



SPECIAL ASSISTANCE PROGRAMME(SAP)

**UNIVERSITY GRANTS COMMISSION
BAHADUR SHAH ZAFAR MARG
NEW DELHI – 110 002.**

SPECIAL ASSISTANCE PROGRAMME (SAP)

- 1-CENTRE OF ADVANCED STUDY (CAS)
- 2-DEPARTMENT OF SPECIAL ASSISTANCE (DSA)AND
- 3- DEPARTMENTAL RESEARCH SUPPORT (DRS)]

1. INTRODUCTION

The SAP scheme was initiated in 1963 by University Grants Commission keeping in view the recommendations of the Education Commission to facilitate the selected number of university departments having some potential in research and teaching. The programme is intended to encourage the pursuit of excellence and teamwork in advanced teaching and research to accelerate the realization of international standards in specific fields. The first such programme was christened as the "Centre of Advanced Study (CAS)" in 1963. Some of these Centres also received recognition and financial support from UNDP/UNESCO. The "Department of Special Assistance (DSA)" and "Departmental Research Support (DRS)" programmes were started in the Departments during 1972 and 1977 respectively to create feeder departments for CAS.

2. OBJECTIVES

The major objectives of the Special Assistance Programme (SAP) are as follows:-

- a. To identify and support university departments that have the potential to undertake quality teaching and research in various educational disciplines including allied disciplines.
- b. Programme to be relevant to societal needs and have society and industry interaction.
- c. To make research a catalyst for good teaching and introduction of new courses relating to identified thrust areas.
- d. To have linkages with research organizations and to use their expertise innovatively to support research in the universities.
- e. To enhance infrastructure facilities.
- f. To utilize the output of research for the development of the nation and society.

g. To train and create quality human resource in identified thrust areas.

h. To search for newer / generic area(s), its promotion and nurturing.

To fulfill the above objectives, linkages with research organizations such as, DST, CSIR, DRDO, DBT etc. need to be used innovatively to support research in universities. Priority should be given to inter-disciplinary research in all fields.

3. ELIGIBILITY

A University department which qualifies under section 2 (f) and 12 (B) of the UGC Act, 1956 and has potential to undertake quality teaching and research can submit its proposal for induction under SAP. The detailed information is to be submitted in the prescribed format (**Annexure-I**). The department should have at least one Professor, two Readers and three Lecturers to become eligible for induction under SAP.

4. DURATION OF THE PROGRAMME

The duration of the Special Assistance Programme (SAP) is upto the end of Xth Plan period.

The UGC will not provide financial assistance for more than three terms at the same level of DRS and DSA. If the performance of the programme does not improve significantly, to be upgraded from DRS to DSA level or DSA to CAS level even after three terms of receiving grant from the UGC, the UGC may discontinue the programme.

The effective date of implementation of the approved phase will be 1st April of the next ensuing year. The department has to accept and implement the programme within six months from the date of approval or 1st April of the next financial year whichever is earlier, otherwise the UGC will be at liberty to cancel the approval of the programme.

5. NATURE OF ASSISTANCE

The maximum limit of financial assistance at different levels of the programme will be as under:

Programme / Status	Financial Assistance (Rs. in lakhs)	
	Science, Engg. & Tech.	Maths, Statistics Humanities & Social Sciences
CAS	100	60
DSA	75	50
DRS	50	40

The financial assistance will be provided for non-recurring as well as recurring items of expenditure. The details regarding the items covered under non-recurring and recurring are given in **Annexure-II**.

Additional Grant

The UGC may also consider following additional grants subject to the availability of the funds under the programme:-

A. ATTACHMENT OF STUDENTS (MASTER'S DEGREE PART-I AND BACHELOR'S PART-II)

a. Every Year four meritorious students from Master's Part-I (appeared in examination) and two Bachelor's Part-II (appeared in examination) students from neighbouring Universities/Colleges will be attached to each SAP supported departments for six weeks to provide them with research experience. They may be appointed on merit.

b. The students must be given project work during their attachment and each student should be assigned to one faculty member for guidance according to the identified thrust area(s) of interest.

c. (i) The Commission will provide to each student actual second class rail/bus fare per month of attachment along with contingency amount of Rs.5,000/- per student per annum for stationery, field work, repair and maintenance activities for the work assigned to them. The University department, where the student will be working, may provide the grant to the student based on their date of joining with necessary documents from the University department from where the student is coming to take up the attachment

programme. The UGC will reimburse the same after clearance from the Advisory Committee where the amount will be shown for release by the UGC to the Institution concerned where the student is working.

(ii) Projects may be chosen in collaboration with the industry, national organizations or for rural work in addition to the identified thrust areas. The student and the concerned teacher, to be attached with the student, may visit the industry and other organisations and take up the project. This will help to create a linkage with an external organization and the department, the students and the teacher. Thus mobility is ensured.

(iii) The Department should write and contact the relevant University/College between January and March of every year so that eligible students are selected on merit for research attachment.

B. ESCALATION COST OF EQUIPMENT

In the event of devaluation of rupee value against foreign currencies the cost of most of the sophisticated equipment also increases and the departments concerned are unable to procure the approved equipment within the approved amount due to the cost escalation.

In case of such escalation, the SAP supported departments will have to submit detailed information and bank documents along with exchange rate documents etc. to justify their claim in the prescribed form enclosed as **Annexure - III**.

To avoid the cost escalation, the Departments/Universities concerned will take appropriate steps according to the guidelines and terms and conditions of grants to place the order for approved equipment immediately after receiving the grant from the UGC.

C. 5% MAINTENANCE FOR EQUIPMENT GRANT

Maintenance, modernization, upgradation, accessories, spare parts etc. for the approved equipments may be procured under the programme @ 5% of the purchase value of the approved equipment per annum on contract basis from the date of expiry of warranty period till the end of the term of the programme. Thereafter, it has to be met by the University/ Institute.

D. OVERHEAD

An additional grant to the tune of 10% of the total allocation (Non- Recurring & Recurring) approved to a Department subject to a maximum of Rs.2.00 lakhs or the actual expenditure whichever is less towards water, electricity and telephone, fax, E-mail (only equipment cost of these items. Recurring cost of these items will have to be met by the Department/University) for the entire period from the date of implementation of the programme.

