राष्ट्रीय उच्चतर शिक्षा अभियान

Rashtriya Uchchatar Shiksha Abhiyan (RUSA)

Draft Guidelines for Consultation

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Department of Higher Education
Ministry of Human Resource Development
Government of India
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GUIDELINES

1. Introduction

The 12th Plan proposed a holistic plan for the development of higher education in the country by ensuring access, equity and quality. The Plan, which recommended strategic utilization of central funds to ensure comprehensive planning at the State level recommended a new Centrally Sponsored Scheme (CSS) "Rashtriya Uchchatar Shiksha Abhiyan (RUSA)".

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

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

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

These guidelines are intended for the use of States and institutions in preparing for participation in the reform process under RUSA during the 12th Five Year Plan period.The guidelines are not a substitute for the RUSA document which can be accessed from the website of Ministry of Human Resource Development(www.mhrd.gov.in/rusa).

2. Vision

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

3. Objectives

- To achieve the Gross Enrolment Ratio (GER) target of of 25.2% by the end of 12th Plan and 32% by the end of 13th Plan
- Improve the overall quality of existing State higher educational institutions by ensuring their conformity to prescribed norms and standards
- Adoption of accreditation as a mandatory quality assurance framework.
- Usher transformative reforms in the State higher education system by creating a facilitating institutional structure for planning and monitoring.
- Ensure governance, academic and examination (and evaluation) reforms and establish backward and forward linkages between school education and the job market.
- Expand the institutional base by creating additional capacity in existing institutions and establishing new institutions in un-served and underserved areas by way of upgradation and consolidation.
- Create opportunities for states to undertake reforms in the affiliating system.

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- Ensure adequate availability of quality faculty in all higher educational institutions and ensure capacity building at all levels.
- Create an enabling atmosphere in institutions to facilitate research and innovation.
- Integrate the skill development efforts of the government through optimum interventions.
- Correct regional imbalances in access to higher education.
- Improve equity in higher education by providing adequate opportunities to socially deprived communities; promote inclusion of women, minorities, SC/ST/OBCs and differently- abled persons.
- To identify and fill up the critical infrastructure gaps in higher education by augmenting and supporting the efforts of the State governments.
- Promote healthy competition amongst states and institutions to address various concerns regarding quality, research and innovation.
- Clearly define role of State governments vis-a-vis higher educational institutions.
- Facilitate the creation of State Higher Educational Councils(SHECs).

4. **Key Features**

- RUSA is an umbrella scheme operated in mission mode that would subsume other existing similar schemes in the state higher education sector.
- Norm-based and performance-based funding.
- Commitment by States and institutions to certain academic, administrative and governance reforms will be a precondition for receiving funding.
- Funds would flow from the Ministry of Human Resource Development (MHRD) to universities and colleges, through the State governments.
- Funding to the States would be made on the basis of critical appraisal of State Higher Education Plans(SHEPs). SHEP should address each State's strategy to address issues of equity, access and excellence.

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- Each institution will have to prepare an Institutional Development Plan(IDP) for all the components listed under the Scheme. It will be aggregated at the State level, after imposing a super layer of State relevant components into the SHEP.
- State higher education councils (SHEC) will have to undertake planning and evaluation, in addition to other monitoring and capacity building functions.
- SHEC will be the key institution at the state level to channelize resources to the institutions from the State budget.
- Two on-going Central schemes of Model Degree Colleges and sub-mission on polytechnics will be subsumed under RUSA.
- UGC Schemes such as development grants for State universities and colleges, one-time catch up grants, etc. will be dove-tailed in RUSA. Individual oriented schemes would continue to be handled by UGC.
- Centre-State funding would be in the ratio of 90:10 for North-Eastern States, Sikkim, J&K, Himachal Pradesh and Uttarakhand and 65:35 for Other States and Union Territories (UTs).
- Funding will be provided for government-aided institutions for permitted activities, based on certain norms and parameters, and in a ratio of 50:50.
- States would be free to mobilize private sector participation (including donations and philanthropic grants) through innovative means, limited to a ceiling of 50% of the State share (see chapter 6 of RUSA document for more details).
- State-wise allocations would be decided on the basis of a formulaic entitlement index which would factor in the population size of the relevant age group,GER and Gender Parity Index(GPI) across categories,State expenditure on higher education,institutional density, teacher-student ratio, issues of access, equity and quality and excellence in higher education,etc.

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Further allocation of funds would be dependent upon performance of the state and its demonstrated commitment to the reforms agenda.

5. Target Group

- State Universities and colleges {both 12B and 2(f)} compliant and non-12B and non-2(f)).
- Government-aided colleges would be entitled to some components (including infrastructure support) as approved by the PAB. Funding to such colleges would be decided based on their antiquity and other parametes.(see section 4.2 of RUSA document for more details).

6. Approach and Strategy

- RUSA would follow a bottom-up approach for planning and budgeting to redress multiple and graded inequalities.
- States would also become equal partners in planning and monitoring. The yardstick for deciding the quantum of funds for the States and institutions under RUSA comprise the norms that reflect the performance in key result areas; access, equity and excellence.
- Access, Equity, and Excellence would to be the main thrust areas. Considering the inter-linkages between them and taking into consideration the current realities existing in the country, these objectives would be pursued differently. This would necessitate reforms in governance arrangements at all levels (national, state and institutional), with suitable implementation frameworks and monitoring arrangements.

- Planning process would begin at the institutional Level, with the IDP based on inputs/ discussions with the stakeholders within the institution. These IDPs would be aggregated to form the SHEP. The SHEP would have mainly

two components; State component and institutional component. The SHEP would be further broken down into annual plans, by taking the various factors under the eighteen components into consideration. These annual plans will constitute the basis for determining the funding to states (format of the IDP and SHEP are placed at Annexure II and Annexure III; also see sections 7.5 and 7.6 of RUSA document).

- In order to be eligible for funding under RUSA, States will have to fulfil certain prerequisites towards reform process which include academic, sectoral and institutional governance reforms.
- Each State must undertake a baseline survey against which performance and progress would be measured.
- Once eligible for funding under RUSA, the States will receive funds on the basis of achievements and outcomes. Future funds flows would be determined based on outcomes and achievements against the targets.
- RUSA would enable and empower the States to develop sufficient capa**bilities** t**o** plan, implement and monitor initiatives for the higher education sector as a whole.
- Preparatory funds that would be provided to the State governments to equip them for complying with the prerequisites would be based on a differential funding method.

