

## **Executive Summary**

Higher Education is of vital significance to the country and to the individual. It is a powerful tool to develop a knowledge based and creative society in the 21<sup>st</sup> Century. Higher Education Institutions (HEIs) must ensure the maximum utilisation of human resources and infrastructure and instil the quality input into the higher education system to improve its efficacy, viability and relevance in the current era of globalization.

As per Census 2011, UP has a population of approximately 20 crores residing in an area of 243,286 km<sup>2</sup>. U.P. has 60 University and University level institutions and 5000 colleges imparting general higher, technical and professional education. Out of the 2.37 crore population in the age group of 18-23 years, the enrolment is only 29 lakh, resulting in a GER of only 16.3.

The major constraints are i) related to allocation of funds for higher education sector. At present 0.18% of UPGSDP is spent on higher education as against the desirable norm of 2%. 95% of the higher education budget is spent on salary and only 5 % on infrastructure viz. library building, sports facility, auditorium etc. and their maintenance, leaving an insignificant miniscule portion of the budget for academic improvements in the institutions. In order to augment funds, efforts to encourage private sector funding have resulted in the skewed geographical and streamwise spread of institutions. The GER of 41 educationally backward districts of UP is still much below the national average of 12.5 and 14 blocks are still uncovered by any degree college out of the 822 blocks. ii) The human resources planning is weak leading to large number of teacher vacancies in universities and colleges which in turn result in adhoc temporary staffing arrangements. High teacher-student ratio of 1: 40 versus the desirable norm of 1:15 is adversely affecting the quality of learning environment. iii) The quality of teaching learning capacities is limited due to pursuance of conventional pedagogical methods based on outdated curriculum which is not aligned with industry requirements and vocationalisation and is also without leveraging ICT web-enabled flexible learning to the fullest extent. The innovation and research outcomes are such that none of the institutions figure in the

Times Higher Education rankings in terms of quality. The number of NAAC accredited institutions and programmes is very limited. iv)The institutional design for embedding latest governance reforms is still nascent. Capacities have to be built throughout the sector so that the efficiency and effectiveness of the system can be improved through new forms of assessment and evaluation, in terms of transition and success rates from the present 76% to 90%. The affiliation capacities of Universities have to be improved and reformed in order to assure quality. Synchronisation and convergence with different departments for the purpose of holistic and comprehensive educational planning needs to be done. MIS systems for data collection and collaborative networks platforms between educational administrators and professionals, both from government and private sector needs to be put in place for quality of educational planning.

During the XI<sup>th</sup> Plan, for expanding access, 13 new government degree colleges were opened and grants were sanctioned under the unserved blocks scheme to establish 205 management run self-financing colleges, 10 undergraduate colleges were upgraded to the post-graduate level. For equity purposes, rationalization of B. Ed. Course fee was done. For the purpose of improving quality, on the recommendations of the Sehgal Committee Report, "Common Minimum Syllabus" at undergraduate level in State Universities has been implemented in the Commerce stream. To strengthen academics and provide a platform for exchange of ideas, innovations and research, a new scheme for funding Seminars and Conferences in Universities and colleges was started in the year 2009-10 and to recognize contributions of teachers in academics, research and enrichment of the academic life of the institutions, a scheme of State Award for Teachers in Higher Education was started from the year 2008-09. For streamlining institutional educational planning, preparation of a comprehensive data base of students and faculty of Universities and Colleges was initiated.

Challenges before UP are how to reconcile demands from various stakeholders- policymakers demanding achievement, students wanting relevant learning- "any time, any place, any stream, any speed", teachers seeking professionally rewarding careers, taxpayers and industry

demanding employable persons with skills, capabilities and attitudes so as to increase productivity and make the economy competitive in a sustainable manner and above all society demanding multiple intelligences lifelong learners who respect differences and peacefully coexist in a vibrant and participative democracy.

RUSA is a centrally sponsored , overarching holistic and comprehensive umbrella scheme for norm based funding for the State Universities and Colleges to achieve the goals of expansion, equity and excellence with the aim of imparting relevant and value based education for improving employability. It attempts to impact the individual through a positive inculcation of knowledge, attitudes and skills. Thus, it is aimed at bringing higher education reforms through improvements in governance of institutions and academics.

UP has given its consent to participate in RUSA scheme [65 % Central assistance and 35 % State Share] with a focus on imparting quality through an innovative learning, environment, by infrastructural development strengthening, extending opportunities for the capacity building and professional development of faculty and producing skilled human resources who are employable and socially sensitive, responsible and dedicated citizens of the country. It also attempts to bring greater professional pride in terms of improving competencies for teaching and learning improving the skillsets to impart a conducive learning environment which is comparable to best global benchmarks.

From among the different components of RUSA, UP is submitting proposals under **[A] Expansion of Access** to Higher Education for (i) Establishment of 2 New State Universities under the component Creation of Universities by conversion of colleges in a cluster- at a cost of Rs. 110 crore, (ii) completion of 26 Model Degree Colleges in low GER districts and (iii) proposal to establish 10 Model Degree Colleges in low GER District– Rs. 432 crore, revised proposal for Upgradation of 5 degree colleges to Model degree Colleges– Rs. 20 crore, (iv) Establishment of 8 Professional colleges- at the cost of Rs.621.67 crore, (v) Creation of new

polytechnics and girls hostel – at the cost of Rs. 184.30 crore **[B] Equity** (i) Adhoc grants to establish 14 new model degree colleges in totally unserved blocks of State- at a cost of Rs. 168 crore, (ii) Equity initiatives to provide Inclusive Education for socially disadvantaged and girls– Rs. 5 crore, **[C] Excellence in Higher Education** by (i) strengthening infrastructure in Universities and Colleges through grants to universities– Rs. 260 crore and Colleges 284 crores, (ii) Research, innovation and quality improvement- Rs. 120 crore, (iii) Vocationalisation of Higher Education- Rs. 15 crore, (iv) Faculty Recruitment Support– Rs. 74.82 crore, **[D] For Capacity Building** by (i) Faculty Improvement Support - Rs.,10 crore, (ii) Leadership Development of Educational Administrators- Rs. 10 crore, (iii) Capacity building and preparedness. Data collection & planning- Rs. 10 crore, (iv) and Management Information System – Rs. 2 crore, (v) The projections for 1 % MMER funds –Rs. 23.96 crore has also been included in the proposal. **[E] Institutional restructuring and reforms-** Rs. 10 crore, The institutional developmental plan for 16 State universities and 138 Government Degree/P.G. colleges and 04 Technical colleges have been reflected in the present State Plan.

Total outlay proposed under RUSA is Rs. **2315.06** crore out of which Rs. **1244.29** crore will be Central share and Rs. **1070.77** crore will be State share for the XII Plan period.

Through the assistance under RUSA, UP will be enabled to increase the Gross Enrolment Ratio [G.E.R.], access, equity in higher education, relevance and quality, and to build a higher education system that not only produces bright graduates for the global workforce but can also support sophisticated research in a number of scientific and scholarly fields by the end of XIII<sup>th</sup> Plan.