E. INTERNATIONAL COLLABORATION FOR RESEARCH UNDER SAP:

(a) The University Grants Commission on the basis of the recommendations of the University and the Advisory Committee may consider a well defined collaborative research programme for sending upto two teachers in a year from SAP departments to the identified foreign University/ Research Institute for a period of two to six months. The proposal for the collaborative programme will define clearly the objectives and the areas of collaboration from both the Indian and foreign counterparts. Such collaboration will focus on the areas of research, methods/ products/ prototype to be developed. It will also specify how the patents and the protection of the rights of such research and the collaboration programme will be maintained by both the counterparts. The teachers and the groups who will be collaborating will submit their phase-wise programme of going abroad along with the type of work they are to take up in that phase. The department will also mention any other support being enjoyed under such collaboration. An agreement on the above collaborative programmes, mentioning details of area(s) to be undertaken in the collaboration, possible time-frame, phase-wise plan of action may be prepared and finalized among the counterparts. This document may thereafter be placed before the Advisory Committee. The resolution may be sent to the UGC- SAP Division for consideration, approval and implementation accordingly.

(b) The Commission will provide assistance to each collaborating SAP department to the extent of Rs.2,00,000/-per year (as an additional grant on availability) for collaboration with an identified University department or Research Institute in a foreign country. The assistance will be for the following purposes:

1. To provide air fare by SAP department to two teachers and to provide local hospitality and travel within India to two teachers of foreign collaborating University/ Research Institute on the same scale as applicable in the cultural exchange programme of the UGC.

2. Local hospitality for teachers from SAP department will be met by the foreign collaborating University/Research Institute according to the norms of the foreign collaborating University/ Research Institute.

3. Air fare of the teacher from foreign collaborating University/ Research Institute will be met by them and local hospitality by the concerned collaborating department. In order to get assistance the following documents are to be submitted by the collaborating SAP departments to the UGC for approval and release of admissible grants:

The resolution of a well defined collaborative proposal (with objective) and complete action plan and a copy of the agreement between the appropriate collaborating authority of SAP department and foreign collaborating University/ Research Institute duly forwarded by the Vice-Chancellor as Chairman of the Advisory Committee where the presence of UGC expert nominee(s) is mandatory.

6. PROCEDURE FOR APPLYING FOR THE SCHEME

As per availability of funds in a financial year, the UGC may invite proposals for induction of new departments under SAP. Eligible and viable university departments which have potential to undertake quality teaching and research can submit their proposals.

7. PROCEDURE FOR APPROVAL BY THE UGC

A. SHORT LISTING OF NEW PROPOSALS UNDER SAP-DRS:

All the proposals duly prepared as per the guidelines of the programme received from the eligible University Departments through proper channel from the University will be scrutinized and short-listed by the Subject Expert Committees (**Annexure-IV**).

B. INDUCTION OF DEPARTMENTS BY THE SUBJECT INDUCTION COMMITTEE

The short listed proposals will be considered by the Induction Committee to be constituted by the UGC. The members of the subject induction committee will be different from the short-listing subject Expert Committee. The committee will visit the concerned Department of the University and also identify the Coordinator and Deputy Coordinator of the programme for the tenure of the programme or upto his / her superannuation in consultation with the representatives of the department to run the programme in an identified thrust area(s). The recommendations of the Committee will be approved by the Commission for induction of new departments. (**Annexure-V**)

TERMS OF REFERENCE OF INDUCTION COMMITTEE

(i) The Committee would identify preferably not more than 3 or 4 areas of thrust or group research areas not too narrowly based on the excellence in the department. The direction of the thrust will be identified keeping in view the national or global priority / thrust where such advancements are viable and have distinct identifiable growth potential and future prospects.

(ii) While supporting identified areas, it should be ensured that the major facilities be identified which the department will require to maintain growth and excellence or to create work as per the objectives of the programme.

C. IDENTIFICATION OF COORDINATOR/ DY. COORDINATOR

(i) The Committee will identify the Coordinator of the programme in consultation with the Vice-Chancellor and the faculty members. The senior most Professor in the identified thrust area or the professor most active (to be judged by the Committee) in the thrust area identified, may work as a Coordinator. The

Coordinator will also look into the interest of the other areas in order to have overall growth and standard in the department. The Coordinator should ensure that the facilities provided under SAP as well as other existing facilities in the department may optimally be utilized.

(ii) The Committee may make specific financial recommendations for the most essential and critical needs to be provided for further growth, development and creation of excellence in the identified areas keeping in view the financial ceiling and the objectives of the programme. Specific facilities including equipments and other items with the financial allocation recommended for, may be mentioned in the column allotted for the same in the format .

8. PROCEDURE FOR RELEASE OF GRANT

Based on the recommendations of the Induction Committee and the approval of the UGC the financial assistance as recommended by the Committee will be conveyed to the selected and inducted department of concerned university subject to certain terms and conditions for release of grant. On receipt of the acceptance of the terms and conditions mentioned in the UGC's letter, the UGC will sanction total non-recurring and recurring grant for the first year of the programme.

CONDITIONS FOR RECEIPT OF THE GRANT

In order to avoid difficulty in implementing the programme on day-to-day basis, the UGC desires that the University will give sufficient delegation of authority to the Department (SAP supported) within the University for successful implementation of the programme within the approved duration.

I. The university and department will intimate the name of the Registrar who will receive the grant on behalf of the university for the programme.

II. The name of the bank and account number (**for SAP**) with detailed address may be intimated to the UGC to receive approved financial support under the programme. A separate account for the grant under the programme is essential to be maintained with intimation to the university authorities / UGC

III. The Coordinator should have the freedom to place orders and act as per directions of Advisory Committee under intimation to the Head of the concerned department. The Advisory Committee, if it so feels, may constitute a purchase committee to deal with the matter.

IV. Non recurring grant released by the UGC should be utilized by the department / university positively within a period of two years from the date of receipt of grant, otherwise the UGC may ask for refund of the unutilized amount of non-recurring grant.