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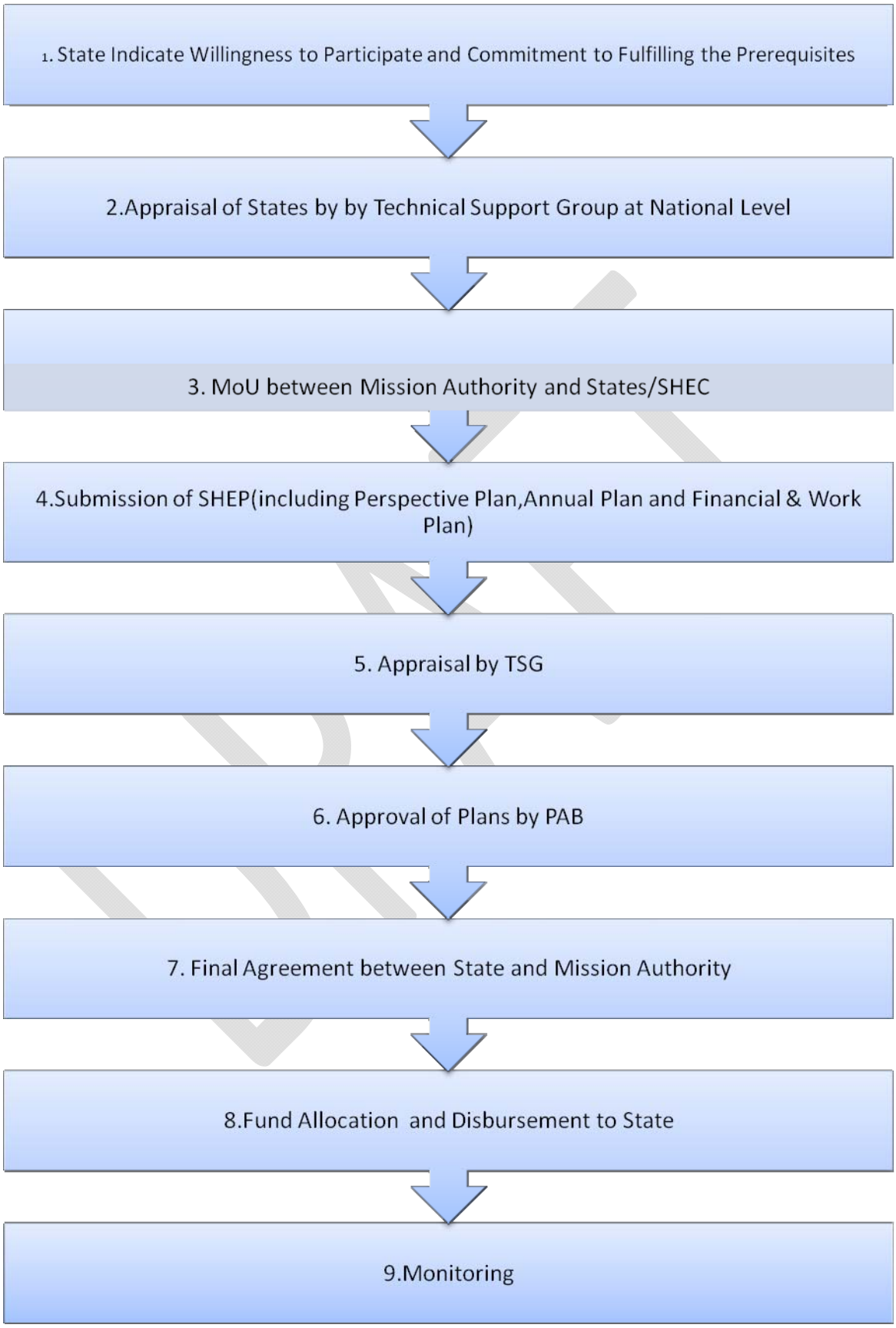

7. Prerequisites

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

States	Institutions
• Setting up of SHEC • SHEP(including Perspective Plan, Annual Plan and Financial & Work Plan) • State funding commitment – share and timeliness • Filling of faculty positions • Affiliation reforms • Setting up of accreditation agencies • Governance and administrative reforms • Academic and examination reforms	• Institutional governance reforms • Academic reforms • Examination reforms • Project Management Teams • Equity Commitments • Commitments on research and innovation efforts • Faculty recruitment and improvement • Establishment of MIS • Regulatory compliance

8. Overview of RUSA Norms

All land will be provided by the State governments. The State government shall acquire and have undisputed possession of land in any case where a new institution is proposed to be set up or expanded.Any future legal disputes will also be handled by the State government and the Centre shall not be a part in it. For all civil works, the cost estimates mentioned for RUSA components would constitute

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the upper limit. However in case the State SSR is lower than the cost estimates of RUSA, it will be State SSR 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 of the State SSR, whichever is lower.

However States would be free to enhance its own share for any component. It may also add new components, which are not mentioned under RUSA provided it is willing to bear the entire additional expenditure.

The States would be free to mobilize up to 50% of their share through private grants and donations, Corporate Social Responsibility (CSR) contributions, Public Private Partnerships (PPP) etc. States, especially in the North Eastern region, may also consider availing of Viability Gap Funding (VGF), administered by the Department of North Eastern Region (DoNER). Similarly, States located outside the North Eastern Region may avail the VGF administered by the Department of Economic Affairs, Ministry of Finance where bulk of the investment would be private and the States could meet a portion of the cost, to make the project viable. Additionally States may make use of the Rural Infrastructure Development Fund (RIDF) for financing of infrastructure projects under RUSA in rural areas.

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 rules and procedures and State GFRs.

States would be required to procure all consumables, equipments, furniture, fixtures etc. in accordance with the State procurement policy. In all such cases competitive bidding and e-procurement method should be adopted.

Affiliation reforms and accreditation norms as elaborated in Section 4.8.7 in the RUSA document should be followed by States.