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## Chapter 1: Introduction

### **State Vision:**

**To facilitate commitment to lifelong learning amongst all desirous and deserving persons so as to enable them to lead meaningful lives with integrity in society.**

Higher Education is of vital significance to the country as it is a powerful enabling and empowering tool to develop a knowledge based and creative society in the 21<sup>st</sup> Century. To achieve this end, Higher Education Institutions (HEIs) play a crucial role in developing the requisite capacity and capability of the community for the overall development of the nation. Hence, HEIs must ensure the maximum utilisation of human resources and infrastructure and supplement the quality input in the system to improve its efficacy, viability and relevance in the current era of globalization. During past decades, great emphasis was given on increasing the Gross Enrolment Ratio (G.E.R.), through access, equity, relevance and quality interventions. However, the targeted mark is yet to be achieved due to the magnitude of the challenge as well as the piecemeal approaches towards the problems. Keeping in view the fact that UP has the youngest population and in order to take full advantage of its favourable age structure for preparing an educated and productive labourforce to meet the requirements of the job market, expectations of the stakeholders of higher education and the challenges which the higher education faces, there is a need to focus on fostering concerted efforts to create employable, positive aspirational generation of lifelong learners, in the State to enable the system of higher education to sustain in this competitive and quality conscious era of globalization.

### **Mission:**

**To develop the higher education institutions as Centres of Excellence for transacting teaching, learning in an innovative manner comparable to global standards and reinvigorating research.**

**Objectives and Goals :** In order to obtain the larger objectives of quality higher education, the following goals have been stated to be achieved as milestones during the XIIth and XIIIth Plan periods. The assessment of the current higher education scenario, the lessons learned from various State and Central government interventions in the State, best practices developed, policy objectives

of GOI and State, Twelfth Plan objectives and guidelines received from GOI under RUSA 2013, have been taken into consideration to evolve a feasible plan of action and realistic achievable goals.

(I) **Expansion in access :** Expansion in a planned manner so as to improve availability as per population and spatial norms of institutional density, with special focus on unserved areas, so as to saturate their requirements. Consolidation and convergence with all service providers- Government, Private, NGO's, Open University etc. Intend to establish correlation between new courses, provision of institutions so as to improve GER.

(II) **Equity:** GER in age groups of 18-23 years in higher education institutions to be raised from present level of 16.4 to 32.0 at the end of XIII plan with specific attention to gender, SC, minorities, OBCs, differently challenged.

(III) **Excellence:** Quality of teaching and research to be enhanced so as to be comparable to global standards through revision of curriculum, syllabus , teaching-learning material text books, pedagogical process ICT in education. Benchmarking of all HEIs institutions through mandatory NAAC Accreditation professional and programmes through National Board of Accreditation (NBA). National Knowledge Network (NKN) for Collaborative Networks, Academic culture integrity through professional associations and quality research. Improving employability of students through vocationalisation of higher education.

These Goals would be attained through :

**(A) Capacity Building of institutions and educational administrators.**

For Institutions [a] using open learning for trainings related to subjects of various departments for teachers in government/ aided colleges. Certified subjects' mandatory training in Academic Staff Colleges (ASCs). Training of educational administrators through short term career enrichment programmes to be conducted by three Institutes of Advanced Studies in Education (IASEs) established in Lucknow, Bareilly and Allahabad for professional development and research. Management Information Systems Training – RUSA MIS, Financial MIS, AISHE. Any other need based training for mandatory faculty improvement. [b] Improving institution's grants utilization capacity through better planning and execution. This would be done through Institutional

Plan preparation by involving stakeholders. [c] NGOs participation in niche areas on pilot basis such as vocational education, soft skills etc.

## **(B) Institutional Reforms:**

### **(1) University Administrative Reforms –**

(a) The jurisdictional norms for granting affiliations to be rationalised, ICT enabled governance reforms for online registration, examination, participative engaged modes of assessment and evaluation. System for online availability of marksheets/transcripts to be introduced.

(b) Academic Reforms - Board of Studies to be reinvigorated for creating a vibrant, relevant and worthwhile curriculum.

(c) Management Information System, All India Survey on Higher Education (AISHE) for purposes of better educational planning, accountability and monitoring.

(d) Financial Reforms - Improving financial viability of institutions through fees reforms and exploring other sources of funding.

(e) Regulatory Compliance : Meetings of various institutional bodies/faculty and upgradation of conditions for recruitment.

[2] Students involvement in curricular and participatory reforms, vibrant unions, professional career development exposure through Alumni Associations, Career counselling/Placements.

During the programme period (2013-22), the State will focus its efforts on the key area of quality assurance so as to raise the standards of higher education.

Year wise goals would be as below:

Sr. No.	Indicator	Present Status (2013)	Year I 2017	Year II 2018	Year III 2019	Year IV 2020	Year V 2022
1	GER	16.3 (AISHE)	20.0	22.0	25.0	28.0	32.0
2	Pass/transition rate	(11-12) 76	78.0	80.0	84.0	88.0	>90.0

3	No of A & B grade NAAC Accredited Institutions	317	500	700	900	1100	3000
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In order to achieve the above goals in a time bound manner, the objectives for each of the goals are listed below:

### Objectives

Goal	Objectives	From	To
Total Access to unserved blocks	<ul style="list-style-type: none"> <li>Coverage of all uncovered blocks</li> <li>Consolidate the expansion in private sector</li> <li>Increase GER.</li> <li>Reduction in GER inequities between various disadvantaged groups</li> </ul>	14 808 16.3 12.5	0 822 32.0 30.0
NAAC accreditation of all institutes and programmes	<ul style="list-style-type: none"> <li>Baseline of all institutes and programmes in the State based on NAAC trial run</li> <li>Movement in NAAC grading from lower grades (C and D) to higher grades (A and B)</li> <li>Universities to figure in the top 20 Universities of India</li> </ul>	4257 381 0	All 3000 5
Educational system efficiency	<ul style="list-style-type: none"> <li>Reduction of failure rate</li> <li>Increase in institutional researches</li> <li>Number of facilities provided</li> </ul>	76% Present Present	90% 30% increase Saturation

### Measurement Indicators

Measurement of the achievement of the above objectives in the form of indicators broken down year wise are given below:

Sr. No.	Indicator	Year 2017	Year 2018	Year 2019	Year 2020	Year 2022
1	GER					
	a)General	16.3	20.0	22.0	25.0	28.0
	b)Others	11.7	15.0	18.0	21.0	25.0

### General Process Indicators

Apart from this internal tracking & monitoring mechanism will ensure through periodic evaluations the level of stakeholder satisfaction, public-private partnership, equity issues with respect to gender, caste and minority and other interventions targeted for specific groups like handicapped persons. At the State level the baselines of these services will be assessed at the start of the project and tracked annually and also in a decentralized manner by the district level. Goals like GER and NAAC accreditations would be measured as part of the mid term and end term evaluation.

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## Chapter 2: Overview of State

Uttar Pradesh is the rainbow land where the multi-hued Indian culture has blossomed from times immemorial. Blessed with a varied geography and many cultural diversities, U.P. has been the area of activity of historical heroes like - Buddha, Mahavira, Ashoka, Harsh, Akbar and Mahatma Gandhi. U.P. has an important place in the culture of India. The State has a rich heritage of traditional crafts and cottage industries of various types that employ highly skilled craftsmen and artisans. Dotted with various holy shrines and pilgrimage places, full of joyous festivals, it plays an important role in the politics, education, culture, industry, agriculture and tourism of India.

### Area:-

U.P., with a total geographical area of 243,290 square kilometres (93,935 sq., occupies about 7.33 % of the India's land surface area, stands fifth after Rajasthan, Maharashtra and Madhya Pradesh and Andhra Pradesh.