V. Second and subsequent installment of grants will be sanctioned only on receipt of the following documents :-

(a) Year-wise and item-wise statement of actual expenditure incurred against the grant paid for the previous year in the prescribed Proforma (**Annexure-VI**), duly signed by the Registrar, Finance Officer and Coordinator of the programme.

(b) Utilization Certificate in the prescribed form (**Annexure-VII**), duly signed by the Registrar, Finance Officer and Coordinator.

(c) The University will also submit an audited statement of accounts of the programme, duly audited by the Statutory Auditors of the University, as soon as the accounts of the University are audited.

(d) The Department **must** submit an Annual Progress Report in the prescribed format (**Annexure-VIII**) with a copy of the proceedings of the Advisory Committee meeting, highlighting the specific observations / comments of the outside experts (UGC nominees).

(e) The UGC assistance for the payment of salary of research/teaching personnel approved for the SAP, will be from their date of joining and upto the end of approved duration of the programme. Thereafter, the

State Government / University will have to take over the recurring liabilities of such staff. The UGC will not be responsible either legally or financially for continuation of the appointment made under SAP.

(f) The UGC approval for the posts vacant on the date of completion of the duration of the programme will automatically lapse.

9. PROCEDURE FOR MONITORING THE PROGRESS OF THE SCHEME

Monitoring / Evaluation and Review of the progress, performance, achievements made by a Department supported under the SAP will be done through the following Committees :-

A - Advisory Committee

B - Mid-term Monitoring and Evaluation Committee

C - End-term / Final Review Committee

A. CONSTITUTION AND FUNCTIONING OF THE ADVISORY COMMITTEE

The composition of the Committee will be as under :-

1. Vice-Chancellor Chairperson
2. Head of the Department Member
3. Sr. most Professor Members participating in research in each of the identified thrust areas.
4. One Sr. Teacher involved Member in UG & PG teaching in areas other than identified thrust areas
5. Two outside experts as UGC nominees Member
6. Coordinator Member Secretary

TERMS OF REFERENCE AND ROLE OF THE ADVISORY COMMITTEE WILL BE AS UNDER:- (i) The Advisory Committee will play an active role for the full - term of the programme.

(ii) The Advisory Committee shall meet annually and the dates of the Advisory Committee meetings should be fixed well in advance so as to ensure participation by the UGC nominees/ outside experts.

(iii) a) The Advisory Committee shall monitor and review the academic teaching, research, collaborative , extension and future programmes; procurement of the equipment; expenditure on housing the equipment as allocated by the UGC. The Committee will also look into the international collaborative programmes, training of the students, use of the research and technology output , patent filing or commercialization of the output, resource generation or patent promotion, attachment of research students and other related activities under the programme .

b) It will also look into the scope of updating the courses from time to time.

(iv) The Advisory Committee may not generally recommend any fresh proposals involving finances to be sought from the UGC but will advise on the proper utilization of the amounts already approved under the programme and suggest such reappropriations as may be necessary, keeping in view the progress of work in the department.

(v) The interest accrued, if any, out of the sanctioned amount under the programme , is to be treated as an additional grant. The Advisory Committee should suggest proper use of such amount. The University /

Department will have to submit to the UGC regarding utilization of the interest income, while submitting the annual accounts for the programme.

(vi) The programme Coordinator may procure the equipment sanctioned under the programme as per the procedure suggested by the Committee. Since the Phase of programme is time bound, there is no need of any approval in this regard of the Executive / Syndicate of the University.

(vii) The expenditure towards the Advisory Committee meetings may be met from the specific recurring grant allocated for the purpose.

(viii) If the UGC nominee is absent in the Advisory Committee meeting due to unavoidable reasons, the nominee may kindly be requested to give his / her opinion in case the nominee differs from the decision of the Committee. This opinion shall be considered in the next meeting or by the Chairperson in case of emergency.

B. MID-TERM MONITORING AND EVALUATION COMMITTEE

The Mid-term monitoring Committee constituted by the UGC will evaluate and review in the third year of the programme, the academic, research achievements and the progress of the work done during first two years of the programme. This will be in addition to the monitoring of the programme by the Advisory Committee. The Review Committee may review the progress of the programme by visiting the departments on the spot or by inviting the representative of the departments for presentation of the performance appraisal reports in a selected and easily accessible university.

TERMS OF REFERENCE AND ROLE OF THE MID-TERM MONITORING AND EVALUATION COMMITTEE

1. After completion of two years of the SAP the department will submit a progress report in the prescribed format (**Annexure - VIII**). The UGC may organize group monitoring or on the spot visit for review of the departments which have completed more than two years from the date of approval of the programme or as communicated by the UGC.

2. This Committee will review the mid-term progress and activities and also take note of the minutes of the Advisory Committee meetings and the action taken on the recommendations of the Advisory Committee and decisions of the UGC.

3. The Committee will submit the report highlighting the various achievements, facilities created, equipment procured, staff/faculty/fellows appointed (if approved by the UGC), utilization of the funds for the purpose it were given, the status of the Coordinator, thrust areas identified or modified, other areas emerging out etc. as relevant to the programme (**Annexure-IX**).

4. Normally, no financial grant be recommended by the Committee. However, the Committee may highlight any special point or comments which they intend to make for the smooth implementation of the programme, for consideration of the UGC.

C. END -TERM/FINAL REVIEW COMMITTEE

The End Term/Final Review Committee constituted by the UGC consists of 2-3 subject experts in the identified thrust area and a UGC officer. This Committee will evaluate and assess the over all progress and achievements of the Department at the end of the tenure of the programme, based on the final progress report, academic and research achievements, infrastructure facilities created and utilization of funds etc. Besides, the committee may visit the Department and assess the Department on the spot, by discussions, physical verification, etc.

TERMS OF REFERENCE AND ROLE OF THE END TERM / FINAL REVIEW COMMITTEE

1. The Committee will study in depth the progress report received from the Department in the format (**Annexure - IX**) prescribed by the UGC.

