

**TECHNICAL EDUCATION QUALITY IMPROVEMENT  
PROGRAMME  
OF  
GOVERNMENT OF INDIA**

**GUIDELINES FOR PREPARATION  
OF  
INSTITUTIONAL PROPOSAL**

**NATIONAL PROJECT IMPLEMENTATION UNIT  
ED.CIL HOUSE, PLOT NO. 18 A, SECTOR 16 A,  
GAUTAM BUDH NAGAR, NOIDA – 201 301  
(UTTAR PRADESH)**

## **INSTRUCTIONS**

- **Institutions are advised to study in detail the following documents before attempting to prepare the Institutional Proposal of their Institution:**
  1. **National Policy on Education (NPE) - 1986 as revised in 1992**
  2. **Working Document for States and Institutions**
  3. **Project Implementation Plan (PIP)**
  4. **Tribal Development Plan (TDP)**
  
- **Also please go through the General and Specific Guidelines as given in this document**
  
- **The Guidelines are to help the Institutions to develop the proposals and are not the limiting factor**
  
- **Institutions are advised to seek further guidance from the NPIU.**

These Guidelines contain the following:

**General Guidelines**

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**Format for Preparation of Institutional Proposal**

(Along with specific instructions and samples of documents)

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# GENERAL GUIDELINES

## 1. PROPOSAL LAYOUT

- Provide all financial figures in lakh of Indian Rupees and areas in sq. m. unless suggested otherwise.
- Ensure that the appendices are properly numbered and related to relevant section/subsection
- For typing, printing and binding, follow these guidelines:
  - a) The entire proposal shall be typed in single line spacing using Times New Roman script on both sides of the pages.
  - b) Each page shall be numbered and carry the name of the institution and date/ month of submission in the footer.
  - c) Proposals shall be printed on A-4 size bond paper and spiral bound.

## 2. SCOPE OF THE PROPOSAL

- Institutions may develop proposals for the entire institution/ department or for one or more selected programs/ activities.
- Each proposal shall however cover the tribal development activities and all the three sub-components of Component—1 as described in PIP.
  - a) Promotion of Academic excellence
  - b) Networking of Institutions for Quality enhancement and Resource sharing
  - c) Quality and outreach of services to Industry and Economy
- The scope of activities that could be undertaken under each sub-component is large. An institution may choose to consciously restrict project coverage to the achievement of its immediate objectives as linked to its Vision.

## 3. ATTACHMENTS TO THE PROPOSAL

Each institution shall ensure to attach the following essential documents as Annexes-A & B and list these in the Contents.

- a) Duly signed MOU between sponsoring government and the applicant institution attached as Annex-A (See Annex XI and Annex XII of PIP).
- b) Duly signed MOU(s) between the Lead institution with its Network Partners OR between the Network institution and its Lead institution attached as Annex-B.

#### 4. SUBMISSION OF PROPOSAL

- a) Applicant institutions shall submit 4 spiral bound copies of their proposals, complete in all respects, through their sponsoring governments at the following address by December 30, 2003:

The National Program Director,  
National Program Implementation Unit,  
Ed. CIL House, 4<sup>th</sup> Floor, Plot No. 18-A,  
Sector-16-A, Noida- 201301

- b) Applicant institutions shall also send a soft copy of the Proposal.

#### 5. FORMAT FOR DESCRIBING ACTIVITIES

Each of the activities proposed in various Units may be presented in the following format in the Institutional proposal:

##### 1) Justification

- Explain how the proposed activity will support the Institutional objectives.
- Justify the demand of the new activity proposed, if any.
- Also clearly give the regular faculty strength with name & qualification that will be responsible for the activity.

##### 2) Resource requirements

- Different types of resources are likely to be required for implementation of sub components and sub-sub activities. For quantification and costing of the resources required, and for presentation of these in the text, the following guidelines may be kept in view.
- Resource requirements may be expressed under following heads:
  - 2.1 Civil Works
  - 2.2 Equipments
  - 2.3 Furniture
  - 2.4 Vehicles
  - 2.5 Consultancy Services
  - 2.6 Books & LRs
  - 2.7 Human Resource
- *The heading(s) not applicable in any of the activities may be omitted when giving its resource requirements.*

## 2.1 Civil Works

- The requirements may encompass:
  - 2.1.1) New constructions,
  - 2.1.2) Repairs & modifications
- Their quantitative requirement may be estimated, costed and phased and stated under specific headings, *as applicable*.
- **The requirement for Civil Works should not exceed 10% of the Proposal cost.**
- Institutions should also state the assumptions made in estimation of quantities and costs.

### 2.1.1) New Construction (New Buildings/Extensions to Existing Buildings)

- Describe each requirement with brief justification and give the results in a tabular format as below.
- *Categories and names in the table are only illustrative*

Description of New Buildings	Total Gross Area (sq. m.)	Construction Rate (Rs. per sq. m.)	Construction Cost (Rs., lakh)
Instructional Buildings			
Laboratories			
Xxxxx			
Xxxxxxx			
<b>Total Cost</b>			

Note: Construction rate should include architect's fee, construction supervision and quality control cost, and land development cost

### 2.1.2) Repairs & modifications

- For improving teaching, training and learning facilities, some of the buildings may require refurbishment. This requirement may be assessed and reported as below.
- Equipments purchased for improving the facilities like ACs, LCD Projectors, etc should be included under Equipments.

Name of Building	Brief Description of Refurbishment Works	Cost of Refurbishment Works (Rs, lakh)
<b>Total Cost</b>		

## 2.2) Equipment

- Justification should be given for the whole group of equipment in brief
- Please provide here only the total financial requirement laboratory –wise in the format given in the table ggg below
- Lists of major equipment and their quantities (required for modernization of each existing facilities, new programs/ activities, doctoral Programme, etc.) need to be prepared separately with brief specifications and annexed to the proposal
- Equipment lists in the format at table eee must be annexed
- The list of Equipments costing above Rs 5 Lakh should be prepared separately in the format provided in table hhh below and Annexured.

**Table ggg**

S. No.	Name of the Department/ central facility	Name of the laboratory	Total requirement (Rs. lakh)	Details at	
				Annexure No	Page No.

**Table eee**(This will go to Annexure)

Department of \_\_\_\_\_ Engineering

S. No.	Name of the Laboratory	Name of Equipment with Brief Specifications	Unit Price (Rs.)	Quantity Required	Present Quantity available in the Institution

*Note: Estimated total costs should be given for all equipment and should include all taxes, duties, delivery charges, insurance, installation and commissioning charges, annual maintenance charges, etc)*

**Table hhh** (This will go to Annexure)

**List of Equipments costing above Rs 5 Lakh**

S. No.	Name of the Department	Name of Equipment with Brief Specifications	Unit Price (Rs lakh.)	Quantity Required	Present Quantity available in the Institution	Utilization in hours/week of present equipment

### 2.3) Furniture

- Furniture might be required for improving some of the existing facilities; for laboratories and workshops for new programs and for several other activities.
- Give the estimated costs here as in table no. ccc (examples given are only illustrative)
- Give lists of furniture (by such categories as writing/study tables, chairs, beds, working tables, etc.) as annexure in the format given below in table no bbb.

**Table No. ccc**

#### List of Furniture

S. No.	Name of the Department/ Central facility	Lab/classroom/ faculty room/ workshop/ Computer room/ library/any other	Total requirement (Rs. lakh)	Details at	
				Annexure No	Page No.

**Table No. bbb**(This will go to Annexure)

List of Furniture for ..... Department/Central Facility

S. No.	Lab/classroom/ faculty room/ workshop/ Computer room/ library/any other	Name of Furniture Item with brief specifications	Unit Price (Rs.)	Quantity Required	Purpose for which required

*Note: Estimated total costs should include all taxes, duties, delivery charges, installation charges, insurance, etc)*

### 2.4) Vehicles

- Give the estimated costs as below.