### Location:-

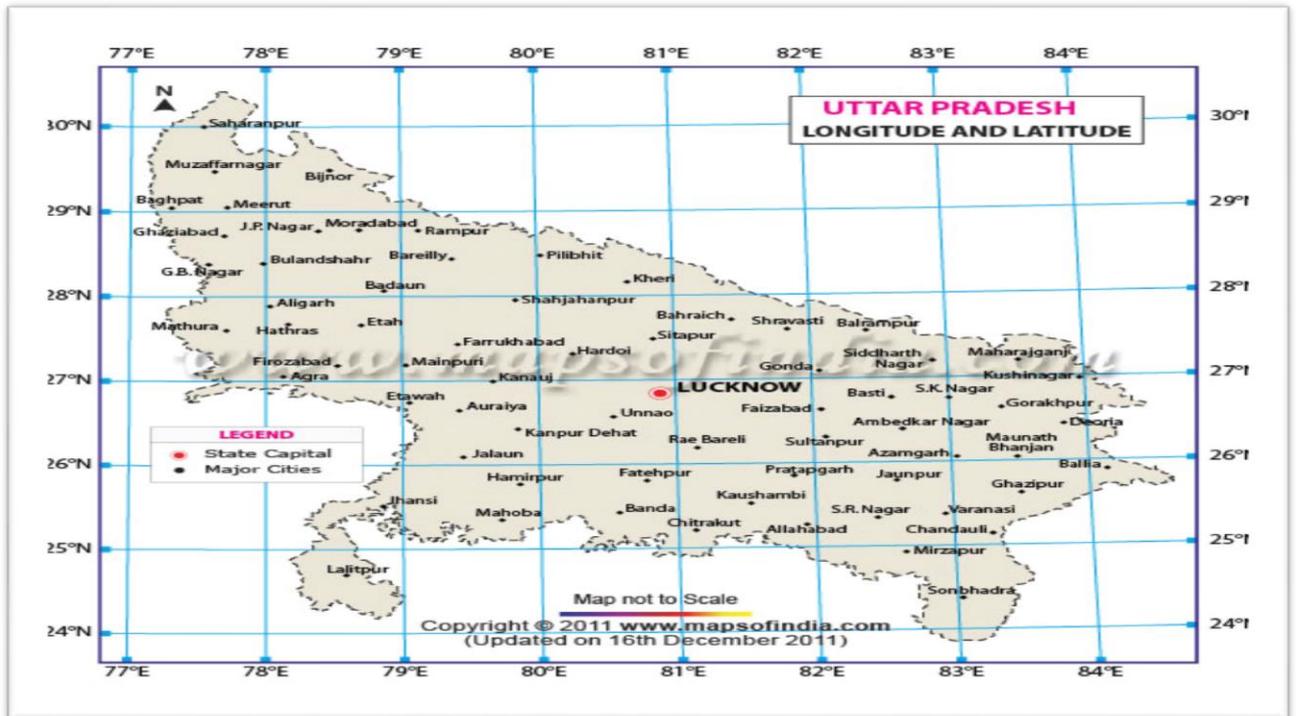
U.P. is located in the northern region of the country. The State is bordered by Rajasthan to the west, Haryana and Delhi to the north-west, Uttarakhand and the country of Nepal to the north, Bihar to the east, Jharkhand to the south-east and Madhya Pradesh to the south-west. It assumes strategic importance for Indian defence as it shares international borders with Nepal. The Himalayas lies in the north of the State and the Chota Nagpur Plateau and the Vindhyas lie in the south. In between them, the river Ganges, Yamuna, Ghaghara flow eastwards.

The State is situated between 23°52'N and 31°28'N latitudes and 77°3' and 84°39'E longitudes.

### Constituent regions

The State comprises several distinct regions: -

- The Doab region: the upper Doab and the lower doab with the Braj-bhumi in its centre, which runs along its western border from north to south;
- The Rohilkhand region in the north;
- Awadh (Oudh), the historic country of Kosalas in the centre;
- The south-western part of the Bhojpur country, commonly called Purvanchal ("Eastern Province"), in the east;
- The northern parts of Baghelkhand and Bundelkhand in the south.



Source: [www.mapsofindia.com](http://www.mapsofindia.com)

### Administrative units of State at a glance:

Unit	Number
Division	18
Districts	75
Tehsils	313
Blocks	822
Nyay Panchayats	8135
Gram Panchayats	51,914
Total Revenue Villages	<ul style="list-style-type: none"> <li>• Inhabited villages : 97,941 (populated villages)</li> <li>• Uninhabited villages: 9511</li> <li>• Total: 107452</li> </ul>
Urban Local Bodies	<ul style="list-style-type: none"> <li>• Nagar Nigams-13</li> <li>• Nagar Palikas- 194</li> <li>• Nagar Panchayats-423</li> <li><b>(Total 630)</b></li> </ul>
Cities and group of cities/Towns	689
Habitations	2,60,110

Source: <http://updes.up.nic.in> and <http://upgov.nic.in/upstateglance.aspx>

**The 18 Divisions, 75 Districts and Municipalities in Uttar Pradesh are as follows:**

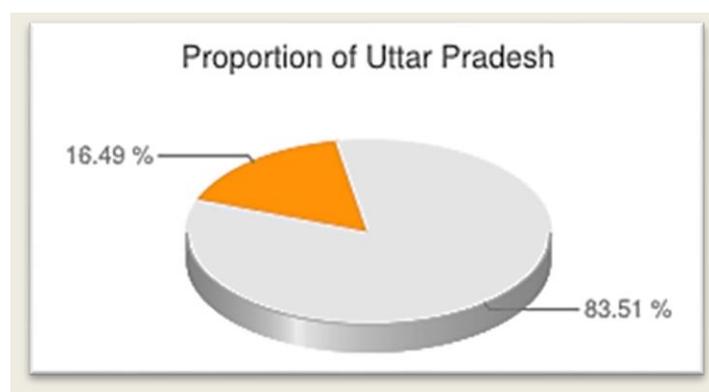
S. No.	District	No. of Municipalities	S. No.	District	No. of Municipalities
1	<b>Agra</b>	<b>05</b>	42	<b>Meerut</b>	<b>02</b>
2	Firozabad	<b>03</b>	43	Bulandshahr	<b>09</b>
3	Mainpuri	<b>01</b>	44	Ghaziabad	<b>03</b>
4	Mathura	<b>03</b>	45	Gautama Buddha Nagar (Noida)	<b>01</b>
5	<b>Aligarh</b>	<b>02</b>	46	Baghpat	<b>02</b>
6	Hathras	<b>02</b>	47	Hapur	<b>03</b>
7	Kasganj	<b>03</b>	48	<b>Lucknow</b>	-
8	Etah	<b>04</b>	49	Hardoi	<b>07</b>
9	<b>Azamgarh</b>	<b>02</b>	50	Lakhimpur Kheri	<b>04</b>
10	Baliya	<b>02</b>	51	Raebareli	<b>01</b>
11	Mau	<b>01</b>	52	Sitapur	<b>06</b>
12	<b>Allahabad</b>	-	53	Unnao	<b>03</b>
13	Kaushambi	-	54	<b>Varanasi</b>	<b>01</b>
14	Fatehpur	<b>02</b>	55	Ghazipur	<b>03</b>
15	Pratapgarh	<b>01</b>	56	Jaunpur	<b>03</b>
16	<b>Kanpur</b>	<b>02</b>	57	Chandauli	<b>01</b>
17	Kanpur Dehat	<b>01</b>	58	<b>Saharanpur</b>	<b>04</b>
18	Etawah	<b>03</b>	59	MuzaffarNagar	<b>02</b>
19	Farukkhabad	<b>02</b>	60	Shamli	<b>03</b>
20	Kannauj	<b>03</b>	61	<b>Faizabad</b>	<b>03</b>
21	Auraiya	<b>01</b>	62	Ambedkar Nagar	<b>03</b>
22	<b>Gorakhpur</b>	-	63	Barabanki	<b>01</b>
23	Kushi nagar	<b>01</b>	64	Sultanpur	<b>01</b>
24	Deoria	<b>02</b>	65	Amethi [Chhatrapati Shahuji Maharaj Nagar]	<b>01</b>
25	Maharajganj	<b>02</b>	66	<b>Bareilly</b>	<b>04</b>