2. The Committee will visit the Department laboratory, library and other infrastructural facilities. It will hold discussions with the Vice-Chancellor, Senior faculty members and teachers, administrative authorities, research scholars and students, staff as may be essential in regard to various academic, teaching, research, collaborative programmes, extension and training programmes, resource generation etc.
3. The Committee will look into the strength of the faculty (Professors, Readers, Lecturers, other personnel) working in the department and actually in position and their involvement in the thrust area. It will also examine whether the State Government or the university has taken the liability of the faculty provided by the UGC during its support under the programme.
4. The Committee would examine the stage of development of the identified thrust areas which have been provided support in phases, its modification, inclusion and its impact on the total development of the Department. It will also identify the areas of thrust, where excellent progress has been made or maintained. The addition of any area of thrust, other than the identified area, may be recommended with proper justification.
5. The Committee will examine the number of years passed after support of the programme and the newer / generic / hi-tech/ thrust areas generated out of the support in addition to the identified thrust areas. Whether these new areas have brought in any excellence or innovation or breakthrough would also be examined .
6. The Committee after rigorous evaluation may recommend to continue / discontinue / upgrade the programme of the department. The Committee may suggest the financial implications for continuance / upgradation of the programme concerned, keeping in view the UGC guidelines of the programme. The recommendations of the Committee will be placed before the Commission for its approval.



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UNIVERSITY GRANTS COMMISSION
FORMAT FOR INVITING PROPOSAL FOR FRESH INDUCTION
UNDER SAP- (DRS)

ANNEXURE-I

1. Name and address of the University:
Year of Establishment: University

2 Name and Address of the Registrar :

3. Name of the eligible Department submitting the proposal with detailed address:
Address :

_____ E-Mail _____
_____ Ph. _____
_____ Fax _____

Pin code _____

4 Name and Address of the Head of the Department _____

5. Name and Address of the Coordinator proposed for the programme:

6. Name and Address of the Deputy Coordinator proposed for the programme:

7. The Thrust Area(s) of research to be undertaken under the programme.

8. Faculty* in the department:

Professor Reader Lecturer

(a) Approved strength

(b) In position

- Please annexure a list of faculty members giving name, designation, qualifications, specialization and number of publications (international & national level) during last 5 years.

9. (a) Students intake and passout in the Department during last 5 years.

Name of the course	Intake	Average no. of students passing out per year	Major areas of placement of students
<u>Post Graduate degrees</u>			
1.			
2.			
3.			
<u>Research Degrees</u>			

1. M.Phil.			
2. Ph.D.			

(b) Research and Collaborative projects completed by the Department during last 5 years.

National level organizations / agencies		International level organizations / agencies	
No. of projects	Amount (Rs. in lacs)	No. of projects	Amount (Rs. in lacs)

10. (a) Awards received by the faculty during last 5 years.

Name of the Award	Number of awards	Name of awardee
National level		
International level		

(b) Fellows of professional bodies / academies

Name of the Body / Academy	Position, if any
National level	
International level	

11. Details of Collaborative Programme (Teaching, Research and extension activities).

(a) Intra and Inter Department

(b) National organizations

(c) Non-Government organizations

(d) International organizations

(e) Other Institutions

12. Details of seminars, conferences etc. organized during last 5 years:

	Number organized		
	National		International
	Organized	Participated/ Attended	Orgd. Participated
Conferences			
Seminar			
Workshop			
Summer Institutes			
Refresher Courses			

13. Details of the Seminars/Conferences attended by the faculty during last 5 years.

14. Any financial assistance received/generated by the Department from other sources during the last 5 years.

Year	Name of the Funding/ agency (Indian/ International)	Building	Equipment	Contingency	Staff	Total
Year I						
Year II						
Year III						
Year IV						
Year V						

15. (a) Is there a departmental library?: Yes/No

(b) If yes, total no. of Books :

(c) Total no. of journals(Indian/Foreign) subscribed annually:

16. (a) When the syllabus for different courses in the department were last restructured /revised:
Course Year of revision

U.G.

P.G.

M.Phil.

(b) Upto to what extent the curriculum reports published by the UGC utilized for courses in the department.

(c)What other initiatives at the departmental or individual level were taken in the last 5 years to improve teaching and research. Please give a short note.

17. Whether University will provide Academic and Financial autonomy to the Department if selected under SAP.

18. Details of year-wise plan of work proposed to be done in the major thrust areas.

19. Most essential and critical financial needs/facilities which will be required for successful implementation and to attain the objectives set-forth. (This should be within the financial limit as per guidelines and according to the list of admissible items (**ANNEXURE-II**). X Plan priority-wise list of equipment with estimated cost should be attached).

20. Annual/ Semester system in Examination being followed. Credit system in examination being followed or not.

21. Major ongoing areas where linkages with industries have been established.

22. Research and technology developed by the Department and output which has been used by user departments / organisations / industries in the form of patents, commercial application, fabrication of equipments / facilities, use for knowledge dissemination / development in teaching.

23. Availability of infrastructural facilities for research:

(i) Physical

(ii) Academic and Research

24. Major equipment available and in use (costing more than Rs.2,50,000/-) within Department and USIC, indicating actual cost and source of each item, year of purchase, whether in operation.

**SIGNATURE & SEAL OF THE HEAD/
PROPOSED COORDINATOR OF
CHANCELLOR /**

**SIGNATURE & SEAL OF THE
/ PROGRAMME APPLIED FOR WITH UNIV./VICE-
THE HEAD OF THE INSTITUTION**

DATE

REGISTRAR

Please note: PROPOSAL PREPARED OTHER THAN IN THE ABOVE FORMAT AND WITHOUT SIGNATURE OF THE ABOVE MENTIONED AUTHORITIES, MAY NOT BE CONSIDERED. PROPOSAL IN DUPLICATE COPIES IN THE BIND FORM AND NEATLY TYPED AND PRINTED MAY BE SENT TO THE JOINT SECRETARY (SAP DIVISION), UNIVERSITY GRANTS COMMISSION, BAHADUR SHAH ZAFAR MARG, NEW DELHI.