Purpose for which Required	Estimated (Rs. lakh)	Cost	Existing Vehicles
Aaaaaaaaa			
Bbbbbbbbb			
<b>Total</b>			



## 2.5) Consultancy Services

- Institutions may require consultancy services for;
  - a. Civil works,
  - b. Procurement of goods,
  - c. Educational studies
  - d. Academic activities and
  - e. Audits
  - f. Other activities
- Requirements would need to be estimated in terms of person-months, and costed.
- Give estimates of the requirement in the format given below

Purpose for which consultancy services required	Estimated Person-Months <sup>1</sup>	Estimated Cost <sup>2</sup> (Rs.)

1. If not possible to estimate person-months because of the nature of assignment, write NIL
2. Cost should include fee to be paid and all other expenses to be borne by the institution.

## 2.6) Books and Learning Resources

- Some cost estimates should however be made and presented in the format provided below for meeting the requirements for:
  - a) Strengthening the central library,
  - b) Book bank.
- It may not be possible to identify all the requirements for books and learning resources in one go. However, the list of books required for first year should be annexed in the format given at table iii.

Purpose for which required	Category of Items	Quantity	Estimated Cost (Rs.)	To be used by
Strengthening of central library	Text and reference books			Research Students
	Indian & foreign journals (print versions)			
	Indian & foreign journals (electronic versions)			
	Computer and multi-media based learning resources			
<b>Total</b>				

**Table No. iii** (This will go to Annexure)

Purpose for which required.....

Category of Items	Name of the Author	Title	Unit Cost (Rs.)	No. of copies required

**2.7) Human Resource**

<p>Human resource will include:                  2.7.1) Training                  2.7.2) Additional faculty /staff required for proposed activities                  2.7.3) Additional staff appointed for implementation &amp; monitoring of the project at Institutional Level</p>
--

**2.7.1) Training**

- |  |
|--|
| <ul style="list-style-type: none"> <li>• Faculty and staff may need to be sent for upgradation of their qualifications and, knowledge and skills enhancement both within India and abroad.</li> <li>• These should be estimated in man-months and cost given in the table kkk</li> <li>• List of training programs to be attended, and fellowship programs to be used during the first 12 months of institutional project should be annexed to this proposal in the format given below in table jjj</li> </ul> |
|--|

**Table No. kkk**

Purpose for which required	Estimated Person-Months	Estimated Cost (Rs.)
Local fellowship		
Foreign fellowship		
Study tours		
Short term training		

**Table No. jjj** (This will go to Annexure)

Name	Designation /level	Programme/ course	Cost envisaged	Proposed Venue	Duration

**2.7.2) Additional staff required for proposed activities**

- ◆ *All attempts should be made to fill existing vacancies, as new vacancies will be sanctioned only on fulfilment of these vacancies.*
- ◆ The Program would fund salaries of only the staff recruited on posts created for implementing institutional project activities.
- ◆ Institutions need to estimate the requirement, and phase it to match the time of requirement for each activity. Institutions would need to plan staff recruitment so that the required personnel are in position at the time when required.
- ◆ Institutions are reminded that salaries are reimbursable as detailed in the Project Agreement (request for details from NPIU).
- ◆ A detailed break-up should be given in the table below

**Format for giving detailed break-up of staff requirement**

Name of Teaching Program/ Activity	Designation/ Level	Numbers to be added in Different Project Years				Total Annual Gross Emoluments <sup>2</sup> (Rs.) of all four years
		1	2	3	4	
<b>Academic Staff</b>						
Program-1 (give title)	Professors					
	Readers <sup>1</sup>					
	Lecturers					
	Technical Support Staff					
<b>Administration, Finance and Other Staff</b>						
Administration						
Finance						
Activity-1 (give name)						

**2.7.3) Additional staff appointed for implementation & monitoring of the project at Institutional Level**

- ◆ Institutions should also estimate the funds required for paying salaries of the additional staff appointed under the project.
- ◆ Annual fund requirements, based on pay plus salary linked benefits, and estimated for cumulative additional staff strength, should be given in the cost table format given below:

Category of Staff	Annual Fund Requirement for Salaries				Total Salary Funds Required for all four years
	1	2	3	4	
Finance Staff					
Procurement					
<b>Total</b>					

**FORMAT FOR PREPARATION  
OF  
INSTITUTIONAL PROPOSAL**

Proposal from

**(NAME OF THE INSTITUTION)**

*for*

COMPETITIVE SELECTION AS LEAD INSTITUTION (or NETWORK  
INSTITUTION)

*under*

TECHNICAL EDUCATION QUALITY IMPROVEMENT PROGRAMME  
**OF**  
**THE MINISTRY OF HUMAN RESOURCE DEVELOPMENT,**  
**GOVERNMENT OF INDIA**

*Submitted Through*

(NAME OF THE SPONSORING GOVERNMENT)

*on*  
(DATE)

*to*

NATIONAL PROJECT DIRECTOR,  
NATIONAL PROJECT IMPLEMENTATION UNIT,  
Ed. CIL HOUSE, 4<sup>th</sup> FLOOR, PLOT NO. 18-A, SECTOR 16-A,  
GAUTAM BUDDHA NAGAR, NOIDA- 201 301, UTTAR PRADESH.

The Index of the proposal will have the following contents:

<b><u>CONTENTS</u></b>		<b>Page No.</b>
Executive Summary (not more than 2 pages)		
1.	Current Information of the Institution	
2.	Vision, SWOT Analysis and Project Objectives	
3.	Academic Excellence	
4.	Networking with Institutions for quality enhancement and resource sharing	
5.	Rendering Services to the Community and Economy	
6.	Institutional Reforms	
7.	Tribal Development Plan	
8.	Management Capacity Building Plan	
9.	Project Implementation & Monitoring	
10.	Total Financial Requirement & Management	
11.	Sustainability Plan	
<b>Annexes</b>		
A	Duly signed MOU between the concerned Government and the Institution	
B	Duly signed MOU between lead and network institution(s) (listed as B.1 to B.n as required)	
NN		
N		

## **EXECUTIVE SUMMARY**

A brief summary of the proposal in not more than 2 pages must be presented in the beginning of the proposal.

- The summary may clearly indicate the line of action of the Institutions to meet the targets.
- A long-term objective for institutional development (10-15 year time frame).
- A pragmatic project-period objective
- Financial requirements under the Programme
- How well is the institution prepared to begin with the Programme



## UNIT-1

### **CURRENT INFORMATION OF THE INSTITUTION**

Give information in the formats provided. Do not give any write-up in this Unit.

#### **1.1 INSTITUTIONAL IDENTITY**

##### **1.1.1 Name of the Institution with Mailing Address**

- Please provide Name, Postal Address, Telephone numbers with STD code, Fax number, and Email Address of the Institution

##### **1.1.2 Year of Establishment**

##### **1.1.3 Funding Pattern of the Institution**

- Indicate if the Institution is currently funded by Central Government/State Government/ State Government aided/Private unaided or any other

##### **1.1.4 Functional Status of the Institution**

- Indicate if the Institution is Technical University, Deemed-to-be-University, University Teaching Department, University College/Polytechnic, Autonomous College/Polytechnic, Affiliated College or Polytechnic

##### **1.1.5 Particulars of Head of the Institution**

- Please provide Name, Postal Address, Office and Residential Telephone numbers with STD code, Mobile Phone number, Fax number, and Email Address

#### **1.2 ACADEMIC INFORMATION**

- Please provide information on courses/disciplines currently being offered by the institution. Specifically the information should include sanctioned intake and enrolment by discipline, by degree/diploma, enrolment by gender, enrolment by categories (i.e SC/ST/OBC) in the table below

### 1.2.1 Engineering Degree/ Diploma Programs being conducted

S. No	Title of Program	Level <sup>1</sup>	Duration <sup>2</sup> (Years)	Year of Starting	Status of Accreditation by NBA	Sanctioned Intake <sup>3</sup>	Student Strength <sup>4</sup>				Total Student Strength
							Male		Female		
							SC/ST/OBC	GEN	SC/ST/OBC	GEN	

- 1 State whether degree or diploma or advanced-diploma program.
- 2 If any program is of flexible duration, this may be stated in the column.
- 3 Annual intake as sanctioned by the AICTE.
- 4 Give the total strength of students in all years of study for each program (2002-2003).