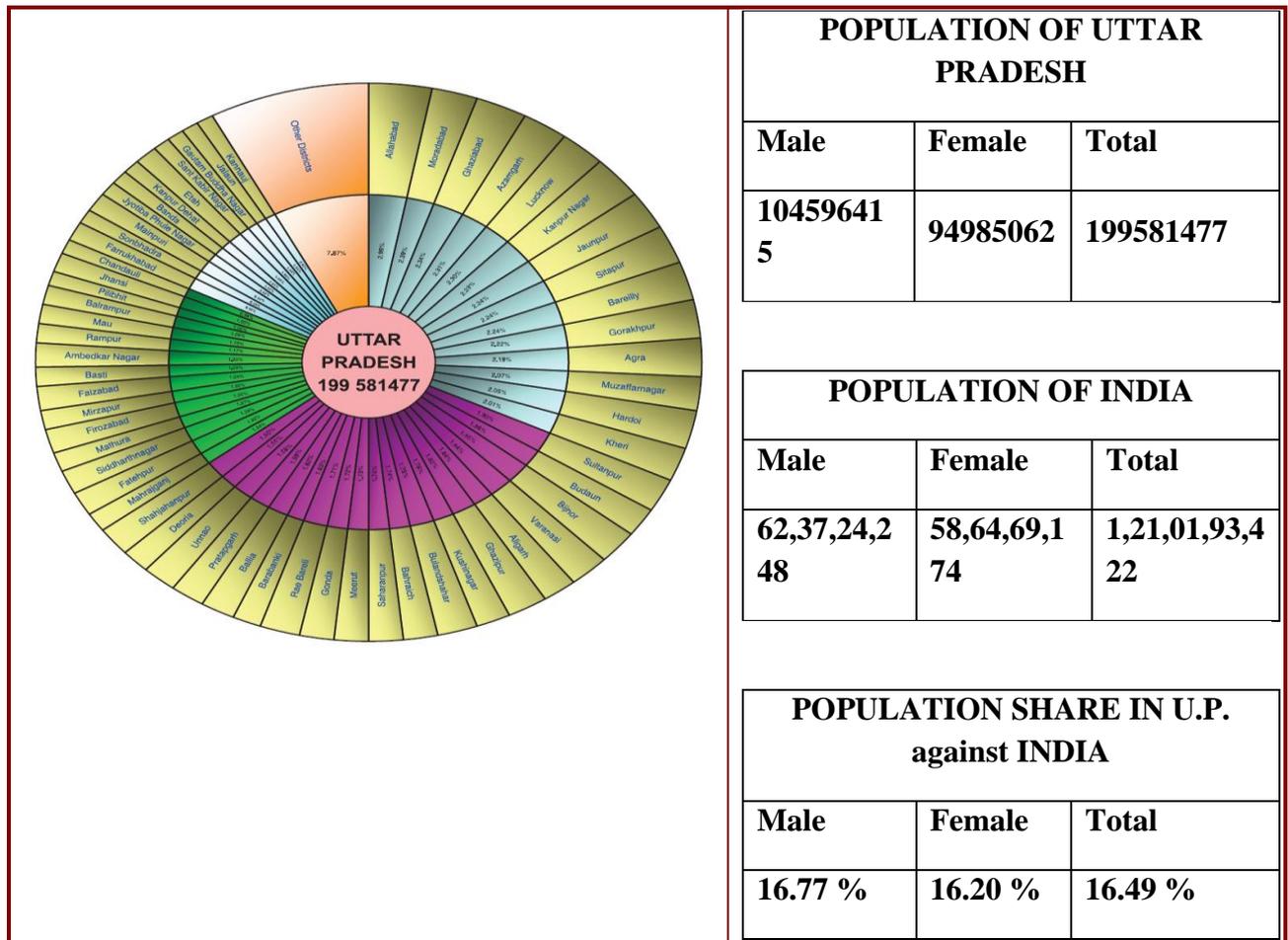
26	<b>Chitrakoot</b>	<b>01</b>	67	Badaun	<b>06</b>
27	Banda	<b>02</b>	68	Pilibhit	<b>03</b>
28	Hamirpur	<b>03</b>	69	Shahjahanpur	<b>04</b>
29	Mahoba	<b>02</b>	70	<b>Basti</b>	<b>01</b>
30	<b>Jhansi</b>	<b>05</b>	71	Sant kabir Nagar	<b>01</b>
31	Jalaun	<b>04</b>	72	Siddharth Nagar	<b>02</b>
32	Lalitpur	<b>01</b>	73	<b>Vindhyachal (Mirzapur)</b>	<b>03</b>
33	<b>Devipatan (Gonda)</b>	<b>03</b>	74	Bhadhoi (Sant Ravidash Nagar)	<b>02</b>
34	Bahraich	<b>02</b>	75	Sonbhadra	<b>01</b>
35	Balrampur	<b>02</b>			
36	Shrawasti	-			
37	<b>Moradabad</b>	<b>02</b>			
38	Bijnor	<b>12</b>			
39	Sambhal	<b>03</b>			
40	Rampur	<b>05</b>			
41	J.P. Nagar (Amroha)	<b>04</b>			

## Demographic Profile of the State

### Uttar Pradesh Population 2011

As per Census 2011, Uttar Pradesh has a population of 19.98 Crores (males and females are 104,480,510 and 95,331,831 respectively). Uttar Pradesh is the most populous State in the country accounting for 16.49 per cent of the country's population.





(Source: Comparative Population of District based on provisional data of Census 2011)

**Population: Scheduled Castes & Scheduled Tribes:-**

The rural-urban and male-female representation is shown below:-

	Total Population of U.P.			Total S.C. Population of U.P.			Percentage of S.C.s		
	Total	Male	Female	Total	Male	Female	Total %	Male %	Female %
Total	199812341	104480510	95331831	41357608	21676975	19680633	20.70	20.75	20.64
Rural	155317278	80992995	74324283	35685227	18663920	17021307	22.98	23.04	22.90
Urban	44495063	23487515	21007548	5672381	3013055	2659326	12.75	12.83	12.66

Source: A-5 State Primary Census Abstract-2011 of Census, 2011

The SC population of the State is predominantly rural with 86.28 percent of them residing in villages. Districts having more than 25% of Scheduled Caste populations are :- Kausambhi, Sitapur, Hardoi, Unnao, Raebareilly, Aurraya, Jhansi, Jalaun, Chitrakoot, Barabanki, Mirzapur, Lakhimpur Kheri, Kanpur Dehat, Azamgarh and Mahoba.