UNIVERSITY GRANTS COMMISSION

ANNEXURE-II

ITEMS FOR WHICH THE FINANCIAL SUPPORT WILL BE PROVIDED UNDER SPECIAL ASSISTANCE PROGRAMME (SAP)

Item

Non – Recurring

1. Equipment (including Computer Hardware / Software)
2. Room preparation upgradation/ augmentation/extension of existing laboratory for housing and installation of new equipment (Maximum limit upto Rs.15.00 lakhs) including Air – conditioning.
3. Reprographic facilities

Recurring

1. Contingency/Working expenses
2. Chemicals/Consumables/Glasswares
3. Travel/Field facilities/Field trips for faculty members only (**all within India only**)
4. Visiting Fellows
5. Seminars (for organization) on thrust area
6. Hiring the services of Technical/ Industrial/Secretarial assistance as relevant to the programme (for programme duration only)
7. Advisory Committee meetings (TA/DA for UGC nominees in the Committee)
8. Books and Journals
9. Staff for CAS/DSA/DRS :

DRS	– Lecturer	– 2 Project Fellows
DSA	– Reader	– 1 Research Associate & 1 Project Fellow
CAS	– Professor	– 2 Research Associates & 2 Project Fellows

(UGC assistance for research staff approved, if any will be for the programme duration only)
Salary and other allowances of Research staff will be as per the UGC guidelines.
If qualified Research Associates are not available, Project Fellows may be appointed.



ANNEXURE-IV

UNIVERSITY GRANTS COMMISSION

SPECIAL ASSISTANCE PROGRAMME (SAP)-DRS

SUBJECT COMMITTEE MEETING FOR SCRUTINIZING AND SHORTLISTING OF THE NEW PROPOSALS

DATE OF MEETING _____

SUBJECT OF THE PROPOSAL _____

EVALUATION INDICATION SHEET

1. 1. Name of the Department / University :
2. Proposal for consideration under : **SAP (DRS)**
3. Whether the department is **viable** at present in: **Yes/No**
terms of its academic achievements / progress
in the on-going thrust areas as stated in the
proposal and has the desirable academic staff
(1 Prof., 2 Readers and 3 Lecturers) for further
consideration by the Commission to induct it
under SAP programme
4. Thrust area(s) on which the Department :
should emphasise, if selected for induction
5. Specific comments / recommendations in : PRIORITY NO.....
order of PRIORITY
6. The specific reasons (in brief) for which the :
Department is NOT-VIABLE at present

SIGNATURE OF THE EXPERTS

- 1.
- 2.
- 3.

SIGNATURE OF THE UGC OFFICIAL



ANNEXURE-V

REPORT OF THE EXPERT / INDUCTION COMMITTEE FOR THE DEPARTMENT OF
_____ UNIVERSITY OF _____ FOR INDUCTION AT THE LEVEL (DRS/DSA
WITH PHASE) VISITED ON _____ AT _____

**RECOMMENDATIONS OF THE EVALUATION AND ASSESSMENT / INDUCTION
COMMITTEE**

Name of the Department

Date of Assessment:

and University

with Venue :

PINCODE & FAX:
(provide level of induction
& programme)

Induction Status:

Expert Members & UGC officer Present

	Name	Address	Tel./Fax No.
1.			
2.			
3.			
4.			

1. Broad Thrust Area (s) identified & recommended by the Committee:-

(i)

(ii)

(iii)

3. Coordinator and Deputy Coordinator identified and recommended by the Expert Committee:-

Name:

Designation:

Telephone No./Fax/E-mail:

Area of specialization:

Status of the Coordinator(senior most or not):

3. Status of the Department :

(a) Year of establishment :

(b) Present faculty strength :Professor ____ Reader ____ Lecturer ____
(working)

(c) Name all ongoing courses of the Department and the student intake in each courses :

4. Advisory Committee Members recommended by the Committee (other than Induction Committee members) :

	Name	Specialization	Address /Fax / Tele No./ E-mail
(i)			
(II)			

5. Major observations and achievements (prior to induction into this programme) :

a. (I) Major working groups and thrust areas :

(II) Faculty members involved in each working group :

b. Excellence in the identified thrust area:

c. Other thrust / hi-tech / emerging area nurtured:

d. Technology / method developed and used industrially/commercially:

e. Courses introduced and implemented with intake of students, number of faculty involved, sponsoring agency ,if any, of the students, possible employer and user department / organization / agency :

f. New ideas which have influenced teaching or research :

g. Infrastructure developed: Major equipments / facilities (attach list) :

i. Industrial collaboration and amount of resource generated, out of such collaboration :

j. Patents / Prototype : i. approached for- ii. in credit- iii. Given to licensees

k. International collaboration(with industry, institutions, man-power trained) :

l. Utilization of the research facilities by other user dept. / agencies /

other organizations / NGOs:

m. Industrial / commercial attachment of the student or faculty members :

6. Brief status of the Department on administrative / financial and academic aspects :

Whether the Department will be given autonomy by the University with respect to academic, financial and administrative functioning, if the UGC approves support under SAP.

7. Whether the examination reforms and restructuring of courses are taken care of properly in time or not. Provide details with the year of restructuring / reformation made last.

8. Whether the Committee wants to make any special comments for notice of the highest authority of UGC with respect to functioning of the Department from all angles, which may be kept confidential, if it is so necessary:

9. Future plan of work of the Department with the objectives set forth as proposed under this first phase if UGC agreed to the support (enclose separately as Annexure) :

10. Whether the committee is satisfied with progress and existing activities of the Department which can be considered for induction of the Department and for the support :

11. The Committee strongly recommends :

i) The Department be inducted at the status of DSA/DRS

ii) If not recommended, the reason thereof.

12. Other special comments/remarks of the Committee, if any:

13. Financial Recommendation (most critical and essential funds within the approved limit and the admissible items as given in the ANNEXURE-II, if necessary, may be attached as ANNEXURE) :

SIGNATURE (EXPERT MEMBERS) AND UGC OFFICIAL WITH DATE AND VENUE

Name Address & Signature

Tel./Fax No.