### 1.2.2 Engineering Postgraduate Degree Programs being Conducted /Postgraduate Diploma/ Advance Diploma

S. No	Title of Program	Degree Awarded	Duration <sup>1</sup> (Years)	Year of Starting	Status of Accreditation by NBA	Sanctioned Intake <sup>2</sup>	Student Strength				Total Student Strength
							Male		Female		
							SC/ST/OBC	GEN	SC/ST/OBC	GEN	

1. If any program is of flexible duration, this may be stated in the column.
2. Annual intake as sanctioned by the AICTE.
3. Give the total strength of students in all years of study for each program (2002-2003).

### 1.2.3 Doctoral Programs

- Details of PhD Dissertations, program-wise for last three years should be provided as Annexure

### 1.3 Staffing Status

- Please provide information on faculty, technical staff and administrators currently available in the institution with qualifications, whether regular or adhoc/part time etc in the table given below.
- This information is required department-wise

Type of Staff	Existing Number of Staff by Qualifications				Total Number in Position	Total Vacancies
	PhDs	Post-graduates	Degree Holders	Others		
<b>Teaching Staff</b> - Regular - Part time - Contract						
<b>Technical Support Staff<sup>1</sup></b> - Regular - Part time - Contract						
<b>Administrative and Support Staff<sup>2</sup></b> - Regular - Part time - Contract						

1. To include staff for laboratories, workshops and other facilities associated with teaching and training.
2. To include administrative, finance, library, physical education, training & placement and other staff including staff in senior positions.

### Visiting Faculty

- Please also provide information on visiting faculty by average hours/week invited for in the institution in the table given below

Level	Average Hours/week		
	2000-2001	2001-2002	2002-2003
<b>Under Graduate</b>			
<b>Post Graduate</b>			

## 1.4 FINANCIAL STATUS

- Give the amounts received/generated during the last 3 financial years in the format given below.

S. No	Source of Funds	Amounts Received (Rs. lakh) During		
		2000-2001	2001-2002	2002-2003
1	Central or State Government as non-plan funds			
2	Central or State Government as plan funds			
3	Central and State organisations/ agencies for special development purposes			
4	Central and State organisations/ agencies for research and development			

S. No	Source of Funds	Amounts Received (Rs. lakh)		
		During		
		2000-2001	2001-2002	2002-2003
5	Central and State organisations/ agencies for any purposes other than those at 1, 2, 3, &4 (mention the purpose(s) for which received)			
6	Grants from Society / Trust (applicable for aided and unaided institutions) for meeting recurring expenditure			
7	Grants from Society / Trust (applicable for aided and unaided institutions) for development purposes			
8	Income from students including tuition and other fees and charges			
9	Internal revenue generated from all sources other than that from students			

### Average Student Cost per Year

- Provide information about average student cost per year for PG and UG courses
- The formula is average student cost =  $\frac{\text{Annual recurring expenses}}{\text{Total number of students}}$  = xxxxxxxxxxxx)

Level	Average Cost		
	2000-2001	2001-2002	2002-2003
Under Graduate			
Post Graduate			

### 1.5 LAND AREA AND BUILT UP SPACE

- Provide current information on constructed area available for academic purposes, administrative purposes, residential and hostel purposes and other support facilities.

S. No.	Description	Number	Average Sq. m./room	Total area (Sq. m.)	Utilisation (hours/week)
1	<b>Land area for specific use of the institution, hectares</b>				
2	<b>Constructed area for academic purposes</b> Lecture rooms Tutorial rooms Laboratories Workshops Seminar/Discussion rooms Computer Centre Libraries Others (please specify)				
3	<b>Area under construction for academic purposes</b> Lecture rooms				

S. No.	Description	Number	Average Sq. m./room	Total area (Sq. m.)	Utilisation (hours/week)
	Tutorial rooms Laboratories Workshops Seminar/Discussion rooms Computer Centre Libraries Others (please specify)				
4	<b>Constructed area for administrative purposes</b>				
5	<b>Constructed area for residential purposes (staff and students)</b> Student hostels (In number column, give the capacity in seats) Girls Boys Staff residence (In utilisation column, give percent occupancy) Type A Type B Type C Type D Type E				
6	<b>Constructed area for recreational purposes (staff and students)</b>				
7	<b>Constructed area for support facilities</b> (medical centre, shopping centre, bank, post office, etc)				
8	<b>Any other (please specify)</b>				

## 1.6 DISCLOSURES

- List briefly in 2 lines each disqualification or punitive action by AICTE or State Government, outstanding debts, etc. here in the format provided.

S.No	Brief Description

## 1.7 ANY OTHER INFORMATION

- Any other information related to Institutional identity which the Institution may like to mention, may be mentioned here

## UNIT 2

### **VISION, SWOT ANALYSIS AND PROJECT OBJECTIVES**

#### **2.1 Institutional Vision**

- Each institution needs to precisely state its vision in a couple of sentences.
- It describes the preferred future of the Institution.

#### **2.2 SWOT Analysis**

- Each institution should carry out SWOT (Strengths, Weaknesses, Opportunities and Threats) analysis
- SWOT analysis has two main components:
  - Issues that are internal to the organisation- Strengths & Weaknesses
  - Issues that are external to the organisation- Opportunities & threats
- Conduct a brainstorming session involving students, faculty and staff. Outside experts could also be involved (State the number of students, faculty and staff who participated in the analysis. Also state whether assistance of outside experts/ agency was taken.).
- Opinions must be supported with facts, as some items can be both a threat and an opportunity at the same time. Important is how you face the issue and what you do about it.
- Very clearly write the Weaknesses and Threats.
- Prioritize and weight the factors in the lists.
- Use language that is clear and relevant to the task.

#### **2.3 Strategic Plan**

Institutional vision and SWOT analysis help in formulating outstanding strategies. Answer to following question may help interpreting vision and SWOT analysis. With reference to vision of the Institution:

- How can strengths be used to take advantage of the opportunities?
- How can you convert weaknesses to strengths or avoid them?
- How can you overcome weaknesses to counteract threats?
- How will you grab opportunities and guard against threats?
- How will you maximise strengths & opportunities and minimise or eliminate weaknesses & threats?

#### **2.3 Project Objectives**

- Objectives should clearly spell out the priorities of the Institution and the areas it wants to excel into.
- The objectives are to be derived from strategic plan
- Objectives of the project for which this proposal is prepared need to be listed here
- Objectives are targets to be achieved. The objectives must be SMART, which means

they are:

*Specific*

*Measurable*

*Attainable*

*Realistic*

*Time-limited*

- Objectives should be conceived for achieving the Institutional vision
- Objectives should be defined to cover all aspects of Component-1 of the Program—  
Institutional Development
- Objectives should be targeted at maximising gains from the existing strengths; reducing/ removing current weaknesses; exploiting the available opportunities to the best possible extent; and minimising risks and threats to achievement of the vision.

## UNIT-3

### **Promotion of Academic Excellence**

- Institutions are free to propose development of academic excellence in the institution as a whole or in a department or in one or more area(s) of specialization.
- **The format for describing the requirements of proposed activities is given in general guidelines.**
- **The activities given below are only illustrations to help you develop the proposed activities.**
- Institutions should avoid a routine removal-of-obsolescence proposal
- **At the end of the chapter, an overall financial requirement for Promotion of Academic excellence (as a sum of all the activities proposed under this) should be given in the format provided at 3.12.**
- The Program would provide financial support for small extensions to buildings; refurbishment of classrooms, laboratories and workshops; equipment; and provision of modern teaching aids and learning resources.