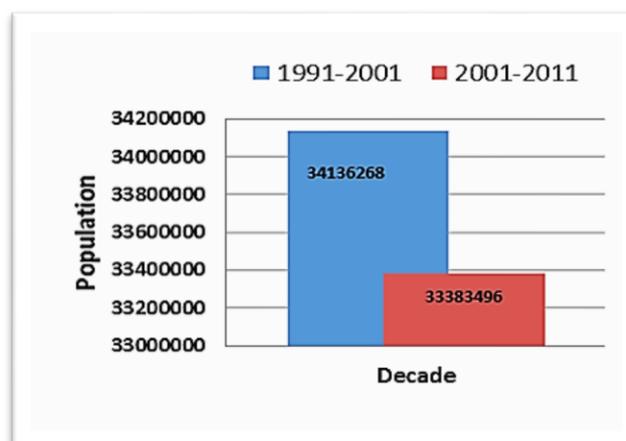
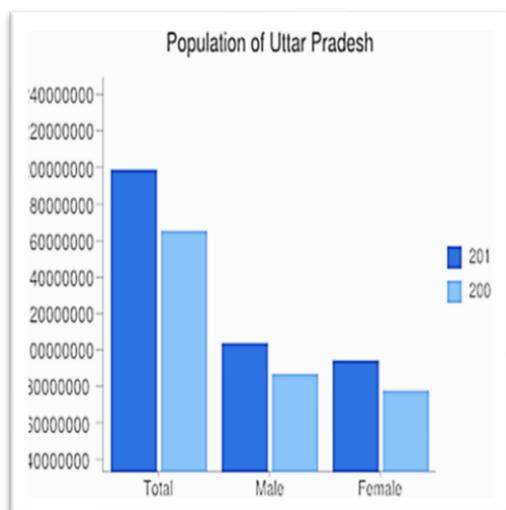
	Total Population of U.P.			Total S.T. Population of U.P.			Percentage of S.T.s		
	Total	Male	Female	Total	Male	Female	Total %	Male %	Female %
<b>Total</b>	199812341	104480510	95331831	<b>1134273</b>	581083	553190	<b>0.57</b>	0.56	0.58
<b>Rural</b>	155317278	80992995	74324283	1031076	526315	504761	0.66	0.65	0.68
<b>Urban</b>	44495063	23487515	21007548	103197	54768	48429	0.23	0.23	0.23

Source: A-5 State Primary Census Abstract-2011 of Census, 2011

. The tribal population of the State is predominantly rural with 90.90 percent (As per Census 2001 it was 88.8 per cent) of them residing in villages. District -wise distribution of STs Population shows highest concentration in percentage term in Sonbhadra (20.67 %), Lalitpur (5.86 %), Devaria (3.54 %), Balia (3.40 %), Kushinagar (2.25 %), Chandauli (2.14 %), Lakhimpur Kheri (1.33%), Balrampur (1.16 %) and Mau (1.04 %).

#### **Population Growth Rate:-**

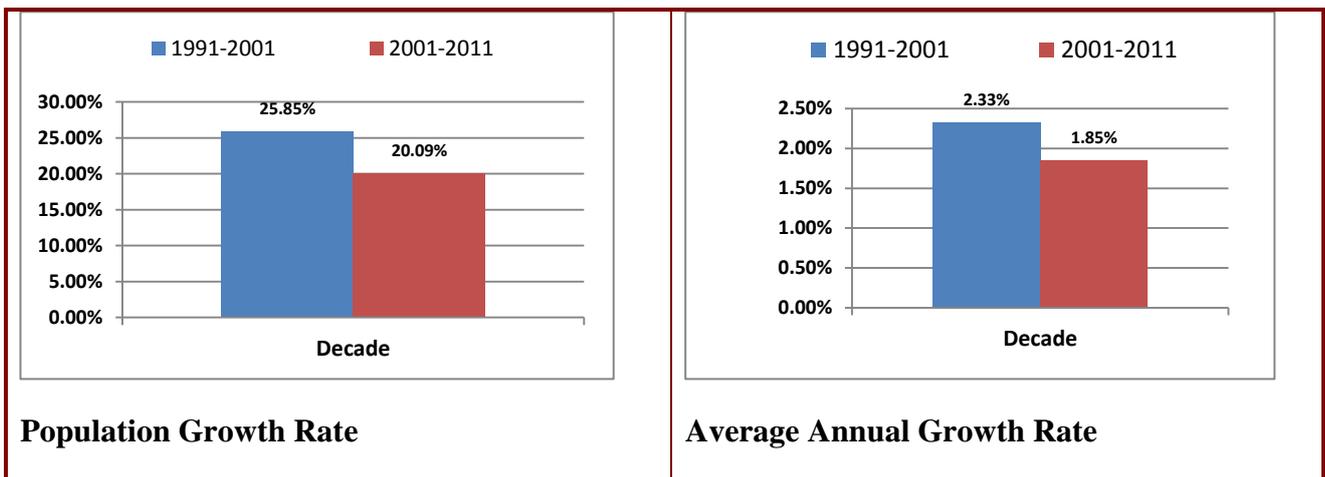
The total Population of Uttar Pradesh during Census 2001 was 166,197,921 persons, which increased to 199,581,477 persons during Census 2011. Thus there is a net accretion of 33,383,556 persons during 2001-11 decade.



Source Provisional Figures Census 2011

Parameter	2001		2011	
	U.P.	India	U.P	India
Annual Growth Rate of Population	2.33	1.97	1.85	1.64

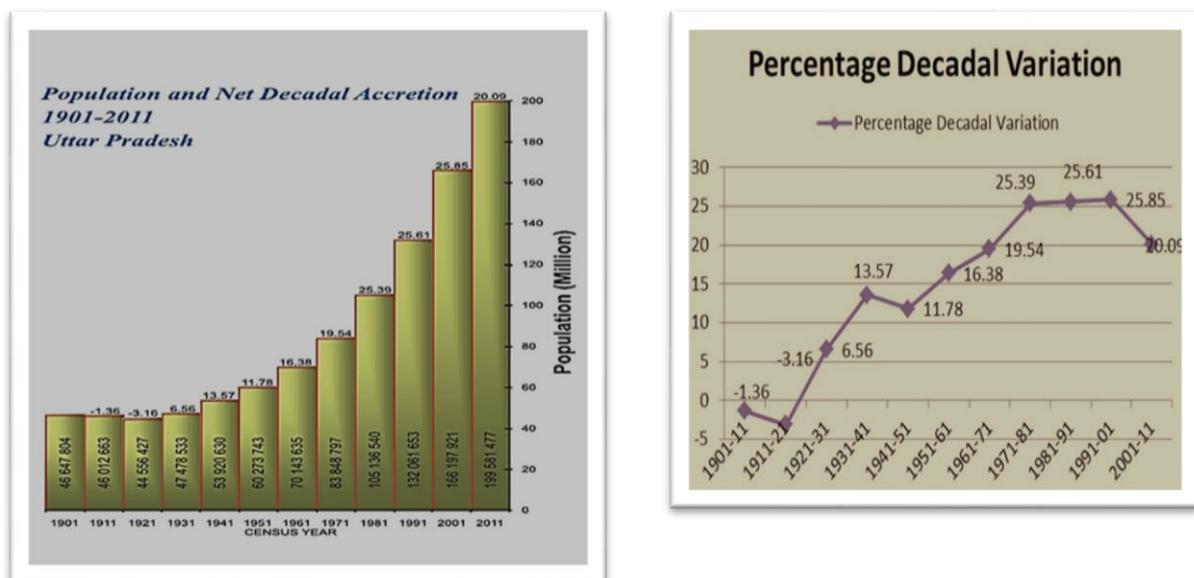
Source Provisional Figures Census 2011



Source: Provisional Population Totals Paper 1 of 2011, Uttar Pradesh series Table-2

### Trend in Decadal Growth Rate of Population

Since 1971-2001 there was a static growth rate of about 25 but the decadal growth of population during 2001-11 depicts a reversal trend, which is nearer to the growth of 1961-71 (19.54%) decade. Thus, the population growth trend indicates a definite signs of slowing down of population in the State.

