created, if any, through the UGC Special Assistance Programme viz. SAP, COSIST, COSIP, COHSSIP, Computer Development grants, Development grants prior to the assistance received for implementing the approved Course/Innovative Programmes.
22. Whether the University/Institute/College where the Course/innovative programme is being undertaken has agreed to provide the required infrastructure facilities for the students?

23. a) If the departments involved to implement the Course/innovative programme are not under SAP/COSIST Programme, whether they are using or allowed to use the facilities created by the other UGC SAP/ COSIST (ASIST) supported departments in the University.
- b) If not using, the reasons thereof.

Coordinator/ Deputy Coordinator / Head of the Department

(with seal)

Registrar/Principal With seal

PROGRAMME ACHIEVEMENT

PROGRESS AND ACHIEVEMENTS MADE ON THE MAJOR AIMS OF STARTING THE COURSE/INNOVATIVE PROGRAMME APPROVED BY THE UGC.

Period of annual / final report should be as per the actual effective date of starting / implementation of the Course/Innovative Programme/Project duration approved and noted by the UGC.

PERIOD OF REPORT: From _____ To

1. Name of the Scheme Programme under which financial assistance has been received
2.
 - (a) Level of the Course under UG/PG /PG Diploma approved by the UGC.
 - (b) Title of the Innovative Programme/Project approved by the UGC.
 - (c) Duration of the UGC assistance for Course/Programme/Project approved.
 - (d) UGC approval letter No. and date.
 - (e) Date of 1st installment amount received by the Department/coordinator from the University/ Institute/ College.
 - (f) Date of the 1st installment amount actually received by the University/ Institute/College.
3. Date of implementation (effective date) of the Course/Programme/Project as per instruction given in the approval letter or as decided/ noted by the UGC.
4. Date of Completion of the approved duration of the Course/programme/project as per instruction given in the approval letter or as decided/noted by the UGC.
5. Whether approval of the appropriate authorities in the University/Institute/College has been obtained before starting the Course/Programme. (A copy of the approved resolution may be enclosed)
6. Name of the nodal Departments coordinating the Course / Programme/Project.
7. Name(s) of the Coordinator(s) of the Course / Programme/Project.
8. Students/Candidates(SC/ST, sponsored general, in-service admitted per year against the intake approved by the UGC

9. Students/Candidates passed per year in each category with the Course/papers under the programme from date of induction till date (also give percentage)
10. Students/Candidates passed and placed in Central/ State Govt. Departments, industries, other funding/ sponsored agencies or teaching assignment in Universities/ Institutes/ Colleges (please give the names of employers)
11. Whether the Department has taken any survey about the job potential and the feed back of the placement of students/candidates who have passed the course or trained under the Programme/ Project.
12. Whether according to the feed-back the students/ candidates are seriously interested taking up the Course programme in view of the job potential in various agencies around and beyond their area.
13. Keeping in view the actual position of 10, 11 and 12 above whether the Department still feels that the Course/ Programme for human resource training should continue in their Universities/Institutes/Colleges and they will be able to continue the Course/ Programme after the grant from UGC assistance ceases.

Faculty	Approval of the UGC	Approval given by the	Appointed	vacant	Date of appointment

14. Whether the State Govt.'s concurrence to takeover the recurring liabilities of the approved staff after cessation of the UGC assistance for the approved duration of the Programme/ Course/Project has been obtained and communicated to the UGC.
 - (a) If so, a copy of the State Govt.'s letter may be enclosed.
15. (a) How the Course/Programme continued or is continuing or will continue without appointing the approved staff (within the approved duration):
 - (b) Since these are programme posts and approval of the UGC will lapse after the completion of the programme duration, whether the Univ./Institute /College will takeover the recurring liabilities to continue the Programme/ Course after completion of the programme duration and cessation of the UGC assistance to the programme. What will be the source of expenditure?

16. If approved under the Programme, the number of Visiting Faculties invited for lectures from the date of starting of the Programme/Course till date or up to the date of completion of the approved duration as per UGC norms. (Enclose the list of Visiting Faculties with their designation and address and topics of lectures and duration of stay)
17. Whether the University has constituted any Departmental Committee to implement the programme. If so, a list of the members of the Committee may be enclosed.
18. Number of Departmental Committee meetings held so far.
19. Highlight the specific suggestions / recommendations of the Departmental Committee, if any
20. Number of Seminars/Conference/Workshops/Refresher course organized and their topics which have helped the faculties and students involved under the programme Course.
21. Number of papers published, if any, by the faculties involved under the Programme/ Course which have relevance to the Programme/ Course. (Please enclose a list of such papers published by the faculties involved under the Programme/Course).
22. Details of the course curricula introduced for implementing the course approved under the programme.