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9. Programmatic and Financial Norms of Various Components

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

Component 1	**Creation of Universities by way of Upgradation of Existing Autonomous Colleges**
Summary 45 autonomous colleges (autonomy granted by University Grants Commission atleast in 2008 or earlier) that have necessary infrastructural facilities, antiquity, teaching strength and quality will be considered for up-gradation to Universities.	
The conversion plan for the creation of universities must include stage-wise planning with regard to expansion in infrastructure, number of students, departments, administration, academic functions, research activities, etc. It must also cover the timelines and concrete steps that will be taken for the integration of all the concerned colleges as well as the expected end state of the new University. I. Existing autonomous colleges which fulfil the following requirements will only be	

considered for upgradation:

I (a). Physical Infrastructure

- Must have been in existence for at least 15 years.
- The minimum existing enrollment of the college must be 2000 and the proposed total enrolment of students must be enough to sustain the institution as a university with a minimum enrolment requirement of 4000 students.
- The land already available with the college must be enough to support the additional enrollments and capacity (at least 15 acres in mega cities,20 acres in metro cities and 25 acres in rest of the country).
- Should have adequate library, hostel, laboratory, ICT and sports facilities.

I(b). Academic Quality

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

I (c). Governance and related issues

- Must have a robust internal governance structure: with Academic Council, Board of Studies/Research Councils and Finance Committees as per the guidelines of the regulatory body.
- Must have enough administrative staff and the capacity to function and be managed

as a University. States are required to sanction additional staff as soon as the approval of PAB is received.

II. Future Commitments

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

II (a). Physical Infrastructure

- Convert all the existing buildings into fully disabled friendly 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

II(b). Academic Quality

- Inter-disciplinary and trans-disciplinary programmes should be encouraged;the upgraded institution should be a multi-disciplinary university.
- Commit to rigorous evaluation on the indicators under the Institutional Plan template with greater weightage on "Quality and Research index" after 3 years of its establishment as a University (see page 194 of RUSA document).
- Commit to adequate library, laboratory and hostel facilities.
- The institution must commit to inclusion of ICT in teaching and learning processes in all its colleges and provide internet access(preferably WiFi) to all students
- Specify the innovations contemplated in academics and governance.
- Specify how to make innovations sustainable and scale-up.
- Should have a teaching to non-teaching ratio of 1:1.1

II(c). Governance and related issues

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

functioning of institutions).

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

II(d). Equity and Inclusion

- Adherence to merit-based admission of students.
- 50% of hostel seats should be reserved for socially and economically weaker sections.
- Adherence to the reservation policy of State government in admission and faculty recruitment.

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

	6	School of Humanities and Liberal Arts	800	266.96	1050	332.03	750	334.87
	7	Classrooms (Common)	5000	1668.55	5000	1581.1	3000	1339.5
	8	Central Library	2000	667.42	2000	632.44	2000	893
	9	Auditorium	1000	333.71	1000	316.22	1000	446.5
	10	Canteen/Cafeteria/Toilet Blocks/Misc.	750	250.28	750	237.16	500	223.25
		Total	15385	5134.1	16300	5154.36	11590	5174.92
	No	**Item**	**TIER 1**		**TIER 2**		**TIER 3**	
			Area (SM)	**Total Cost Per SM**	**Area (SM)**	**Total Cost Per SM**	**Area (SM)**	**Total Cost Per SM**
				26096		**24722**		**32581**
				Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
	1	Hostel	1400	365.34	1400	346.1	1000	325.81
		Grand Total	19385	5499.44	20300	5500.46	12590	5500.73

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

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

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

Note 4*: Staff -*

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

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

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

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

Note 7:States ensure that the university would create at least three schools (including the existing schools) with at least two departments in each school.

Component 2	**Creation of Universities by conversion of colleges in a cluster**
Summary	

Cluster universities aims essentially at addressing the critical gaps in the spatial distribution of higher educational institutions across the States. 35 new cluster universities would be created during the current Plan period with an average allocation of Rs.55 crore per university and 65 during the next Plan period 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 that have adequate academic, physical and technical infrastructural facilities. All the participating colleges in a cluster would eventually become constituent colleges of the newly created university.

Colleges identified as *Colleges with Potential for Excellence* or any other criteria which amply demonstrate the various quality parameters of an institution will be considered as the lead institution or a nucleus around which the cluster university would be established. Colleges joining the cluster must have the capacity to function as a university. 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, 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.

I. The requirements that need to be fulfilled by each of the participating colleges are listed below:

I (a). Physical Infrastructure

- All participating colleges should have been in existence for 15 years.
- Should have an existing combined enrollment of 2000 students and the proposed total enrollment of students must be enough to sustain the institution as a university with a minimum enrolment requirement of 4000 students.
- As the university would be a multi-campus university, the physical proximity of the institutions should be such that they are able to share physical and human resources and would be able to facilitate student and faculty mobility (ideally within a maximum

radius of 15-20 kms from the lead institution (to take into account the special condition of North East Region States).

- The State government should identify a nucleus college or ensure the availability of necessary land required for the university in and around the nucleus college to build university super-structure.

I (b). Academic Quality

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

I(c). Governance and related issues

The participating colleges should have:

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

Equity and Inclusion

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

II. Future Commitments

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

II(a). Physical Infrastructure

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

II(b). Academic Quality

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

II(c). Governance and related issues

- Agree to a shared vision and principles of association
- Address the affiliation issues of the existing universities in the State.
- Agree to certain principles of governance like equal status to participating institutions, collective decision-making, autonomy and accountability, independence and interdependence, physical proximity, optimal size, partnership of publicly funded institutions, etc.
- Agree to a Memorandum of Understanding which should clearly specify the nature and extent of relationship among partnering colleges and lay down the modalities for the functioning of the cluster.

- Agree to a governance structure which should ensure equal and adequate representation of partnering institutions for democratic decision-making and effective implementation of academic programmes, financial autonomy and social accountability(see section 4.8.9 of RUSA document).
- An appropriate governance structure for cluster universities shall be detailed by respective States through a new Act or amendments to the existing Act within a year from the date of establishment.

II(d). Equity and Inclusion

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

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		Blocks/Misc.						
		Total	15385	5134.1	16300	5154.36	11590	5174.92
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Note 1*: These costs are illustrative; the grant is subject to a maximum of Rs 55 crores for each institution.*

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

Note3*: Equipment, fixtures and furniture are part of the estimate*

Note 4*: Staff -*

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

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

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

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

Note 7: *States ensure that the university would create at least three schools (including the existing schools) with at least two departments in each school.*

Component 3	**Infrastructure Grants to Universities**

Summary

Infrastructure grants shall be utilized for meeting critical infrastructural needs that would lead to immediate quality gains such as upgrading of libraries, laboratories, equipments, hostels and toilets, etc. 150 public universities will be given a grant of Rs.20 crore each during the current Plan period.