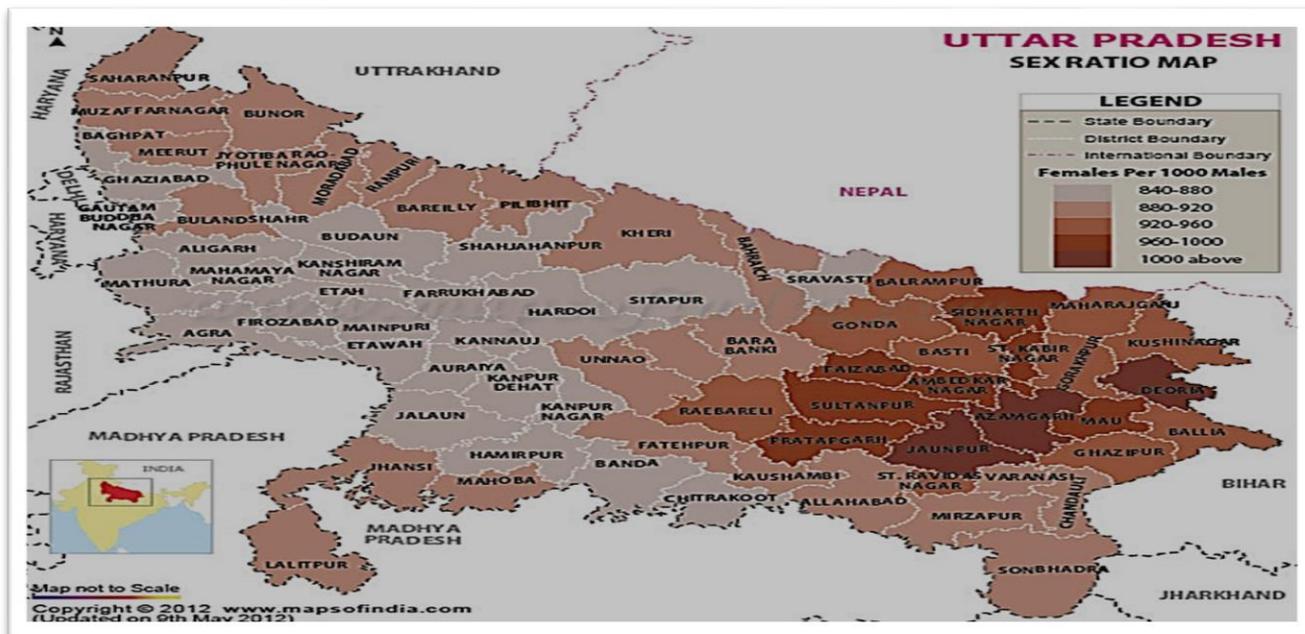


Source: Provisional Population Totals Paper 1 of 2011, Uttar Pradesh series Table-2

### Sex Ratio:-

In U.P., the sex ratio depicts an increasing trend. It was 898 females per 1000 males during Census 2001, which increased to 908 in Census 2011. Thus, there is a gain of 10 females per 1000 males from 2001 to 2011 Census; the corresponding figure of India is 7 points. The similar trend is visible in rural and urban sex ratio also. The rural sex ratio (904 females per 1000 males in Census

2001) went up to 914 in Census 2011 whereas urban sex ratio of 876 also registered 888 female in the same period. While comparing the sex ratio data of 2001 with 2011, it is noticed that 56 districts have recorded increase in number of females with various proportion.



Source: [www.mapsofindia.com](http://www.mapsofindia.com)>Maps>Uttar Pradesh.

#### Ranking of District by Sex-Ratio, 2001 and 2011

Five Districts with highest Sex-Ratio				Five Districts with lowest Sex-Ratio			
Rank in 2011	District	Sex-Ratio	Rank in 2001	Rank in 2011	District	Sex-Ratio	Rank in 2001
1	Jaunpur	1018	2	71	G. B. Nagar	852	71
2	Azamgarh	1017	1	70	Kanpur Nagar	852	57
3	Devaria	1013	4	69	Hardoi	856	67
4	Pratapgarh	994	3	68	Mathura	858	70
5	Sultanpur	978	6	67	Baghpat	858	65
6	Mau	978	5	66	Badaun	859	68
				65	Agra	859	66

Source: Provisional Population Totals Paper 1 of 2011, Uttar Pradesh series Statement-2



**Ranking of District by Population Density 2001 and 2011**

Five Districts with highest Population Density				Five Districts with lowest Population Density			
Rank in 2011	District	Density	Rank in 2001	Rank in 2011	District	Density	Rank in 2001
1	Ghaziabad	3954	1	71	Lalitpur	242	71
2	Varanasi	2399	2	70	Hamirpur	270	70
3	Lucknow	1815	3	69	Sonbhadra	275	68
4	Bhadohi	1531	4	68	Mahoba	279	69
5	Kanpur Nagar	1449	5	67	Chitrakoot	308	67

Source: Provisional Population Totals Paper 1 of 2011, Uttar Pradesh series Statement-3

**Rural Urban Distribution of Population****Literacy rates, gender, regional and social disparities in literacy rates**

Year wise trend of growth of Literacy Rate for Uttar Pradesh since 1951-2011 has been improving both for male and female. The table below depicts the year-wise Literacy Rate.

Literacy	Year						
	1951	1961	1971	1981	1991	2001	2011
Literacy Rate: Persons	12.02	20.87	23.99	32.65	40.71	56.27	69.72
Literacy Rate: Males	19.13	32.08	35.01	46.65	54.82	68.82	79.24
Literacy Rate: Females	4.04	8.36	11.23	16.74	24.37	42.22	59.26

**Literacy in last three decades**

(Source: Provisional Data of Census 2011, Census 2001 & Census 1991)