#### 3.1 **Activity:** Centralized Computing Facility & Campus wide networking

- The Institutions may propose for Centralized Computing facility with relevant softwares.
- The requirement of Campus wide networking, may also be worked out and requirements listed here.
- Computer facilities should be developed centrally.
- Adequate hardware and software should be provided at the computer center, which should be accessible freely to every department.
- Time slots in the computer center would be provided for each department so that adequate computer hours are available to each student. The center should be open for at least 12 hours everyday, seven days a week.

#### 3.2 **Activity:** CAD laboratories

- The Institutions may propose for CAD labs as per its requirements with relevant softwares.
- Central CAD facility should be established, typically in two convenient locations with necessary hardware and software, catering to the needs of every department.
- Here also time slots should be provided to the departments.



### 3.3 **Activity: Centralized Library**

- The Institutions may propose for Centralized Computing facility with Learning resources.
- Library and learning resource facilities should be centrally organized, to be accessible to all concerned for at least 12 hours in a day, and seven days a week.
- Journals should be subscribed in the electronic mode for which necessary hardware/software should be procured. It should have sufficient number of computer nodes and related software.
- Stress should be put on having more titles rather than more copies of the same title. In case a particular reference book is expected to be used frequently, two or three copies of the same book may be purchased.
- Wherever possible, inexpensive edition of the book should be purchased.
- Titles should be chosen as per the actual requirement of the faculty and the students.
- A feedback mechanism should be developed to decide the titles of the books.
- The Institutions should procure in phased manner i.e. 30% of the total sanction for library & learning resources in the first year, next 30% in the second year and rest 40% in the third year.
- Learning resource material should also be organized in the electronic mode with facility to access by at least 15 persons at a time.
- Textbooks should be lent through Book Bank mechanism. Generally a textbook is good for 4 years and as such 25% of the cost should be recovered from students each year so that the book bank can be self-sustaining.

### 3.4 **Activity: Media Center infrastructure for seminar/conference**

- The Institutions may propose for a complex of Centralized state-of-the-art lecture halls.
- Conference Room facility as also virtual classroom facility should be centrally organized to be shared by all the departments.
- The conference room should be equipped with the necessary equipment such as Laptop computer, LCD Projector, Overhead Projector and other Video/Audio facilities.
- Depending on the utilization there could be more than one such conference room.
- It is expected that such facilities would be utilized for at least half the time available.

### 3.5 **Activities: Modernization and strengthening of departmental Laboratories and Workshops:**

- Describe provisions required for modern training facilities for UG, PG courses of study and research
- Describe ways to expand opportunities for increased hands-on practice, increasing opportunities for self-learning, etc.
- How will the Institution aim at removing deficiencies in training facilities to meet the requirements for expanded intakes?
- Each of these should be given with justification, and the related items required for each should be listed in Annexes systematically numbered.

### 3.6 **Activity: Centralized Instrumentation Facility**

- The lead institutions may develop a good centralized instrumentation facility, which will have sophisticated analytical instruments like Atomic absorption Spectrophotometer, Gas Chromatograph, Electron Microscope, HPLC, etc
- This facility will be open to all faculty members, and students not only of the lead institution but also of the network institutions. In due course of time, this facility may be extended to other academic institutions in the State.
- Necessary infrastructure to support such a center should be created within the institution.

### 3.7 **Activity: Faculty and Staff Development:**

- Enhancement of faculty and staff competence would receive focused attention under the Program.
- Besides being exposed to training for improved competence in teaching-training, faculty would also be trained in management of industry and community interactions, new techniques in research, student counseling, student performance evaluation, and development of modern learning resources.
- All the staff would be trained in their respective functional areas for improved delivery and efficiency.
- Faculty would be encouraged to undertake research projects and consultancy, upgrade their qualifications, attend seminars and conferences, interact with peer groups within India and abroad, establish linkages with academic institutions and industry, etc.
- Constitute a mechanism for student's evaluation of teachers performance combined with feedback to teachers and peer counseling for improvement.
- Describe how will the Institution ensure sustenance of faculty and staff development activity in the post-Program period by Staff Development Fund established under the Program
- Describe in this part of the proposal a mechanism for ensuring regular faculty and staff development. (i.e. description of a Faculty and Staff development Cell with functions)
- All training programmes should be arranged with the institutions in India such as national laboratories, IITs, IISC, TIFR etc. There is no need for arranging training programmes overseas during the first year.
- Institutions may ask for travel and other cost of faculty members for Paper presentation in International Conferences overseas.
- In order to develop specific collaborative programmers with foreign universities, it may be necessary to undertake travel abroad. In every case the initial groundwork should be done via e-mail etc.

**3.8 Activity: Introduction of new courses**

- Starting of new programs should not be a routine proposal. New programs may be started at UG and PG level in emerging areas as justified by labour market data.
- Describe with justification the establishment of new laboratories to meet the requirements for new program in emerging area, postgraduate, doctoral and faculty research activities; continuing education programmes for industry and consultancy work; required if any.
- Give the resource requirements, as the Program would support additional staff, new laboratories and workshops, civil works, books and learning resources, etc.
- Information on new programs should be given in the following tabular format, followed by justification for each program proposed.

Name of the Program	Justification	Level (UG/PG)	Proposed Annual Intake	Proposed Year of Starting	Additional Teaching Staff Required

**3.9 Activity: Improvements in Curricular Practices**

- (a) Review of curricula and development of new ones:**
- Here the institutions should describe the mechanisms to be established for revision and development of curricula.
  - Describe how will the Institution ensure that the curricula meets the requirements of the national and international employment markets (output characteristics expected by the labour market in the technician diploma holders, the engineering graduates and the postgraduates such as skills/abilities for problem solving, design, communication, information processing, creative and innovative thinking, managing people at work, learning-to-learn, etc).
  - Description of mechanism to be set up for periodical review and improvement of curricula and syllabi, and development of new ones, based on labour market information, feedback from alumni and employers, and with active participation of stakeholders would have to be provided in details.
  - Description on new curricula would include competency-based-curricula; provision of self-learning, problem solving projects for community and industry; sandwich programmes, learning by research, course flexibility, etc.
- (b) Curriculum implementation:**
- Describe innovative practices that would be built into implementation of curricula (such as continuous student performance assessment, feedback to students and organization of remedial instructions; extensive use of media, visits to and training in industry, invited expert lectures from industry and field, problem solving projects from industry and community, etc.)

**(c) Program Flexibility:**

- Institutions should describe their plans for introducing flexibility through such means as multi-level and multi-background entry, credit exemptions, credit transfers, flexible pace of learning through accumulation of credits, and provision of wide choice of electives including those offered by other institutions in the network.
- The corresponding plan should be given in the following tabular format:

S. No.	Name of the Program	Flexibility Elements to be Introduced	Year from which to be Introduced
1	xxxxx	Multi-point entry	
		Multi-background entry	
		Credit transfer	
		Yyyyy	
		yyyyyy	
2	XXXXXX	aaaaa	
		bbbbbb	

**3.10 Activity: Enhancement in Postgraduate Education and Research, and Consultancy Activities**

- Increased output of postgraduates and doctorates is of crucial importance for meeting the large requirement of teachers and for meeting the needs of the industry. Based on national level signals and guidance from the GOI/AICTE, institutions would introduce postgraduate programs, and reorient or phase out some of the existing ones.
- Lead institutions in particular are expected to introduce doctoral programs.
- Describe procedures to make postgraduate and doctoral programs highly flexible to facilitate their pursuit by in-service personnel.
- Provide details on schemes for securing large number of admissions to postgraduate and doctoral programs and retention of students with the help of States/GOI/AICTE.
- Describe ways to promote increased participation of faculty in research, projects and consultancy through merit recognition and, fiscal and career incentives.
- Lead institutions are expected to establish research and consultancy cells, which would help faculty, prepare proposals for securing funds for sponsored research programs and projects and consultancy assignments. Prescribe procedures for functioning and all follow up actions to timely obtain the funds, and for ensuring timely and quality delivery of results.