Funding Priorities:

- Universities will be prioritized for purposes of funding according to; (a) universities which have not been included under section 12B. These universities will be further prioritized on the basis of inter-se antiquity (year of establishment; (b) universities included under section 12B but have not received funding.
- Within each of the above categories (a) and (b), those universities which have either already implemented or given the commitment to the earliest implementation of institutional governance reforms, examination reforms, academic reforms and vocationalisation of higher education will be given priority over other universities which have not implemented/given commitment to implement reforms.
- Priority will also be accorded to universities on the basis of their NAAC accreditation on the factors that have a direct impact on teaching-learning process. If the institution is not accredited, its status while applying for accreditation will be considered.
- Priority to universities having special attributes, character and antiquity.

Future Commitments

- Instiitutions shall agree to abide by a Disclosure Management Framework.

Financial Norms

Item	Norms
Academic building	New construction not permitted
Administrative buildings	New construction not permitted
Campus development	Beautification,amenities,water supply,drainage,water harvesting,alternate energy sources, etc.
Laboratories	Repair/new equipments
Library	Renovation of buildings, digitization of books, journals, theses
Computer Centre/e-campus	New construction and upscaling of existing network to enable Wi-Fi,

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	LAN, etc.)
Hostels; separate for boys and girls	new construction permitted
Toilet blocks, separate for boys and girls	new construction permitted
Sports equipment/play facilities	new equipments permitted

Note 1: *The institution may choose from the components above for upgrading the existing facilities. Item costs would be restricted to those mentioned in Components 1 and 2 above.*

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

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

Component 4	**New Model Colleges (General)**

Summary

Districts that are listed as Educationally Backward Districts under the existing 374 Model College Scheme and have not been supported so far would be considered for funding. 60 new model colleges will be sanctioned during the current Plan period.

I. Funding Priorities:

"Educationally Backward Districts" will be graded into category A & B on the basis of following criteria; Category A districts will be will be given priority

- District with 0 - 1 colleges – Category A
- District with 2- 4 college – Category B

Districts in Category A will be given priority over Category B. However, within Category B priority will be given on the following basis:

- Low CPI (College Population Index, No of Colleges per 1,00,000 students of 18-23

age group).

- High proportion of socially and economically backward population
- Low GER for female students.
- Low GER (SC/ST).

II. Future Commitments

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

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

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

				Per SM		**Per SM**		**Per SM**
				26096		**24722**		**32581**
				Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
	1	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*: These costs are illustrative; the grant is subject to a maximum of Rs 12 crores for each institution.*

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

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

Note 4*: Staff -*

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

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

Note 5*: A differential funding method will be followed with regard to institutions located in Tier 1,Tier 2 and hilly areas.*

Component 5	**Upgradation of existing Degree Colleges to Model Degree Colleges**

Summary

Out of the 640 districts in the country, 288 districts would be covered under the New Model College Scheme. Funds will be provided for the upgradation of 54 colleges in the 12th plan period.

I. Funding Priorities

Priority will be given on the basis of College Population Index (CPI); districts with lower CPI will get preference. Amongst similarly placed districts, following criteria will be used to grade the institutions in A, B and C categories:

- High proportion of socially and economically backward population
- Low GER for female students
- Low GER (SC/ST)

II. **Future Commitments**

Colleges must have to fulfil the the following requirements:

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

Item	Norms
Academic building	New construction permitted
Administrative buildings	New construction permitted
Campus development	Beautification,amenities,water supply,drainage,water harvesting,alternate energy sources, etc.
Laboratories	Repair works and new equipments
Library	Renovation of buildings, digitization of books, journals, theses
Computer Centre/e-campus	New construction,upscaling of existing network to enable Wi-Fi,LAN, etc.)
Hostels; separate for boys and girls	new construction permitted
Toilet blocks separate for boys and girls	new construction permitted
Sports equipment/play facilities	new equipments permitted

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

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Component 6	New Colleges (Professional)

Summary

Grants will be provided for establishing new professional colleges in each of the 22 states having below the national average GER in technical education. The number of colleges for each state will be based on the evaluation of the proposals submitted by the States. 40 new engineering colleges would be sanctioned in the 12th Plan period. States which are over-saturated in terms of institutional density and vacant seats will not be considered for grants.

I. Funding Priorities

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

- District with 0 professional college – Category A
- District with 1 professional college – Category B

Districts in category A will be given priority over B; within category B, priority will be given to proposals that clearly spell out the areas where new professional colleges will be established. Proposals must also justify the location of the new proposed college keeping in mind the following factors:

- Districts without colleges
- High proportion of socially and economically backward population
- Low GER for female students
- Low GER (SC/ST)
- Student Population

II. Future Commitments

Colleges must have to fulfil the following requirements:

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

- Ensure special facilities/equipments for the disabled

Financial Norms	No	Item	TIER 1 Cities		TIER 2 Cities		Hilly Areas	
			Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM	Area (SM)	Total Cost Per SM
				33371		**31622**		**44650**
				Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
	1	Administrative Building	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
	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
				26096		**24722**		**32581**
				Rs. In Lakh		Rs. In Lakh		Rs. In Lakh
	1	Hostel	1280	334.02	1420	351.05	855	278.56
		Grand Total	7690	2599.84	8140	2599.27	5750	2600.31

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

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

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

Note 4*: Staff -*

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

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

Note5*: A differential funding method will be followed with regard to institutions located in urban, hilly, and normal areas.*

Component 7	**Infrastructure Grants to Colleges**

Summary

Infrastructure grants can be utilized by the colleges to address critical needs in institutional infrastructure, especially for creating/upgrading laboratories, libraries, hostels, toilets etc.3500 colleges will be given grant of Rs.2 crore each during the 12th Plan period.

Funding Priorities

- Colleges will be prioritized for purposes of funding according to; (i) colleges which have not been included under section 12B. These colleges will be further prioritized on the basis of inter-se antiquity (year of establishment; (ii) colleges included under section 12B but have not received funding.