**Population: at a glance**

Population	Absolute			Percentage share of the State		
	Rural	Urban	Total	Rural	Urban	Total
Persons	155111022	44470455	199581477	77.72%	22.28%	100.00%
Males	81044655	23551760	104596415	77.48%	22.52%	100.00%
Females	74066367	20918695	94985062	77.98%	22.02%	100.00%
Population in the age group 0-6	Absolute			Percentage		
	Rural	Urban	Total	Rural	Urban	Total
Persons	24248066	5480169	29728235	15.63%	12.32%	14.90%
Males	12736068	2917107	15653175	15.71%	12.39%	14.97%
Females	11511998	2563062	14075060	15.54%	12.25%	14.82%
Decadal Population Growth 2001-2011	Absolute			Percentage		
	Rural	Urban	Total	Rural	Urban	Total
Persons	23452683	9930873	33383556	17.81	28.75	20.09
Males	11887185	5143861	17031046	17.19	27.94	19.45
Females	11565498	4787012	16352510	18.50	29.67	20.80
Literates	Absolute			Literacy Rate		
	Rural	Urban	Total	Rural	Urban	Total
Persons	88396557	30027248	118423805	67.55	77.01	69.72
Males	53609910	16869286	70479196	78.48	81.75	79.24
Females	34786647	13157962	47944609	55.61	71.68	59.26
Sex Ratio	2001			2011		
	Rural	Urban	Total	Rural	Urban	Total
(females per 1000 males)	904	876	898	914	888	908

(0-6 years) (females per 1000 males)	921	890	916	904	879	899
<b>Density</b>	<b>2001</b>			<b>2011</b>		
	<b>Total</b>			<b>Total</b>		
	690			828		

**Source: Census of India, 2011 (Provisional Population)**

### Specific areas and other focus groups, including minorities

Census, 2011 has not released data on the population, literacy and other social, economic indicators regarding the minorities. According to census of 2001 and <http://minoritywelfare.up.nic.in/english/census.htm>, the details are as below in the table:-

S. No.	Community name	% of community in comparison to total population.		% of representation of individual among minority population.	
		India	U.P	India	U.P
1.	Muslim	13.43% <sup>Z</sup>	18.49%	68.98%	95.61%
2.	Christian	2.34%	.13%	12.02%	.66%
3.	Sikhs	1.86%	.41%	9.56%	.94%
4.	Buddhist	.77%	.18%	3.97 %	.64 %
5.	Paarsi	negligible	negligible	.05%	negligible
6.	Jain	.41%	.12	2.10%	.12%
	<b>Total</b>	<b>18.81%</b>	<b>19.33%</b>		

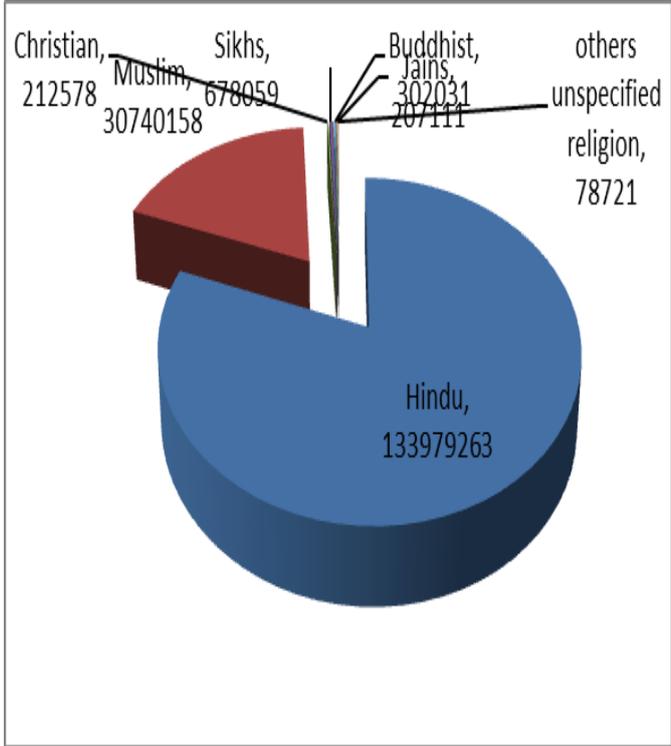
**Source: Census, 2001**

According to Census, 2001 Rampur, Moradabad, Bijnor, J.P.Nagar, Saharanpur, Muzaffarnagar, Balrampur, Baharaich, Bareilly, Meerut, Siddharthnagar, Pilibhit, Bagpat, Gaziabad, Lakhimpur Kheri, Barabanki, Lucknow, Badaun, Bulandshahar and Shajahanpur were the districts having 20% or more minority population in U.P. The Minority Welfare department,

Government of India has identified Bulandshahar, Badaun, Barabanki, Lakhimpur kheri, Shajahanpur, Moradabad, Rampur, Jyotiba Phule Nagar, Bareilly, Pilibhit, Bahraich, Sravasti, Balrampur, Siddharthnagar and Bijnor districts as “A” category districts in U.P. on the basis of socio-economic and basic amenities parameter below national average and Lucknow, Saharanpur, Meerut, Muzaffarnagar, Bagpat, and Gaziabad as “B” category districts on the socio-economic parameter below national average.

### 1.1 Socio-Economic Profile:-

Religion	Population	Share of population (in %)
Hindu	133979263	80.61%
Muslim	30740158	18.50%
Christian	212578	0.13%
Sikhs	678059	0.41%
Buddhist	302031	0.18%
Jains	207111	0.12%
others unspecified religion	78721	0.05%
<b>Total</b>	<b>166197921</b>	<b>100.00%</b>



Source: Census of India, 2001

### Economy

#### Income distribution:

As per the advance estimates the growth rate of GSDP is 6.2 percent in 2011-12 while it was 7.9 percent in 2010-11. The growth rate of country's GDP also declined from 8.4 percent to 6.9 percent during the same period. In 2011-12, there is deceleration in all the three sectors of the

economy in comparison to 2010-11. In 2010-11 the growth rate of primary sector was 4.1 percent; in 2011-12 it declined to 3.3 percent. The secondary sector grew with growth rate of 4.3 percent in 2011-12, while its growth in 2010-11 was 9.3 percent. The same pattern could be observed in the growth rate of tertiary sector, in 2010-11 it grew with growth rate of 9.0 percent but in 2011-12 it grew at a growth rate of 8.4 percent.

**Annual % growth rate of GSDP of UP based on new Series (2004-05)**

<b>Year</b>	<b>Primary</b>	<b>Secondary</b>	<b>Tertiary</b>	<b>Total (U.P.)</b>
2005-2006	2.9	10.2	7.1	6.5
2006-2007	2.4	14.1	8.7	8.1
2007-2008	3.2	9.2	8.8	7.3
2008-2009	4.2	0.8	11.7	7.0
2009-2010	0.6	3.8	10.1	6.1
2010-2011	4.1	9.3	9.0	7.9
2011-2012	3.3	4.3	8.4	6.2

**Source: From Year 2004-05 to 2009-10 Provisional, 2010-11 Quick Estimates. 2011-12 Advance Estimates**

The Per Capita Income (PCI) of India reached to the level of Rs.60,972 in 2011-12 from Rs. 53,331 in 2010-11, in UP PCI also increased to the level of 29417 in 2011-12 from Rs.26,355 in 2010-11. There is a wide gap in PCI of India and UP, the PCI of India is almost double of PCI of UP. The following graph describes the fact about increasing gap in per capita income of UP and India.