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



UNIVERSITY GRANTS COMMISSION
PROGRESS REPORT OF EXPENDITURE

ANNEXURE VI

University_____

Sanction letter No. & Date_____

Statement of Actual expenditure during_____

and estimated expenditure for_____

Item of expenditure	Total grant approved	Actual grant received	Actual expenditure incurred (bills actually paid)	Excess Saving (difference of Col.3 & 4)	Estimated expenditure during	Remarks
---------------------	----------------------	-----------------------	---	---	------------------------------	---------

NON-RECURRING

ITEMS:

(As approved by the UGC)

Total N.R.

Item of expenditure	Actual ceiling`	Grant received	Actual expenditure	Excess Saving (difference of Col.3 & 4)	Estimated expenditure during	Remarks
---------------------	-----------------	----------------	--------------------	---	------------------------------	---------

RECURRING

ITEMS:

(As approved by the UGC)

Total N.R.

Grand Total
(Recurring + non-recurring)

Certificate

Certified that the grant has been utilized for the purpose for which it was sanctioned and in accordance with terms and conditions attached to the grant.

If as a result of check or audit objection, some irregularity is noticed at a later stage, action will be taken to refund, adjust or regularise the objected amount.

**Signature
Coordinator
Of Programme with Seal**

**Signature
Registrar**

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



ज्ञान-विज्ञान विमुक्तये

UNIVERSITY GRANTS COMMISSION

ANNEXURE-VII

UTILIZATION CERTIFICATE

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

If as a result of check or audit objection some irregularities are noticed at a later stage, action will be
taken to refund, adjust or regularize the objected amount.

Signature
Registrar with Seal

Signature
Finance Officer with Seal

Signature
Coordinator of SAP with Seal and Registration No.
Prior to the audit of Statutory Auditors)

Signature, Chartered Accountant

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



**UNIVERSITY GRANTS COMMISSION
NEW DELHI**

ANNEXURE-VIII

FORMAT FOR PROGRESS REPORT FOR MID-TERM/FINAL REVIEW UNDER SAP (CAS/DSA/DRS)

Date of first approval with level

at inception:

Name of the University:

Date of implementation of

current phase as noted by

Name of the Department: the UGC

Status(CAS/DSA/DRS /ASIST Period of Report :From_____to_____ with phase):

NR

R Total

Amount allocated for 5 years:

Coordinator's Name:

Amount sanctioned during the year :

Dy. Coordinator's Name:

Amount utilised during the year :

Address:

Date of first sanction

City (Current phase)

Pin:

State

Tel.

Fax

Total grants received since inception:

1. (a) Thrust Area(s) :

1b.UGC nominees with Address, City, Pin, State,Tel.,Fax, E-

Identified since inception

Ongoing

Modified to, if any, and when UGC approval reference no and date

Future Thrust Area proposed

mail (as approved by the UGC) :

1.

2.

2. Major achievements (last two/five years depending on mid/final term review) as the case may be:

(i) Teaching :

a. New courses introduced:

b. Curriculum last revised & significant changes:

c. Examination reforms last made with special features:

d. Teaching lab./equip./new facilities created:

(ii) **Research**

a. Research(highlight major objectives set-forth (as proposed) and achievements made with breakthrough, innovation brought in, technology transferred, international collaboration which have created resources).

b. If the objectives set-forth could not be achieved, the specific reasons thereof.

c. Utilization of findings in policy formulation, development and modification of strategies (for Social Science departments mainly)

(iii) **Human Resource Training** :

a. Persons trained (Nos.): UG- PG- b. Rural/Tribal- c. Industrial- d. International - e. From other agencies

-

3. Infrastructure Developed:

a. Name major Equipments(>Rs.3 lacs)

b. Central Schemes/facilities for PG, Research and Extension Activities (Please tick the one applicable to your Department :(i) STEP (ii) IIPC (iii) USIC / RSIC (iv) Patent Promotion Cell (v) Guesthouse with capacity (vi) Seminar / Conference Room with capacity (vii) Regional/Mainframe computing facilities (viii) Central Library with documentation facilities (ix) Continuing Education Centre (x) Women Development Cell.

c. Networking(Please tick the right one): (i) Library (ii) Laboratory (iii) University Department.

4. Knowledge disseminated to (in the thrust area identified):

(i) Other teaching institution(Name, No. of faculty involved)

(ii) Industry(Name with amount received if any)

(iii) Rural/Tribal/Govt./NGOs(Provide No. with amount)

(iv) International (name organisation) (v) Others (vi) Innovation/excellence brought in (Please specify in the identified thrust areas only)

5. Breakthrough (already recognized)

6. Emerging/Hi-tech/Priority area generated

7. Resource generation(specify amount,.Rs. in lakh):

<u>Items</u>	<u>Amount</u>	<u>Items</u>	<u>Amount</u>
--------------	---------------	--------------	---------------

Consultancy :

Sponsored(agency) R&D Projects:

Transfer of technology:

Product & Prototype development:

Patent utilisation:

Exploitation of internal facilities

Industrial collaboration: by user departments:

Human Resource Training:

a. Neighbouring institutions:

a. International students:

b. b. Industries :

c. b. Industrial:

d. c. National organisations:

e. c. Extension activities:

d. International organisations:

e. Any other Collaborative

d. Other courses: programmes

a. Total amount of resource generated from all sources above

b. Also mention development grant received from University in other areas of the Department.

8. Use of output of research, teaching in (tick and fill up the right one)

Item No.

a. Industries

Item No.

b. Other user deptts.

c. National orgns.

d. Other Organisations

9. Other activities:

a. Items Numbers
Seminar

Time duration

Summer Institute

Conference

Refresher Courses

b. Autonomous Character: Yes/No.

a. Financial

b. Administrative

c. Academic

c. Others

c. Advisory Committee Meeting (No. with Dates)

Major Recommendations

1.

2.

3.

10. Faculty Involved

a.

----- Faculty Strength: Positions

Available Working Vacant Created

(Put Numbers) In thrust Area(1) Other Areas(2) (1) (2) (1) (2)under SAP/ ASIST

Professor:

Reader:

Lecturer:

Others:

b. In the identified thrust area(s):

Faculty Name Membership Specialisation/ (INSA/BHATNAGAR/BIRLA) Specific Areas
of expertise

Professor

1.