### 3.11 Activity: Enhanced Interaction with Industry:

- Interaction with industry would be intensified to obtain academic benefits by way of increased relevance of curricula and expert lectures, and access to specialized equipment; industrial training and placement benefits for students, professional benefits for faculty through industrial exposure, and financial benefits for institutions through income from sponsored research programs and projects, consultancy assignments and continuing education programs, and receipt of donations.
- Institutions would establish Institute-Industry Interaction Cells, specifically responsible for promoting and nurturing interaction and partnership with industry. Give details of the functioning of Institute Industry Interaction Cell.
- Provide proposed services to be offered by the institution to the industries (this may include conducting continuing education programs; undertaking problem solving projects and consultancies on industrial products, services and processes; testing and calibration; serving as training centers for industry, etc.)
- Describe the expected contributions from industries to institution (this may include: participation in Governing and other bodies of the institutions; participation in curriculum improvement and development; training of students in traditional and new technologies, providing expert lectures; helping students undertake problem-solving projects; training teachers and staff in new technologies and processes, and collaborating in sandwich program offerings.)

### 3.12 Overall Financial requirement for Promotion of Academic Excellence

- Institutions should sum the expected resource requirement for different years for all the activities proposed under academic excellence and present them in the format given below.
- If there is no fund requirement under any of the expenditure categories or sub-categories or in any project year, this should be shown as 0.00.

S. No.	Category of Expenditure		<i>Rs., lakh</i>				Total Fund Requirement
			Project Year-wise Fund Requirement				
			1	2	3	4	
1	Civil Works	New Constructions					
		Repairs/modifications					
2	Equipment						
3	Furniture						
4	Vehicles						
5	Books and Learning Resources						
6	Consultancy Services	civil works					
		procurement of goods					
		implementation of fellowship programs					
		educational studies					
		academic activities					
	other activities						
7	Human resource	Training					
		Additional staff required for proposed activities					

S. No.	Category of Expenditure	Project Year-wise Fund Requirement				Total Fund Requirement
		1	2	3	4	
	Additional staff appointed for implementation & monitoring of the project at Institutional Level					
8	Consumables					
9	Operation & Maintenance					
Total						

## UNIT-4

### **NETWORKING WITH INSTITUTIONS FOR QUALITY ENHANCEMENT AND RESOURCE SHARING**

- **Each activity proposed under networking has to be presented in the same format as given in General guidelines**
- **Conclude the chapter with overall financial requirement for all the proposed activities under Networking with Institutions for quality enhancement and resource sharing in the same format as given in the previous chapter at 3.12**
- **Report of Working Group headed by Prof. R Natarajan on “Operational Strategies for Networking of RECs & IITs” could be used as basis for developing Networking Proposal.**
- Institution must form networks with other institutions to enhance capacity, improve quality and promote excellence.
- Academic Sharing, Credit Transfer and Carry Over of Credits, Staff Development, Learning Resources and Library, Expertise and Joint Ventures are a few examples of sharing of resources. Institutions could expand the concept to include many more activities.
- Institutions in their proposals should provide detailed mechanisms and areas of networking.
- One option that can be used is creation of Networking Cell in each institution and a network facilitator at Lead Institution, which would ensure flow of networking benefits in the network.
- Two types of networking are proposed, (1) Formal and (2) Non-formal. A Memorandum of Understanding among Lead Institutions and Network Institutions would govern all network arrangements.
- The formal networking would be bi-directional sharing of expertise and resources among the institutions. Lead institutions would help and guide the Network institutions in improving their academic and research capabilities, and institutional management practices. Resource sharing between the networked institutions will result not only in improved academic, research and consultancy outputs but also in reduction in investment and operating costs.
- In academic matters, institutions would share curricular improvement and new curricula, innovations in curriculum implementation, teaching aids and modern learning resources, faculty, training facilities, etc. Students would have the benefit of attending special courses in another institution. Institutions in a network would develop mechanisms for credit transfer.
- Libraries would be gradually networked and expensive library resources shared.
- Lead institutions would carry out, organise and co-ordinate faculty and staff development programmes for all the networked institutions.
- Joint research projects, consultancies, book writing and paper writing, seminars and conferences would be undertaken to build capacity in all the institutions.
- Programme institutions may also establish non-formal networks with R & D organisations, specialised laboratories, eminent educational institutions, industry, community, institutions from other formal networks etc., for deriving a variety of benefits for the institution.
- Expenditure for activities under such network would be borne by the networking institutions under operation and maintenance.

## UNIT-5

### **PROPOSAL FOR RENDERING SERVICES TO THE COMMUNITY AND ECONOMY**

- **Each activity proposed under rendering services to the community and economy has to be presented in the same format as given in General guidelines.**
- **The financial requirement of all the activities proposed under Rendering services to the community and economy must be summed and presented at the end of the chapter as done in previous chapters in the same format provided at 3.12.**
- Describe the involvement of the whole faculty/students of each institution in rendering services to the community and the economy. The involvement of students would be ensured through curriculum design. Rendering of service by faculty would form a part of their service condition and count towards their career progress
- Institutions as a whole would extend services to the non-formal segment of the economy (the unorganized industry).
- Services to be in the nature of:
  - Technical assistance
  - Advisory services
  - Knowledge and skills development/upgradation
  - Development and/or transfer of technology
- The activities could be related to:
  - Improving quality of life
  - Increasing earnings
  - Improving employability
  - Reducing drudgery
  - Increasing safety
  - Improving productivity
  - Improving profitability
- Services to be rendered within the technical capability of the Institution.
- Services to the community could be proposed in the vicinity of the Institutions.
- All services offered by an institution would be demand based, and would be not only to the community and the economy but also to students and faculty through implementation of projects and researches, and thus gaining real-life problem solving experience and to institutions through revenue generation and mobilization of resources.
- For enhancing quality and reach of their services, institutions will establish linkages with central and state government agencies, and non-government organizations that are involved in providing similar services.
- Institutions in their proposal should provide details of the services to be provided, mechanisms for interaction with community and economy, and targets to be achieved.
- A Community Cell could be created in each institution for promoting interaction and partnership with community and economy. Institutions should ensure, through suitable mechanisms, involvement of the whole institution in interaction with community and economy.
- Institutions must develop consultancy-based generation of income in institutions so that students can perceive teaching as a competitive option in terms of income profile.
- Institutions must supplement its own resources by part time faculty from industry
- Institution must work out a mechanism to improve interface with industry.



- Benefits to accrue to institutions could be:
  - Enhanced relevance of technical education to society and economy
  - Close linkages with community and industry
  - Development of abilities to form and sustain project teams
  - Improved networking amongst departments
  - Development of competence in faculty and students through solving field problems
  - Internal revenue generation

## UNIT-6

### INSTITUTIONAL REFORMS

- **Each activity proposed under Institutional reforms has to be presented in the same format as given in General guidelines.**
- In part A of the eligibility application several reforms to be carried out at the institutional level were listed.
- Institutions need to give a detailed description on implementation and monitoring of the following Institutional reforms:
  - 6.1 Full Academic autonomy with accountability
  - 6.2 Full Managerial autonomy with accountability
  - 6.3 Full Administrative autonomy with accountability
  - 6.4 Full Financial autonomy with accountability
  - 6.5 Increased attention to women participation in Technical Education
  - 6.6 To accept non-plan funding on block grant basis and to accept the results of enunciated process for award of competitive grants (not applicable to unaided institutions)
  - 6.7 To establish distinct Corpus fund, Staff Development fund, Depreciation/ Renewable fund, and Maintenance fund from the revenue generated and savings; and to accept Central/State guidelines for utilisation of these funds
- **Please provide information on overall financial requirement for Implementation of various proposed activities under Institutional reforms at the end of the Unit in the format as given at 3.12.**
- Brief guidelines for implementing above-mentioned reforms are given below.
- State as to how each committee and cell will monitor and report progress/ achievement of activities related to its functions.