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

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

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

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

Financial Norms

Item	Norms
Academic building	New construction permitted
Administrative buildings	New construction permitted
Campus development	Beautification,amenities,water supply,drainage,water harvesting,alternate energy sources, etc.
Laboratories	Repair/new equipments
Library	Renovation of buildings, digitization of books, journals, theses
Computer Centre/e-campus	New construction and upscaling of existing network to enable Wi-Fi,LAN, etc.)
Hostels; separate for boys and girls	new construction permitted
Toilet blocks, separate for boys and girls	new construction permitted
Sports equipment/play facilities	new equipments permitted

Note 1: *The institution may choose from the components above for upgrading the existing facilities. Item costs would be restricted to those mentioned in Components 1 and 2 above.*

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

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

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Technical Support Group levels and objective decision will be taken to support reasonable and balanced plans

Component 8	**Research, Innovation and quality improvement**

Summary
During the current plan period, 10 States will receive funds under this component to facilitate research and innovations.

Components to be funded(this list is only illustrative.All innovative schemes will be funded as per the decision of the PAB)

- 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
- Exposure visits for both faculty and students
- 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.

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<tr><td colspan="2">

- 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 working to prevent others from losing such stature.
- Special grants to faculty for conducting outstanding research.

</td></tr>
<tr><td>Financial Norms</td><td>An amount of Rs. 120 crores would be given to each of the 10 States which meet the prerequisites. States will have to prepare a Research an Innovation Plan(RIP) with components.

Note 1: Expenditure on hard components would be restricted to 60% of the total cost of the estimate. 40% would be towards expenditure on soft components

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

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

Note 4: States may decide the about unit of implementation.It can be either the State as a whole or a few select institutions.</td></tr>
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Component 9	**Equity Initiatives**
Summary During the 12th Plan period, 20 States will receive funds under this component. All State universities will be eligible to receive grants for equity initiatives.Innovative approach/schemes to ensure greater inclusion will be considered on priority.	
Funding Priorities	

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• Better participation rate of SC/ST/OBCs against specified percentages of reservations in institutions. The number of institutions that have/plan to create: • Equal opportunity cells • Remedial classes, language labs, etc., • Financial aid and scholarships for socially and economically backward students • Equity and gender sensitization campaigns • Innovative schemes/programmes to enhance equity and inclusion	
Financial Norms	Each State would be given an amount of Rs. 5 crores.States will be at liberty to design State-specific strategies.Even the unit of implementation can be either the State as a whole or a few select institutions.

Component 10	**Faculty Recruitment Support**
Summary Support will be provided to fill positions in the category of Assistant Professor or equivalent cadre against vacancies. 5000 such positions would be supported during the current plan period. All the State universities will be eligible to receive grants under this programme.The recruitment process will have to adhere to UGC norms and regulations.	
	Funding Priorities: • Commitments of States to take over the liability of faculty positions at the end of the scheme(after ……years) • Priority will be given to those states where more recruitment has taken place in the universities during the last 3 years • Lowest number of unfilled faculty positions. • Better student-teacher ratio • Priority will be given to new institutions. • Second priority shall be given to those states which have a faculty-student ratio between 15:1 to 20:1. • States with more than 20:1 ratio will have to first commit to sanction and fill positions to bring down the faculty-student ratio

	ratio to 20:1.
Financial Norms	Rs.5.8 lakh for each faculty position per year.

Component 11	**Faculty Improvement**

Summary
Academic Staff Colleges will be given funds to improve infrastructure and resources for training and capacity-building activities.

Funding Priorities

Priority will be accorded by taking the following factors into consideration:

- % vacancy in permanent staff positions.
- Number of refresher courses organized and the number of teachers who had undergone training in the past two years.
- Extent of employment of technology-enabled innovative teaching and learning practices.

Financial Norms	As per need. Rs. 10 crores will be given for each of the identified states.

Component 12	**Vocationalisation of Higher Education**

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

Funding Priorities

- **Implementing National Vocational Education Qualifications Framework(NVEQF)**

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

Financial Norms	Rs. 15 crores would be given to each of the identified States.

Component 13	**Leadership Development of Educational Administrators**

Summary

This is a centrally administered program for professional development for the professional development of educational administrators/academic leaders/policy makers. This scheme will support leadership development programmes for department heads, deans, registrars, principals, vice-principals, vice-chancellors, pro vice-chancellors,SHEC members,state project directors,commissioners,secretaries,etc.. Besides, capacity building initiatives will be provided to State-level policy makers and members of governing bodies at the institutional level.

I. **Funding Priorities**

- All states/State Universities and Colleges (government and government-aided) will be eligible.
- Funds to meet the governance prerequisites specified under RUSA.

Institutions which have a good NAAC accreditation status(Grade A)

II. Future Commitments

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

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

Component 14	**Institutional Restructuring and Reforms**
Summary Funds will be provided to States and Union Territories (depending on the size of the states) to enable them to create/strengthen necessary institutional framework for efficient and effective sectoral reforms. These funds can be utilized for setting up/strengthening State Higher Educational Councils, State Resource Centers and State Project Directorate.	
Funding Priorities • Creation of SHEC • Creation of State Accreditation agencies. • States which have already undertaken sectoral,academic and governance reforms or have committed to undertake them as a part of their willingness to participate in RUSA.	
Financial Norms	Each State will be given Rs. 10 crore each in two installments.20 States will be eligible to be covered during the 12th Plan period. **Note:** States that have already established SHECs will have to give a

	detailed proposal detailing the funds required for strengthening the existing ones and the activities to be carried out in the next two years. Final decision on the amount to be sanctioned will be taken by the PAB on the basis of a differential funding method. The states can utilize these resources in organizing meetings, consultations, workshops, trainings, hiring consultants and other preparatory work to prepare the state for the reforms and for setting up/strengthening State Higher Educational Councils, State Resource Centers and State Project Directorate.

Component 15	**Capacity Building and Preparation, Data Collection and Planning**
Summary Funds will be given to States and Union Territories to • Undertake baseline surveys • Data collection and compilation. • Organise meetings, consultations, workshops, trainings • Hire consultants • Preparation of State perspective plans/strategy reports	
Utilization of Funds Funds will be given upfront to all the States which agree to participate in RUSA to undertake baseline surveys Baseline survey shall be able to identify critical gaps in higher education and which would help in undertaking capacity building exercises to prepare SHEPs	
Financial Norms	Each State will be given a total amount of Rs. 5 crore each in two installments

Component 16	**Management Information System**
Summary Funds will be provided to create and maintain strong data systems at the State level for	

surveys and analysis that could provide information to the the national MIS.
Utilisation of Funds • The MIS shall be centrally designed, developed and implemented. • It shall cover all participating bodies and institutions. • A common tool shall be developed to generate standardized information that would help in monitoring progress of reforms, utilization of resources etc. • Universities and colleges shall be provided adequate infrastructural support to install the MIS and required training to the personnel for using the system.