2.

3.

4.

Reader

1.

2.

3.

Lecturer

- 1.
 - 2.
 - 3.
- Em./ Viz. Prof.

· Provide a list of publication records in referred journals (group area wise, faculty member wise, year-wise).

c. Intake(Please put numbers) Identified thrust area Other than thrust area

-
- Ph.D.
 - PG:
 - Fellows:
 - NET Scholar:
 - GATE Scholar:
 - Res.Asso.:
 - Proj.Asstt.:
 - Others:

11. National/Nodal Character of the Department National/Nodal/All India Centre

a. Resource Persons Invited (Nos.)-

International National

b. Serving for outside user departments in (Nos. & hrs.)

i. Hands-on OR technical training
to university/college teachers ii. Collaborative(international)

iii. Teaching to neighbouring institutions iv. Visiting Teachers to foreign
university

v. Equipment facilities vi. Other major infrastructure facilities

12. Most critical and essential requirements that may be required to continue the programmes if the UGC agrees to continue or extend support based on the evaluation and final review by expert committee.

Non-recurring :

Recurring:

Total(Rs.in lakh) : (As per
items given in the guidelines ({Please
add Annexure)

13.a. Whether the State Government will take up the liability of the faculties and the staff in the areas identified after cessation of the tenure of the programme say in five or three years as the case may be)

b. Whether the State Government has already agreed or has taken up the liability after five years of completion of the tenure of the programme as was communicated along with the approval letter?

c. How the Department is going to maintain infrastructure and the status if UGC disagrees to continue the support further. Whether the Department /University will agree for upgradation of the status on no cost basis, if it so happens as per the recommendation of the Committee.

14. Utilization Certificates may be provided as per the UGC format. The accounts of the earlier phase be completed, finalised, audited and duly authenticated by the competent authority (Registrar and Finance Officer both) (item-wise and year-wise) for all the allocations and sanctions given to the Department for

ongoing/current phase are to be submitted by the Department so that UGC, if provides support again , may immediately release the funds for the phase to be approved as per the above activities.

Signature :
Programme
Coordinator

Signature:
Registrar of
the University



**UNIVERSITY GRANTS COMMISSION
NEW DELHI**

ANNEXURE –IX

REPORT OF THE EXPERT REVIEW COMMITTEE FOR THE DEPARTMENT OF

_____ UNIVERSITY OF _____

(MID-TERM/FINAL) REVIEW FOR THE LEVEL SAP (CAS/DSA/DRS) AND ASIST VISITED ON

_____ AT _____ UNIVERSITY _____

RECOMMENDATIONS OF THE MIDTERM/END TERM (FINAL)

ASSESSMENT / REVIEW COMMITTEE

Name of the Department

Date of Review:

and University

with Venue :

PINCODE & FAX:

Review Status:

(Mid-term/Final

Level of the Deptt. Reviewed:

(CAS/DSA/DRS) & Phase :

Period : _____ From _____ to _____

Expert Members & UGC officer Present

Name Address Tel./Fax No.

- 1.
- 2.
- 3.
- 4.
- 5.

1. Thrust Area identified & recommended by the Committee now (Not too narrowly):-

(i)

(ii)

2. a) Coordinator identified and recommended by the Expert Committee

Designation:

Telephone No./Fax/E-mail:

Area of specialisation:

Status of the Coordinator (senior most or not):

Whether he/she is the same Coordinator as was in the earlier/ongoing phase or level:

b)Deputy Coordinator identified and recommended by the Expert Committee

Designation:

Telephone No./Fax/E-mail:

Area of specialisation:

Status of the Coordinator (senior most or not):

Whether he/she is the same Coordinator as was in the earlier/ongoing phase or level:

3. Major Objectives set-forth for the phase now being reviewed:

4. Objectives achieved:

a. Breakthrough, if any:

b. Excellence achieved in the identified thrust area:

c. Other thrust / hi-tech/emerging area nurtured:

d. Technology/method / patent developed and used industrially / commercially: phase now being

e. New courses introduced and implemented with intake of students, number of faculty involved, sponsoring agency ,if any, of the students, possible employer and user department / organization / agency:

f. Publication status :

g. Few lines write-up on research highlights of the Department:

5. Impact of the programme on the following parameters :

(i) Infrastructure developed:

(ii) Major equipment /facilities created (provide list) :

(iii) Industrial collaboration and amount of resource generated:

(iv) Research publications in referred journals in the identified thrust areas and in areas where the facilities under this programme were used :

(v) Manpower trained (last five years) :

(vi) Total amount of resources generated:

(vii) International collaboration (with industry , institutions , manpower trained) :-

(viii) Use of the research facilities by other user deptt. / agencies / other organizations /NGOs:-

(ix) Generation of new Innovative ideas worth mentioning :

(x) a. Industrial/commercial attachment :

b. Whether the UGC SAP ideas of attachment of meritorious students from neighbouring universities/colleges for six weeks implemented:

6. (a) Whether the Department is acting as a nodal centre as could be judged from :

(i) Intake of students nationally and internationally:

(ii) Collaboration nationally and internationally:

(iii) Training of human resource development and involvement of faculty:

7. The examination reforms and restructuring of courses are taken care of properly in time or not, provide details:

a. Meetings of the Advisory Committee (Number and Dates):

b. Important resolution which may be considered by the UGC, if any,:

8. a. The utilization of the funds have been made for the purpose as was given on :

i) The creation of major infrastructure and equipment:

ii) UG/PG institutional & academic development:

iii) Strengthening of research facility, collaboration:

iv) Central facility for building:

b. Whether the Committee is satisfied with utilization or not:

D. Technological spin-offs

(i.e. Instrument/materials/
systems models/developed

E. Manpower generated

F. Scientific Publications

G. Industry sponsored

Project/programmes

H. Sponsored project/programme
Other than industry

I. Foreign Collaboration

J. Patent Obtained/

Applied for

OVERALL GRADATION OF THE PERFORMANCE (With signature of the Experts) :-

Excellent Very Good Good Satisfactory Average

NOTE:- ONLY THE DEPARTMENT PERFORMED ABOVE "GOOD" MAY BE RECOMMENDED FOR WHICH FURTHER CONTINUATION AFTER COMPLETION OF FULL TERM

12. The Committee strongly recommends following on the basis of the Overall rigorous evaluation of the programme as indicated at S.No. 14:

(i) Upgradation of the departmental status from to on no cost basis/minimum critical requirements as indicated in column '16'.