#### **6.1 Activity: Full Academic autonomy with accountability**

- Prescribe rules for admission on merits, in conformity with the reservation policy of the AICTE/University
- Describe methods of education and training in pursuit of excellence
- Explain the collaborative arrangements for purposes of curriculum development, teaching practises, research and consultancy/extension education with other institutions of higher learning and industries organisation wherever need be
- Give mechanism to ensure proper academic standards
- Describe methods of evaluation, procedures to conduct examinations and finalise results for declaration

### **6.2 Activity: Full Managerial autonomy with accountability**

- Illustrate ways for strengthening institutional governance through the revitalisation of the management structures with a view to improving management efficiency including capacity for forward planning
- Explain methods for promoting institutional responsiveness to the needs of students, the surrounding community and the business community, which is likely to result in more support from these constituencies including increased resources and employment potential for their graduates.
- For lead institution the composition and structure of Board of Governors (BOGs) with adequate representation from the stakeholders would have to be included in the proposal.
- The description of functions of BOGs would have to include among other normal activities.
- Activities to be undertaken for creating the required ambience for excellence, and ensuring implementation and sustenance of reforms envisaged under the Programme.
- The details regarding decentralisation of institutional management with delegation of financial and decision- making powers to various functionaries would have to be clearly spelt out including how decentralisation would lead to reduced wastage of resources, and enhanced utilization of infrastructure and teaching-training facilities.

### **6.3 Activity: Full Administrative autonomy with accountability**

- Describe steps to expedite the recruitment of faculty and the project staff provision of infrastructure and instructional facilities needed for the system.
- Provide in details the provision of competitive emoluments and perks for attracting and retaining good quality faculty and staff.
- Institute practices for recognition and reward of merit in faculty and staff, and creating conditions that would increase commitment of faculty, staff and students for achieving and sustaining excellence etc.
- Evolve administrative arrangements with a view to encourage experimentation and to cut down delays in decision making processes for the sake of effective teaching and research including completion of time-bound projects which may otherwise be delayed on account of centralised decision by the university bodies, keeping intact the overall policies of the AICTE/Universities
- Constitute mechanism keeping in view the new administrative practices which should be user-friendly, transparent, and supportive.

### **6.4 Activity: Full Financial autonomy with accountability**

- Describe ways to cater the financial needs in smooth practising of academic, managerial and administrative autonomies
- Ways for promoting some level of financial independence through a diversification of funding sources which also allows institutions to invest in programmes geared to the improvement of quality and relevance of the education being offered.
- Demonstrate better use of existing resources and the finding of new sources of financing.

### **6.5 Activity: Increased attention to women participation in Technical Education**

Although performance of female students at senior secondary examinations compares very favourably with those of male students, women's preference for technical education continues to be low.

Participating institutions should describe ways in their proposal to encourage greater women participation in technical/engineering education through pro-active interventions such as reducing/eliminating physical bottlenecks inhibiting female participation, removing misconceptions about engineering career option for women, providing incentives for meritorious female students seeking admission in engineering, providing interaction and counselling from role models - female engineering teachers and successful practising professionals.

### **6.6 Activity: To accept non-plan funding on block grant basis and to accept the results of enunciated process for award of competitive grants (not applicable to unaided institutions)**

### **6.7 Activity: To establish distinct Corpus fund, Staff Development fund, Depreciation/Renewable fund, and Maintenance fund from the revenue generated and savings; and to accept Central/State guidelines for utilisation of these funds**

- Each institution is required to establish 4 distinct funds—Corpus Fund, Staff Development Fund, Depreciation/ Renewal Fund and Maintenance Fund.
- Institutions should, for each Fund, describe the sources of funds, the activity(ies) for which each fund would be used, mechanism for ensuring that each fund is used for the purpose it is established, how expenditure of each fund would be governed and managed, and the institution's accountability to the sponsoring Government in respect of proper maintenance and utilisation of each fund including proper management of Block grant in accordance with the guidelines issued by the concerned government.
- Corpus funds may typically be established from savings including the revenue generated, contributions from sponsoring governments/Society/Trust, donations from various permissible sources, etc. Normally the interest from corpus fund is used for those developmental activities for which there are no grants from the sponsoring Government/ Society/ Trust; expenditure is generally made with the approval of the Board of Governors or equivalent body.

## UNIT-7

### **TRIBAL DEVELOPMENT PLAN**

Institutions need to implement various activities listed below [details available in Section-VIII of Tribal Development Plan downloadable from NPIU website [npiu.nic.in](http://npiu.nic.in) ]

#### **7.1 Tribal Development Programs**

Institutions have accepted to implement the TDP at the eligibility stage. Give methodology for implementing the following programs and activities.

- a) **Reservation of seats for SC/ST**  
All institutions need to implement the official reservation policy
- b) **Implementation of programs and policies for the benefit of SC/ST community**  
Activities that could be undertaken are:
  - Special coaching for entrance tests
  - Orientation to the institution
  - Guidance and Counseling
  - Hostel facilities
  - Remedial teaching
  - Self-learning packages
  - Book Bank
  - Grievance redressal
- c) **Improve academic skills and linguistic proficiency**
  - Provide self-learning packages
  - Provide language improvement coaching and facilities
- d) **Special drive for increasing participation of SC/ST women students**
  - Hostel facilities
  - Local commuting facilities
  - Special coaching for entrance
  - Remedial teaching
- e) **Establishment of PETCs**
- f) **Promoting employment through specific**
- g) **Decreasing drop out rate and increasing retention**
  - Provide flexible learning and evaluation
  - Same as at (2) above

## 7.2 Implementation Plan for TDP [Illustrative only]

S. No	Description of Activity	Targets in Project Years				
		1	2	3	4	5
1	Implement reservation policy					
2	Provide remedial teaching					
3	Establish PETC					
4						

## 7.3 Implementation and Monitoring of Tribal Development Activities

- a) Institutions can seek funds for implementation of tribal development activities.
- b) Institutions should establish an SC/ST Cell responsible for coordinating activities, monitoring implementation and achievement of targets.

## UNIT-8

### **MANAGEMENT CAPACITY BUILDING PLAN**

- Development of management capacity at institutional level is of utmost importance to help institutions to attain and sustain excellence.
- Describe training of heads of institutions and senior faculty in management including Visioning; Governance; Exercising autonomy; Participative management; Financial management; Educational innovations; Other management related issue such as strategic planning etc
- Provide procedures and rules to be adopted to improve in quality and efficiency of institutional management
- Evolve processes to review periodically its objectives, goals, policies, processes and programs to respond better to environmental changes, market opportunities and competitive compulsions and also foster an internal environment that promotes innovation and experimentation. Such a self-renewing culture is essential for promoting and sustaining excellence.
- Describe how the Institutions will improve planning and decision making by managers of education, and making available institutional information to parents, their wards, and the general public. Each institution will be required to host a website providing data about itself on various aspects and to also provide data as required by the operators of EMIS.

## UNIT-9

### **PROJECT IMPLEMENTATION AND MONITORING**

#### **9.1 Project Implementation**

Institutions have to be establish their PMU for project implementation and internal monitoring. The PMU should typically be assisted by committees with direct responsibility for the following:

- a) Implementation of academic excellence activities
- b) Promoting research and consultancy—research and consultancy cell
- c) Procurement of civil works
- d) Procurement of goods (equipment, books & learning resources, furniture and vehicles)
- e) Faculty and staff development
- f) Networking—both formal and non-formal
- g) Rendering services to the community and non-formal sector of the economy
- h) Industry-institute interaction including services to the formal sector of the economy
- i) Tribal development activities
- j) Implementation of reforms
- k) Ensuring and auditing quality of education, training and services
- l) Facilitating and ensuring improvements in administrative and financial practices

Institutions should constitute committees for the above, and prescribe their functions and operating procedures.