Financial Norms	• Each State would be given an amount of up to Rs. 2 crore for covering recurring expenditure/maintenance,etc. • Design and Development of MIS including State and institutional level modules will be done centrally. • Equipments would be procured centrally.

Component 17	**Support to Polytechnics**
Summary In consonance with the Planning Commission guidelines, the existing scheme regarding Sub-Mission on polytechnics will be merged with RUSA.	
	Funding Priorities • Setting up of new polytechnics • Strengthening of existing polytechnics • Construction of women's hostels in polytechnics • Scheme of community development through polytechnics (CDTP) to provide non-formal, short-term, employment oriented skill development programmes through AICTE approved polytechnics.

Financial Norms	**1. <u>Setting up of New Polytechnics</u>** Financial assistance will be provided to States / UTs, limited to Rs.12.30 crore per institution to meet the costs of establishing a polytechnic in districts which do not have any government polytechnic and also under-served districts; subject to the respective State / UT Governments providing land free of cost, meeting 100% recurring expenditure and also non-recurring expenditure beyond Rs..12.30 crore. **2. <u>Strengthening of existing Polytechnics</u>** Financial assistance would be provided to upgrade infrastructural facilities of 500 existing diploma level public funded polytechnics by (i) providing financial assistance for modern equipments and replacement of obsolete equipments, (ii) providing modern facilities for application of IT in teaching, learning and testing processes and (iii) introduction of new diploma courses. The Scheme provides a maximum of Rs.2 crore per polytechnic. **3. <u>Construction of Women's Hostels in Polytechnics</u>** One time financial assistance, subject to a maximum of Rs.1.00 for each polytechnic, to be provided to 500 existing AICTE approved government / government aided Polytechnics. **4. <u>Scheme of Community Development through Polytechnics</u> (CDTP)** Annual recurring grants-in-aid upto a maximum of Rs 17.00 lakh and a one-time non-recurring grants-in-aid of Rs 20.00 lakh (Rs.13.00 lakh for old Community Polytechnics) would be provided to the select AICTE approved Diploma Level Institutions.

Component 18	**Management Monitoring Evaluation and Research (MMER)**
Summary This scheme is envisaged to provide support to resource centres and support groups for the effective implementation of various programmes under RUSA	

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Key Feature All States which qualify for funding under RUSA by meeting the pre-requisites would be eligible for MMER funds.	
Financial Norms	• 1% of the total outlay of RUSA will be given to the States as MMER funds for meeting the expenditure on creation and maintenance of Technical Support Group (TSG) at the State level. • An initial amount of Rs.2 crore will be given to those States that are eligible to participate in RUSA. • The balance amount will be decided on the basis of the final outlay decided for each State and will be released annually.

10. Guiding Principles

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

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

(see section 4.7 of RUSA document for more details)

11. Timeline

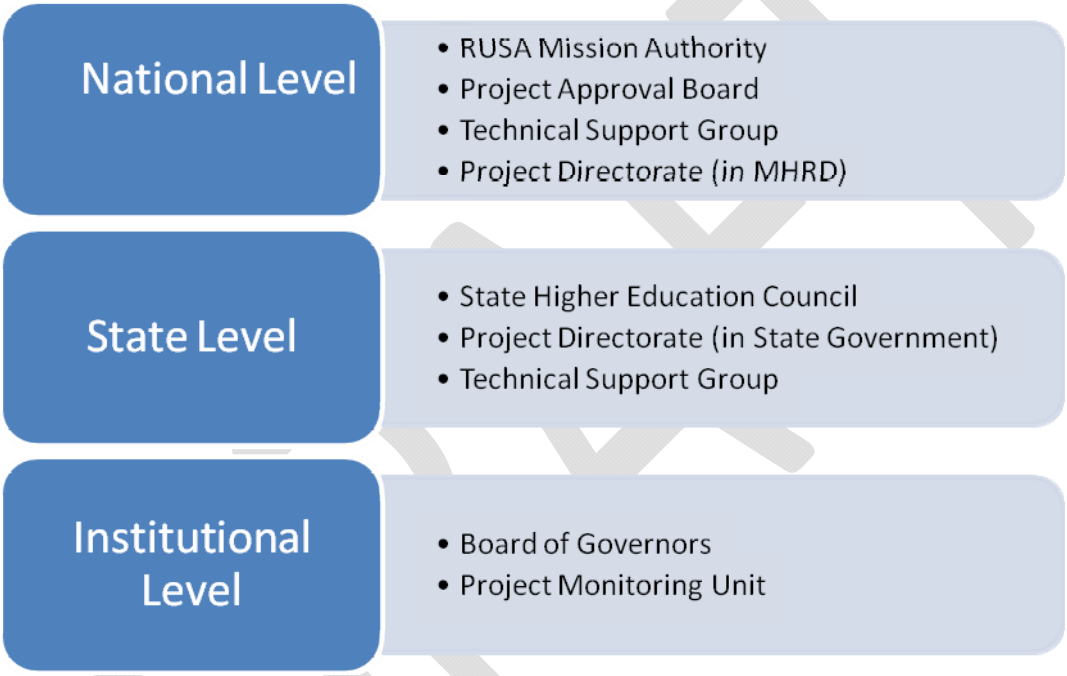
The beginning of the financial year (1st of April) would be the commencement date of the State Annual Plans. Hence, the budget needs to be approved and communicated at all levels before this date. This implies that it needs to be sent for approval and consented at all levels of authority before 1st of April. The success of budgeting exercise would be dependent on adherence to time schedules. Delays in

submissions and approvals would delay the finalization of the SHEPs. The tabular representation of the time schedule is placed at Annexure IV.

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

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

Institutional Structure for RUSA



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

13. Funding Strategy

13.1. Norm-based Funding

- Central funding under RUSA would be strategic, based on SHEPs.
- Funding under RUSA would necessarily have to be expended in the higher education sector in the State – and would not substitute State funding, since the state government would also have to necessarily increase its annual investment by a fixed percentage.

- Central funding is linked to certain sectoral academic and governance reforms.
- Institutions would also be encouraged to raise their own funds through various legitimate means.
- The overall norm-based funding schema should apply filters at the primary, secondary and tertiary levels to determine the eligibility of institutions to receive funding.
- The norms, which would determine the eligibility of institutions to receive funding, would also grade the institutions based on their level of compliance to regulations to determine the quantum of funding. Institutions will be given an objective score against these norms and it will decide the quantum of funds they will be eligible for.