(ii) Continuation of the activities at the same level of_ under the SAP with no cost basis OR with most essential and critical requirements as detailed separately under column `17' :

(iii) Down-graded the level of assistance from _____ to _____.

(iv)Discontinue the status:

13. The financial inputs recommended by the Committee based on the Item No.16 (i) or (ii) or (v) is given as below (If necessary may be attached as Annexure) :

SIGNATURE (EXPERT MEMBERS & UGC OFFICAL) WITH DATE AND VENUE

Name	Address & Signature	Tel./Fax No.
-------------	--------------------------------	---------------------

1.

2.

3.

4.



UNIVERSITY GRANTS COMMISSION

**STATEMENT OF THE ACADEMIC-NON-ACADEMIC / RESEARCH
STAFF NO. & DATE OF UGC SANCTION LETTER**

ANNEXURE - X

Designation and scale of pay	No. of posts approved made	No. of appointments with qualifications	Name of the person appointed	Date of appointment	Initial salary on appointment	Present salary & other allowances	Actual expenditure during	Estimated expenditure like DA/ HRA/ PF.etc.
1	2	3	4	5	6	7	8	9

A. Academic Staff: _____
Total _____

B. Technical and
Administrative

Staff

C. Research staff _____
Total _____

Certificate: (1) It is certified that the appointments/awards have been made in accordance with the terms and conditions laid down by the Commission.

(2) It is certified that the expenditure shown is not included in the expenditure statement of any other scheme but has been utilized for the purpose the grant is provided for.

Signature of the Registrar

RELEASE OF GRANTS FOR STAFF

The first instalment of the grant will be released to the University on receipt of the following information which may be sent immediately after the person is appointed to the post:

- a) Name of the person appointed (As per the decision of the UGC regarding inbreeding of staff / students given in the guidelines).
- b) Academic qualifications and experience.
- c) Post held by the incumbent prior to this appointment.
- d) Date of joining the new post.
- e) Details of monthly pay including allowances in the scale of pay offered.
- f) Amount payable upto the end of the financial year.
- g) Number of increments, if any, to be given along with justification.
- h) Has action been taken to fill the resultant vacancy, in case the person appointed belongs to the same University? If not, the reason thereof.



UNIVERSITY GRANTS COMMISSION

ANNEXURE – XI

**PROFORMA FOR THE CLAIM FOR MAINTENANCE (EQUIPMENT)
GRANT UNDER SAP**

1. Name of the Department/University with Address.
2. Financial year of approval (Letter no. with date).
3. Date of implementation of the programme in the department.

Signature

Signature

Name of Equipment with Serial No. in the approved list	Approved cost (Equipment wise)	Actual cost	Date of receipt of the equipt.	Date of installation & commissioning	Period of warranty/ guarantee	Contract signing etc. for maintenance of equipt., after warranty period if any, with documents
1	2	3	4	5	6	7

**Head, Department/Coordinator
of _____ University**

**Registrar of the
University/Institution**

1. First instalment of maintenance grant of 5% of the total cost of the equipment purchased may be released after the warranty period is over.

2. The second instalment may be released to the extent the first instalment of maintenance grant is utilized: that is to say that at any given time the Department can have only maintenance grant of 5% of the cost of the equipment. Within a period of five year for major repairs, the amount could be released as a special case beyond 5% not exceeding total due for five years period under the head 'Maintenance and upgradation of the Equipment'.



**UNIVERSITY GRANTS COMMISSION
NEW DELHI**

ANNEXURE-XII

(Applicable for all schemes/programme of UGC)

**PROFORMA FOR SUBMITTING UTILIZATION CERTIFICATE IN RESPECT OF BUILDING
(Renovation, addition, alteration and air-conditioning of existing laboratory)
WHICH IS COMPLETED**

It is certified that _____ (specify the name of the building) which was approved by the University Grants Commission vide its Letter No.F. _____ dated _____ and revised(final) estimate was approved vide UGC Letter No.F. _____ dated _____ has been completed. The Advisory Committee has approved the building programme and the details of expenditure on the above work in its meeting held on _____ are as under:

Original estimated cost as approved by UGC with letters no. & date	Final/ Revised estimated cost as (if any) letter No. & date against approved cost	Share of UGC against the approved cost Univ./ management so	Total grant released by UGC so far is Rs.....	State / Govt./ Univ./ management share	Grant actually released by the State Govt./	Total expenditure incurred as on	Amount required to be released if any
(Rs in lakhs)		(Rs in lakhs)		(Rs in lakhs)		(Rs in lakhs)	

It is further certified that the above expenditure has been incurred as per details given below:-

1. Cost of site development including landscaping, approach road, plantation etc.
2. Cost of Civil Works.
3. Cost of Electrical wiring and fitting.
4. Cost of water supply, sewerage sanitary fitting.
5. Cost of furnishing and furniture

6. Any other(specify)

7. Supervision charge of construction agency.

GRAND TOTAL

Certificate/Revised to Advisory Committee:
Certified that the building has been completed as per plans & estimates approved by UGC.

1. This certificate is based on audited / unaudited statement of expenditure.

2. Certified that the building and fitting / furnishing have been taken on university/ college assets / stock ledger/register.

Signature of the competent authority:

Full Name: _____ Designation: _____ (Resolution

No. _____ dated

_____ of University or Executive body authorising the signatory to furnish Utilization Certificate.)

Remarks:- If the building (Renovation/addition/alteration) is constructed by an architect(either individual or a firm) the certificate of completion cost is to be countersigned by an Engineer not below the rank of an Executive Engineer of State/Central P.W.D.