#### **9.2 Project Monitoring**

Each IPMU is required to internally:

- a) Monitor implementation of institutional project activities
- b) Conduct audit of quality of education, training and services
- c) Conduct audit of administrative and managerial efficiency
- d) Monitor implementation of institutional reforms
- e) Monitor compliance with MOU conditions
- f) Monitor implementation of TDP
- g) Prepare quarterly reports on progress in project and reforms implementation, internal audits and compliance with conditions of MOU
- h) Submit quarterly reports to their respective BOG and SPFU (in case of centrally funded institutions to BTE in DSHE)
- i) Achieve targets set for Output Indicators



### **9.3 Performance Audit**

Every 6 months, the SPFUs will carry out independent audits of institutions in respect of:

- a) Performance in institutional project implementation
- b) Implementation of institutional reforms
- c) Quality of education, training and services
- d) Administrative and managerial efficiency

## 9.4 KEY PERFORMANCE INDICATORS

### OUTPUT INDICATORS

*Note: Unless specified, give data in numbers. Where financial information is required, give value in Rs. lakhs*

S. No.	Indicator	Baseline Data		Year 1		Year 2		Year 3		Year 4		
		A	B	A1	B1							
1	Increased number of high quality graduates in relevant and cutting edge technologies	All Engineering Disciplines	A	B	A1	B1						
		Cutting Edge Technology Disciplines	C	D								
<p>- High quality graduates are those who score 75% or more marks or equivalent GPA in the aggregate at graduation.                      - Examples of cutting edge technology disciplines are: Electronics &amp; Communication, Computer Science &amp; Engineering, Information Technology, Biotechnology, Bio-informatics, Biomedical Engineering, etc.                      - At A, give the total number of students that graduated in all engineering disciplines in 2002 - 2003.                      - At B, give the total number of graduates who were of high quality (as defined above) from the batch graduating in 2002 - 2003.                      - At A1 and B1 give the increased number of high quality graduates passing in 2003-2004 and the number of high quality graduates in the same year; the increase in each year should be about 10% of the percentage of baseline high quality graduates.                      - Following the above guidelines, please give the values for C, D ....</p>												
2	Increased number of students completing in engineering disciplines	Master's degree	M									
		Doctoral degree	P	Q	R							
<p>-At M give the number of students who completed Master's programs in 2002 - 2003                      -At P, Q and R give the number of PhDs. registered, thesis submitted and no. of defence completed successfully, respectively in 2002-2003                      -For the subsequent years, give the expected increased number of students obtaining Master's and Doctorate information accordingly.</p>												
3	Increased professional outputs	Publications										
		Academic Products										
		R&D Products of Commercial Use										
		Patents (obtained/applied for)										

<p><i>-Please give baseline data for 2002-2003 only.</i></p> <p><i>-Give the anticipated increased numbers for the subsequent years.</i></p> <p><i>-Under Publications, include all papers published in refereed journals and published in conference proceedings (papers could be research papers invited review papers, etc.) Popular articles, newspapers articles and radio/TV talks should be excluded.</i></p> <p><i>-Under Academic Outputs, include books, monographs, conference proceedings, educational software, hold and produce proceedings, etc.</i></p>										
4	Number of joint programs/activities	Externally funded research, design and development projects (both ongoing and completed)								
		Consultancy assignments (both ongoing and completed)	Nos.	Value Rs.						
		Publications								
		Training programs conducted								
<p><i>-This information has to be filled-in only by the Lead Institutions on behalf of all the Institutions in the cluster so as to avoid replication in counting joint efforts made.</i></p> <p><i>-Joint programs are those that are carried out jointly by two or more networked institutions.</i></p> <p><i>-Under Publications, include jointly published papers, books, monographs and conference proceedings, and educational software developed.</i></p> <p><i>-Give base value for 2002-2003 only.</i></p> <p><i>-Give the anticipated increased numbers in the subsequent years.</i></p>										
5	Increased revenue generation	RE	IRG							
<p><i>-Against RE, give the total recurring expenditure during FY 2002-2003.</i></p> <p><i>-Against IRG, give the total internal revenue generated during FY 2002-2003. IRG is to include income from all sources including tuition fees and other charges collected from students (all inflow except the grant/ donation).</i></p> <p><i>-Year 1 onwards give the expected IRG only.</i></p>										
6	Increased access to technical training for socially disadvantaged groups and unemployed youth	Program-days								
		Total No. of Participants								
<p><i>-Give baseline data for 2002-2003.</i></p> <p><i>-Give expected increased numbers for the subsequent years.</i></p>										
7	Increased availability of well-trained institution managers									

- Institution managers would include Head of Institution, Deans, Heads of Departments, Registrar, Deputy Registrar, Comptroller/Finance Officer, Training & Placement Officer, etc.*
- Well-trained implies those who have undergone formal training.*
- Give baseline data for the numbers available within the institution as in June 2003.*
- Give expected increase in numbers for the subsequent years.*

## OUTCOME INDICATORS

S.No.	Indicators		Baseline data		Year 1		Year 2		Year 3		Year 4	
			A	B	A1	B1	A2	B2	A3	B3	A4	B4
1	Improved employment rate and earnings of graduates from participating Institutions	Employed through campus interviews	A	B	A1	B1	A2	B2	A3	B3	A4	B4
		Employed through other means	C	D	C1	D1	C2	D2	C3	D3	C4	D4
<p><i>-Against A, give percentage of students graduating in 2003 who got employed thorough campus interviews. Against B, give the mean annual emoluments of this group of students</i></p> <p><i>-Give the expected changed values for the subsequent years against A1 to A4 and B1 to B 4 for those expected to be employed through campus interviews</i></p> <p><i>-Against C, give percentage of students who graduated in 2002 and got employed through means other than campus interviews within one year of graduation. - Against D, given the mean annual emoluments of this group of students.</i></p> <p><i>-Give the expected changed values for the subsequent years against C1 to C4 and D1 to D4 for those expected to be employed through means other than campus interviews</i></p>												
2	Increased cooperation and resource sharing between institutions	Number of faculty days loaned (sent) for academic activities										
		Number of student days for which students sent to other institutions for curricular and extra curricular activities										
		Joint Projects ,Consultancies, Training Programmes, Publications, Seminars, Workshops, etc.										
		Joint M.Tech and PhD Programmes										
		Number of person days (students and faculty) for which labs, workshops and libraries utilized by faculty and students from other institutions within the same network.										
<p><i>-Information on Joint Projects, Consultancies, Training Programmes, Publications, Seminars, Workshops, etc. has to be given only by the Lead Institutions on - behalf of their cluster.</i></p> <p><i>-Rest of the data has to be given by all Institutions for 2002-03 in the baseline year.</i></p> <p><i>-Give the expected increased values for the subsequent years.</i></p>												
3	Improve internal efficiency of the Engineering education system	Number of teaching days in an academic year (baseline year is 2002-03).										
		Number of days slippage from the announced academic calendar (baseline year is 2002-03)										

		Number of days for completing the admission process i.e. date of examination held to last student admitted/closing date of admissions (baseline year is 2002-03 and this information is to be provided by SPFUs on behalf of the State Institutions)					
		Number of days for completion of semester / annual examination (baseline year as held in 2003)					
		Number of days for declaring results (baseline year is 2003)					
		Office expenditure like stationery, O&M, Postal charges, Telephone Bills, Casual labor, Overtime, Vehicle, Security, Campus Maintenance etc. excluding amount spent on maintenance of equipment and infrastructure (baseline year is 2002-03)					
		Ratio of non-teaching staff to faculty (baseline year is 2002-03)					
		Average number of days taken for recruitment (from date of advertisement to date of offer of appointment)					
		Extent of computerization of administrative and financial processes					
		Degree of de-centralized decision making					
		Degree of documentation for job description					
-Give the expected changed values for subsequent years							
-For the last three parameters, give base and changed values in subjective terms like very low, low, medium, high, very high							
4	Increased involvement of institutions with community	Number of interaction with community					
		Number of need/demand based service programs carried out					
		Number of technologies transferred					
		Number of beneficiaries from skill-based training programs					
-Baseline values to be given for 2002-03							
-Interactions with community to include interaction both within and outside the institution for the purpose of assessing community needs, identifying programs, preparing action plans for service programs. This should also include follow-up visits after completion of service programs and transfer of technologies.							