13.2. Performance-based funding

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

14. Resource Allocation

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

- "Budgetary Demands" emanating from Institutions to the MHRD through the State Councils(via State governments).
- **"**Budgetary Approvals/ Allocations" conveyed from the MHRD to the State Councils/State governments and in turn to the institutions
- The overall allocation will be made on the basis of an equalisation formula/entitlement index placed at Annexure V.

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- An additional weightage has been assigned to ensure enhanced allocation of resources to States with weak socio-economic and health indicators.
- Socio-demographic variables like rural/urban distribution; proportion of SC/ST and vulnerable groups; districts with adverse education indicators; difficult, most difficult and inaccessible areas, left wing affected districts etc. would be considered while allocating resources to the districts.

Resource Allocation Pattern

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

14.1. Demand for additional funds

After the finalization of the SHEP, the states may place a demand for additional funds for various components of RUSA to the Ministry. After review and feedback from the concerned program divisions, the Ministry may approve or disapprove the request. In case of an approval, a letter/corrigendum shall be issued to the State notifying the revised approved amount. In case the demand for additional funds is not approved, the states may submit the proposal for consideration the following year.

14.2. Resource Envelope

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

- Uncommitted Unspent Balance.
- GoI Allocation proposed for the year.
- State's share due for the year.

15. Approval Process and Flow of Funds

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

15.1. Key Sources of Funds and Financial Outlays

- Grants-in-aid-made by or through the MHRD
- Contribution by the State Government.
- Centre-State funding in the ratio of ratio of 90:10 in the North Eastern states, Sikkim, J&K Himachal Pradesh & Uttarkhand, and 65:35 for other states and UTs.
- The State contribution made by the State Government will be booked as expenditure in the State Budget at the time of its release to the SHEC/Institutions
- The States would have to ensure availability of sufficient land for new construction activities free of cost. The cost of land acquisition, if any cannot be made a part of the total outlays.
- For reporting, the same may be reflected separately in the periodical FMRs and Statement of Funds Position (SFPs) and a separate Utilization Certificate

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of the total amount utilized along with unspent balance, if any, would be required to be furnished at the end of the financial year.

15.2. Fund Flow from MHRD to States

- The FMG at the GoI level puts a proposal to the Integrated Finance Division (IFD) for fund release.
- Approval of appropriate Authority would be taken for fund release to State/UTs concerned.
- Funds will flow to the State Consolidated Fund. Only upon receiving the State contribution into this account, resources will flow to SHEC and from SHEC to institutions based on the approved State Higher Education Annual Plan.
- After the approval, sanctions are issued to respective States after uploading on the website of the Controller General of Accounts (CGA). After this funds are transferred online to the states/ UTs.
- The States should contribute their share along with central share to the SHEC within 15 days. Non compliance will lead to charging of interest.

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

States will open and administer a main group bank account for receiving and crediting funds under RUSA.

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15.3. Fund Flow from State to Institutions (Universities and Colleges)

- State/SHEC should transfer the funds to the districts/institutions/executing agencies within 15 days of the receipt of funds from Central Government.
- Non-compliance of release of money by the State to the State Council/Institutions within the stipulated period shall lead to charging of interest and may further affect allocation of grants in the future.
- The releases made to institutions should be as per the approved Institutional Development Plans and after adjusting unspent balances from the previous year.

15.4. Frequency of Fund Release

The funds are released in tranches based on the utilization of previous funds. Normally, the funds are released in a minimum of two or more tranches if required.

16. Banking Arrangements

To facilitate movement of funds, proper banking arrangements at all levels is crucial. All funds are transferred through RBI approved banks. The transfer should take place through the Central Plan Scheme Monitoring System portal so as to ensure the following:

- Track the flow of Funds
- Online information of bank balance
- Track the utilization of money
- Ultimate e-payment to the beneficiary
- Dissemination of relevant information to the end users
- Decision Support System for all levels of program heads
- Enhance transparency and accountability in public expenditure

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16.1 Operating the main Bank Account

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

- The main Group account shall be utilized for crediting funds received from the GoI for various programmes under RUSA.
- Cheque signing mandate shall be given to the bank as per guidelines issued on 14-12-2006 and in line with delegation of powers issued by Ministry and/or State Government.
- The number of bank accounts at the institutional level may be kept at minimum so as to discourage scattered maintenance of RUSA funds as this results in weak financial management and poor internal controls
- No funds shall be kept in the form of a Fixed Deposit or any other investments of any nature other than the savings bank account. Moreover, savings accounts should be simple savings bank accounts and not smart savings bank accounts.
- Accounts at all levels may preferably be kept in government approved banks. In case there are no approved banks in the region then accounts can be maintained with the post office.
- No funds other than GoI releases and State's contribution should be kept in RUSA bank Accounts. Separate Bank Account to be maintained for funds received from other sources.

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16.2 Signatories to the Bank Account

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

17. Detailed component-wise allocations for target achievement

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

18. Flow of information

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

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

a. University

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

b. State Higher Education Council (SHEC)

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

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

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

19. Management Information System (MIS)

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

20. Monitoring and Evaluation

- The primary responsibility of monitoring will lie with the institutions.
- The management structure at the institutional level, i.e., the Board of Governors (BoG) will monitor the progress of institutional projects on a regular basis and shall provide guidance for improving the performance of the institutions in project implementation.
- Each institution will have to form a Project Monitoring Unit with appropriate representation from academic officials of the institution, faculty, senior administrative officers, technical and non-technical support staff and

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students. The Unit, headed by the Head of the Institution, will be responsible for the monitoring of the project at the institutional level.

The Project Monitoring Unit will perform the following roles:

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

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

21. Information Regarding State-level Functionaries

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

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Annexure 1

MHRD Letter addressed to States

R.P Sisodia
Joint Secretary (Higher Education) &
Mission Director, Rashtriya Uchchatar Shiksha Abhiyan

Dear

As you would be aware, on 3rd October, 2013, the Cabinet approved the new Centrally Sponsored Scheme of Rashtriya Uchchatar Shiksha Abhiyan (RUSA) for implementation in the 12th Plan.

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

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

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

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

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

With

Enclo: As above

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

To,

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

Copy to:

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

UNDERTAKING

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

Dated:

Place:

(Signature with official seal)

Name:

Designation:

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CHECKLIST

1. Name of State/Union Territory:

2. (a) Whether a State Higher Education Council exists:

   (b) If so by what name and what is its composition and role?