**UTILIZATION OF FUNDS RECEIVED FOR IMPLEMENTING THE COURSE/
PROGRAMME/ PROJECT APPROVED BY THE UGC AND OTHER FUNDING
AGENCY:**

23. As per effective date of Course/ Programme/ Project conveyed to UGC, a consolidated statement of actual expenditure incurred out of the grants approved and received from the UGC and other funding agencies, if any, to implement the Course/Programme/Project up till date (give specific date) or up to the date of completion of the approved duration may be submitted in the FORMAT given below:-

(During the period from _____ to _____)

Item approved (As per approval letter)	Total grant approved for duration	Grants received so far	Actual expenditure incurred so far	Utilization Certificate submitted for	Estimated expenditure for the remaining years of the approved duration	Remarks
1	2	3	4	5	6	7
<u>UGC NON-RECURRING</u> Details (As approved) <u>RECURRING</u>						

Other Funding Agencies						
<u>Non- Recurring</u>						
<u>Recurring</u>						

24. List of equipments purchased/facilities created out of the items approved for implementing the Course/Programme/Projects, indicating the cost of the item, model, make/year, date of installation or put into operation and the source of funds (UGC/Other funding agency)
25. Whether for maintenance of the approved and purchased equipments under the programme rate contracts have been signed with the suppliers.
26. The list of books and journals required to implement the Course/Programme/Project purchased out of the grants approved and paid for the purpose.
27. Whether any grant has been approved under Programme/Course/Project for construction of building or renovation, alterations and addition of existing labs. or to place the new equipment facilities. The UGC and State share, if any, approved for the purpose.

UGC share-Rs.
State share-Rs.
Total _____-Rs.

28. Whether as per rules the University has obtained prior approval of the UGC/ State Government for Plans and estimates before starting of the construction work etc. If not, the justification thereof.
29. Whether the State Govt./University will bear excess expenditure on the building etc., over and above the allocation approved by the UGC/other funding agency.
30. Whether the plans and estimates of the proposed building works etc. with all required documents were submitted to the UGC/State Government for approval.
- a. Total cost of the plans and estimates proposed by the University Rs.
- b. Total cost of the plans and estimates approved by the UGC/State Govt. Rs.
(Enclose a copy of the approval letter)
31. The University may give an assurance to take necessary steps/action to complete the building etc., approved under the programme, if any, within the approved duration of the programme.
32. If the building work etc. could not be completed in time, the maximum time required to complete the building work etc. may be indicated with the justifications for delay. This will be considered only if the approval of the plans and estimates were obtained and work started within the approved duration.
33. Please give some names of experts with their area(s) of specialization on the subject of the Course/Programme/Project.

Signature: **Coordinator** **Head of the** **Registrar/** **Vice-Chancellor/**
With seal: **of the programme** **Nodal Deptt.** **Principal** **Director**

UNIVERSITY GRANTS COMMISSION

**PROFORMA FOR THE CLAIM FOR MAINTENANCE (EQUIPMENT)
GRANT UNDER INNOVATIVE PROGRAMMES**

1. Name of the Department/University with address.
2. Financial year of approval (Letter no. with date).
3. Date of implementation of the programme in the Department as per Guidelines.

Name of equipmt. with Serial No. in the app- proved list	Approved cost (Equipmt. wise)	Actual Cost	Contact signed etc. for mainten- ance of equipment if any, with document	Date of receipt of the equipmt. ssioning	Date of instalation and Commi- period	Date of Completion of warranty/ guarantee

Signature
Head, Department/Coordinator
of _____
University/Institute

Signature
Registrar/Principal of the
University/Institute

-
1. First installment of maintenance grant of 5% of the total cost of the equipment purchased may be released after the warranty/guarantee period is over.
 2. The second installment may be released to the extent the first installment of maintenance grant is utilized : that is to say that at any given time, the department can have only maintenance grant of 5% of the cost of the equipment. Within a period of five years for major repairs, the amount could be released as a special case beyond 5% not exceeding total due for five years period under the head Maintenance and Up- gradation of the Equipment.

ANNEXURE-VII

UNIVERSITY GRANTS COMMISSION

STATEMENT OF EXPENDITURE

University/Institution _____ Sanction letter No. and Date _____ Statement of Actual expenditure during _____ And estimated expenditure for _____.

NON-RECURRING

(As approved by UGC)

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

RECURRING:

(As approved by UGC)

Item of Expenditure	Actual ceiling	Grant received	Actual expenditure	Excess/Saving (difference of Col. 3 and 4)	Estimated expenditure	Remarks

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

Signature
Registrar/ Principal with Seal

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

**UNIVERSITY GRANTS COMMISSION
UTILIZATION CERTIFICATE**

It is certified that the amount of Rs. _____
(Rupees _____)
out of the grant of Rs. _____ (Rupees
_____ sanctioned to
_____ by the
University Grants Commission vide its letter No. _____ dated
_____ towards _____
_____ under
_____ scheme has been utilized for the purpose for
which it was sanctioned and in accordance with the terms and conditions as laid down by the
Commission.

If as a result of check or audit objection some irregularities are noticed at a later stage,
action will be taken for refund, adjustment or regularization.

Signature
Registrar/Principal with seal

Signature
Finance Officer with seal

Signature
**Coordinator of the programme/
Head of the Department**
(As the case may be)

Signature, Chartered Accountant
with seal and Registrar No.
(If the accounts were audited
prior to the audit of Statutory
Auditors)

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