## UNIT-10

### FINANCIAL REQUIREMENT & MANAGEMENT

- Institutions must provide an overall year-wise estimate of cost of the project proposal (as a sum of cost estimates for academic excellence, networking with Institutions, rendering services to community and economy; and implementation of Institutional reforms):
  - 10.1 By Category
  - 10.2 By component
  
- If no funds are required under any category/component/sub-component in any of the project years, this should be reflected as 0.00
  
- Institutions should describe their proposed financial management system under the following headings:
  - 10.3 System of fund flow
  - 10.4 Staffing
  - 10.5 Accounting policies and procedures
  - 10.6 Audits and monitoring
  - 10.7 Outstanding liabilities and audit qualifications
  - 10.8 Cost effectiveness

#### 10.1 Overall financial requirement of the project by Category

S. No.	Category of Expenditure		<i>Rs., lakh</i>				Total Fund Requirement
			Project Year-wise Fund Requirement				
			1	2	3	4	
1	Civil Works	New Constructions					
		Repairs/modifications					
2	Equipment						
3	Furniture						
4	Vehicles						
5	Books and Learning Resources						
6	Consultancy Services	civil works					
		procurement of goods					
		implementation of fellowship programs					
		educational studies					
		academic activities					
	other activities						
7	Human resource	Training					
		Additional staff required for proposed activities					

		Additional staff appointed for implementation & monitoring of the project at Institutional Level					
8	Consumables						
9	Operation & Maintenance						
<b>Total</b>							

## 10.2 Overall financial requirement of the project by Component

S. No.	Component/Sub-component	Project Year-wise Fund Requirement				Total Fund Requirement
		1	2	3	4	
1.	Academic Excellence					
2.	Networking with Institutions for quality enhancement and resource sharing					
3.	Rendering services to community and economy					
4.	Implementation of Institutional reforms					

## 10.3 System of fund flow

<ul style="list-style-type: none"> <li>• This should cover system of fund flow for: <ul style="list-style-type: none"> <li>(a) Non Plan funds</li> <li>(b) Normal Plan funds</li> <li>(c) Project funds.</li> </ul> </li> <li>• Also describe system of fund flow. As applicable, mention should be made of Block Grants and loans to unaided institutions.</li> <li>• Institutions should also respond to the following queries: <ul style="list-style-type: none"> <li>a) Are budgets prepared for all significant activities in sufficient detail?</li> <li>b) Do the fund flow arrangements ensure availability of adequate funds to the institution at all times?</li> <li>c) Have there been major problems in the past in receipt of funds? If so, are these being overcome by the proposed arrangements?</li> </ul> </li> </ul>
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## 10.4 Staffing

<ul style="list-style-type: none"> <li>• <b><u>Describe the overall staffing in the finance &amp; accounts department in the institution (accounts section)</u></b></li> <li>• Also describe the specific financial staff proposed to be deputed for the Project.</li> <li>• Institutions should also respond to the following queries: <ul style="list-style-type: none"> <li>a) Is the organizational structure of the accounts department satisfactory and adequate?</li> <li>b) Are the finance and accounts staff adequately qualified and experienced?</li> <li>c) Does the institution propose to depute specific financial staff for the Programme?</li> </ul> </li> </ul>
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## 10.5 Accounting policies and procedures

- Describe the policies and procedures to be adopted for project fund management
- Describe the system proposed to be used/ adopted for:
  - a) Maintaining of separate books of accounts for Project funds
  - b) Keeping records of expenditure separately for claiming reimbursement
  - c) Generating financial reports for the Project funds
  - d) Safeguarding institutional assets, etc.
- Institutions should also respond to the following queries:
  - a) Does the institution have an accounting system that allows for the proper recording of all financial transactions?
  - b) Are all accounting and supporting documents retained on a permanent basis in a defined system that allows authorized users easy access?
  - c) Does the institution maintain adequate and up-to-date cash & bankbooks, recording receipts and payments?
  - d) Do controls exist for the collection, timely deposit, and recording of receipts?
  - e) Is there a system of adequate safeguards to protect assets from fraud, waste and abuse?
  - f) Are subsidiary records of fixed assets and stocks kept up to date?
  - g) Is there a system of physical verification of fixed assets and stocks?

## 10.6 Audits and monitoring

- Describe internal and external audit mechanisms for:
  - a) Non Plan funds
  - b) Normal Plan funds
  - c) Project funds.
- Describe the procedure to be followed for monitoring and reporting.
- Also describe the current internal control mechanisms in the institution.
- Institutions should also respond to the following queries
  - a) Is there an internal audit department in the entity?
  - b) Does an independent auditor audit the financial statement regularly? If not, what is the proposed arrangement for audit of Programme funds?
  - c) Are there any delays in audit of entity? When are the audit reports issued?
  - d) What is the frequency of preparation of financial statements? Are the reports prepared in a timely fashion so as to be useful to management for decision making?
  - e) Does the institution have established financial management reporting responsibilities that specify what reports are to be prepared, what they are to contain and how they are to be used?
  - f) Do the financial reports compare actual expenditures with budgeted allocations?

### **10.7 Outstanding liabilities and audit qualifications**

- Each institution must list and describe its outstanding liabilities.
- Each institution should also describe the various audit observations that remain to be settled.
- Institutions should annex to the proposal a copy of the last audit report.
- Institutions should also respond to the following queries:
  - a) Was there any major accountability issues brought out in the audit report of last year, which remains to be settled?
  - b) Does the institution have any major outstanding liabilities?

### **10.8 Cost effectiveness**

- Describe here
  - a) How will you ensure optimal use of project funds where similar requirements are included
  - b) Inclusion of other present resources
  - c) Evidence of use of earlier development experiences in demonstrating effectiveness and efficiency of methodology

## UNIT-11

### SUSTAINABILITY PLAN

- It is of interest for the GOI and the external funding agency to know whether the gains made under the Program (higher standards/levels reached in core activities of the institution) would be sustained after the institutional project ends and how these would be sustained.
- Sustainability would be dependent on two major strategies:
  - 11.1 Continuation of commitment to excellence
  - 11.2 Ensuring adequate fund flow
  - 11.3 Risk Involved

#### 11.1 CONTINUATION OF COMMITMENT TO EXCELLENCE

An organised effort is required to maintain the high levels reached with the help of sponsoring government/Society/Trust, faculty, staff, students and institution's own management body. The major cultural changes made by the program must become internalised and ingrained within institution. Describe here how the Institution will ensure continuation in expected gains made as a result of the project:

- a) Excellence in academic activities in such areas as postgraduate education, doctoral programs, faculty development, participation in seminars, maintenance of equipment, R&D and consultancy services, improved curricular practices, etc.
- b) Improved institutional management practices including administrative and financial management practices, higher internal efficiencies, etc.
- c) Networks for academic and research activities
- d) Service to community and the economy;
- e) Interaction with industry;
- f) Exercise of autonomies, etc.

**11.2 ENSURING ADEQUATE FUND FLOW** through various means including funding from the sponsoring government/Society/Trust to sustain and to even enhance the good practices started under the Program.

Described in this sub-section in terms of financial projections, the utilisation of various resources for sustenance of project gains;

- a) funds established under the project
- b) Block Grant pattern of funding
- c) Internal Revenue generated
- d) Funds from sponsoring government/Society/Trust (Funded institutions may describe the support expected/ promised by their sponsoring governments. Aided and unaided institutions may similarly describe the support expected/ promised by their sponsoring Society/Trust.)
- e) Any other source

### 11.3 RISK INVOLVED

Describe briefly the main risks involved and the risk mitigation measures in the sustenance of activities promoted during the project in the format given below:

<b>S No</b>	<b>Main Risk</b>	<b>Risk Mitigation Measures`</b>