   (c) If not, by when does it commit to set up one?

   (Please enclose a copy of the order constituting the Council)

3. Whether it commits to prepare a State Higher Education Plan (Perspective, annual & budget plans) and submit them for consideration of the Project Approval Board?

4. (a) What is the expenditure on higher education as a percentage of Gross State Domestic Product (GSDP) in the last three years (2012-13, 2011-12 and 2010-11)?

   (b)Whether it commits to raising its expenditure on higher education as a percentage of the GSDP as required under the Scheme?

5. Whether it commits to contribute its share of funds under the Scheme and adhere to the timelines for fund release?

   (10% for NER, J&K, Himachal Pradesh and Uttarakhand and 35% for other States & UTs)

6. (a) Whether there is a ban on recruitment and filling up faculty positions in state public universities and public and public aided colleges?

   (b) If so whether orders for removing the ban have been issued? If so please attach copy of the Government order.

7. Whether it commits to carry out accreditation reforms, affiliation and examination reforms, governance and administrative reforms at State and institutional level including institutional governance reforms?

   (as per enclosed document)

8. Whether it commits to ensure compliance of institutions to the prerequisites and other reforms?

(Signature with official seal)
Name:
Designation:

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Annexure II

Format of Institutional Development Plan

(for detailed description of chapters and sub chapters, please refer to pages 200 to 208 of RUSA document)

1 Executive Summary of the IDP.

2. Provide the details of SWOT analysis carried out (in terms of methodology used, analysis and information and data as collected and inferences derived with respect to strengths, weaknesses, opportunities and threats).

   - Based on SWOT analysis, provide the "strategic plan" developed for institutional development.
   - How the key activities proposed in the Institutional Development Proposal are linked with the results of SWOT Analysis.

3. State the specific objectives and expected results of your proposal (in terms of, "Institutional strengthening and improvements in employability and learning outcomes of graduates". These objective and results should be linked to the SWOT analysis.

4. Provide an action plan for: (max 1 page each)

   a) Improving employability of graduates

   b) Increased learning outcomes of the students

   c) Obtaining autonomous institution status within 2 years

   d) Achieving the targets of 60% of the eligible UG and PG programs accredited within two years of joining the Project and 100% accreditation obtained and applied for by the end of the Project of the eligible UG and PG programs

   e) Implementation of academic and non-academic reforms (details given in RUSA Document)

   f) Improving interaction with industry

   g) Enhancement of research and consultancy activities

5. Provide an action plan for organizing a Finishing School and for improving the academic performance of SC/ST/OBC/academically weak

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students through innovative methods, such as remedial and skill development classes for increasing the transition rate and pass rate with the objective of improving their employability.

6. Provide an action plan for strengthening of PG programs and starting of new PG programs.

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

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

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

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

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

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

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Annexure III

Format of State Higher Education Plan

(for detailed description of chapters and sub chapters,please refer to pages 186 to 199 of RUSA document)

Table of Contents

Executive Summary
Chapter 1: Introduction
- a. .Mission
- b. .Vision
- c. .Goals

Chapter 2: Background
- a…Demographic Profile of the State
- b...Higher Education Profile
- c…Private sector plan
- d. .SWOT Analysis
- e…Academic Information

Chapter 3: Analysis of past performance
- a…Summary
- b...Detailed Analysis

Chapter 4: Preparation of the State Plan
- a…Methodology
- b...Stakeholder Consultation

Chapter 5: Five-year Perspective Plan
Chapter 6: Snapshot of the Annual Plan
- a…Priority Areas
- b...Strategy

(1). Sources of funds
(2). Major targets and financial outlays
(3). Prerequisites: Essential commitments from the State
(4). Current level and targets for the next year

Chapter 7: Detailed Plan
- a…Overview of the major initiatives
- b...Private sector participation
- c…Detailed component-wise allocations

Chapter 8: University-wise plans and financial impact
- a. .Outlays for all universities and colleges
- b. .University wise break up
- c. .College wise break up
- d. .Detailed Allocations for Universities

Annexures
- Annexure I: State Baseline

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Annexure IV

Detailed Timelines

Milestone	Timeline
Communication of Resource Envelope to States by PAB	To be decided by PAB in its First Meeting.
Preparation of Institutional Plans by Institutions	
Submission of Institutional Plans to SHEC	
Preparation of SHEPs by States	
Receiving SHEP in MHRD	
Pre-appraisal meeting(and re-submission,if any)	
Finalisation of SHEP	
Evaluation by PAB	
Communication of Approved Plan and Allocation to States	
Release of First Installment by NPD	
Submission of Utilisation Certificates by States/Institutions.	
Release of States' Share	

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Annexure V

Entitlement Index

Sl. No.	Criteria	Weights
1	Population (Age Group: 18-23) (Criteria reflecting Equal Per Capita Transfers)	+40
2	Per Capita Income (Criteria Reflecting Fiscal Deficiency)	-10
3	Gross Enrolment Ratio (Criteria Reflecting Shortfall in Enrolment)	-10
4	Performance	
	A. Improvement in GER (over 5 Years) (2006-07 to 2011-12)	
	A.1 GER- All categories	+10
	A.2 GER- SCs	+5
	A.3 GER- STs	+5
	A.4 Gender Parity Index (Over 5 Years) (2006-07 to 2011-12)	
	A.4.1 GPI- All Categories	+10
	A.4.2 GPI- SCs	+5
	A.4.3 GPI- STs	+5
	B. Expenditure on Higher Education	
	B.1 Per Capita Expenditure	+10
	B.2 Expenditure as % of NSDP (1)	+10

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	C. College - Population Index	-5
	D. Institutional Density	-5
	E. Teacher - Student Ratio	-5
	F. Research Output	+10
5	Special Problems	+25
	TOTAL	**100**

(+) Positive means – higher value – larger entitlement

(-) Negative means – higher value – lower entitlement

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

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Annexure VI

Component-wise Allocations and Physical Targets for the 12th Plan

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

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19.	**Total**			**22855**
20.	**Central Share**			**16227**
21.	State Share			6628

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Annexure VII

Information on key State Functionaries

Designation	Name	Email Address	Phone Number	Postal Address
State Project Director				
Nodal Information Officer (State)				
Nodal Information Officer (SHEC)				
Other RUSA staff				

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