**GDP and GSDP**

Year	GDP Growth in All India and GSDP growth of UP ( At constant prices 2004-05)		GDP All India and GSDP of UP (in Cr ₹) ( At current prices)		Per Capita Income (In ₹) (at current Prices)	
	All India	U.P.	All India	U.P.	All India	U.P.
2005-06	9.5	6.5	3390503	293172	27131	14221
2011-12	6.9	6.2	8279975	609518	60972	30051

**Source: For India Estimates of 2010-2011 are Quick Estimates. 2011-12 Provisional/Advanced estimates.**

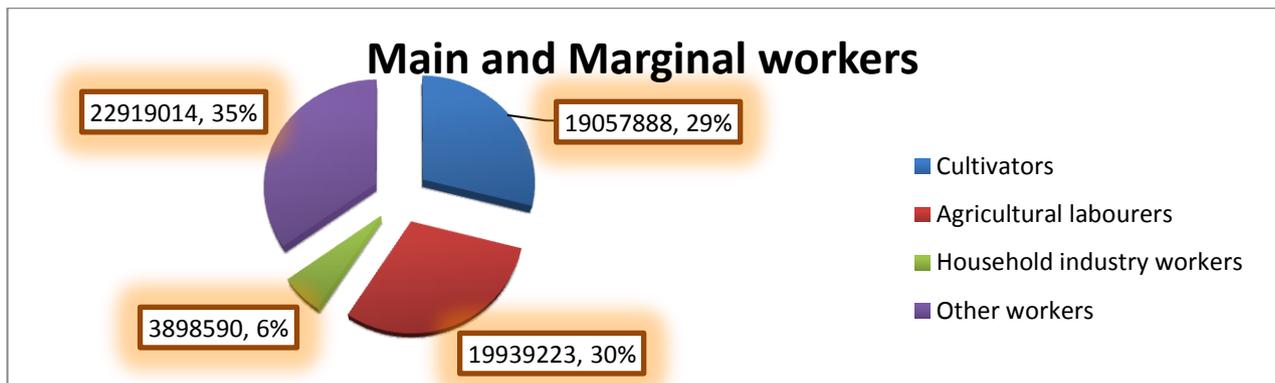
**Occupational structure**

As per the details of A-5 State Primary Census Abstract-2011, the total workers in the State are 65814715, out of which main workers are 44635492 (67.82 %) and marginal workers are 21179223 (32.18 %) in numbers. The occupation-wise distribution is shown in the table below:-

**Table- : Distribution of Main Workers & Marginal Workers (In Lakh)**

	Categories	Main workers	Marginal workers	Total Worker
1-	Cultivators	155.76 (34.90)	34.81 (16.44)	190.58 (28.96)
2-	Agricultural Labourer	97.50 (21.84)	101.89 (48.11)	199.39 (30.30)
3-	Workers in Household industries	24.09 (5.40)	14.89 (7.03)	38.99 (5.92)
4-	Other workers	169.00 (37.86)	60.19 (28.42)	229.19 (34.82)
	<b>TOTAL</b>	<b>446.35 (100)</b>	<b>211.79 (100)</b>	<b>658.15 (100)</b>

**Source: A-5 State Primary Census Abstract-2011**



**Public Health: Indicators**

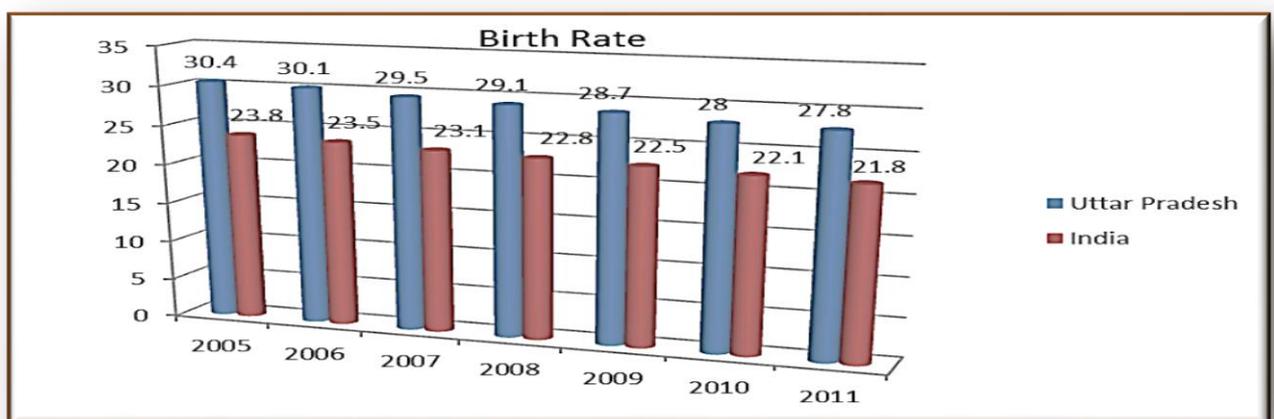
**Estimated Birth Rate, 2011**

	<b>Total</b>	<b>Rural</b>	<b>Urban</b>
India	21.8	23.3	17.6
Uttar Pradesh	27.8	28.8	23.7

Source: SRS Bulletin- October, 2012, (SRS, Registrar General, India)

Uttar Pradesh has the highest birth rate in rural areas (28.8) and the highest total birth rate in the country.

**Year-wise Birth Rate of India & U.P**



**Estimated Death Rate, 2011**

	Total	Rural	Urban
India	7.1	7.6	5.7
Uttar Pradesh	7.9	8.3	6.1

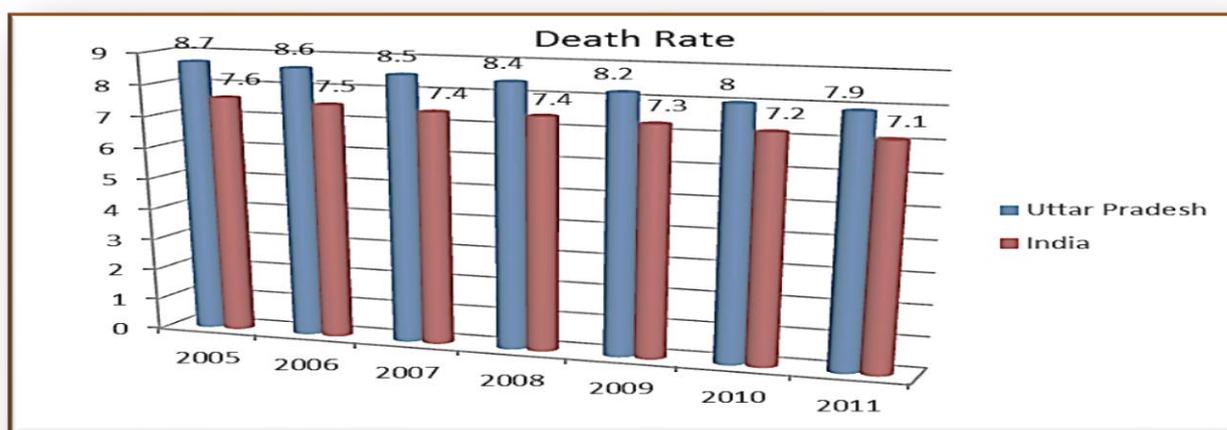
Source: SRS Bulletin- October, 2012, (SRS, Registrar General, India)

### Estimated Death Rate by Sex & Residence, 2011

	Total			Rural			Urban		
	Total	Male	Female	Total	Male	Female	Total	Male	Female
India	7.1	7.8	6.3	7.6	8.4	6.9	5.7	6.3	5.0
U.P.	7.9	8.6	7.0	8.3	9.1	7.4	6.1	7.5	5.4

Source: SRS Bulletin- October, 2012, (SRS, Registrar General, India)

### Year-wise Death Rate of India & U.P



### Estimated Natural Growth Rate, 2011

	Total	Rural	Urban
India	14.7	15.7	11.9
Uttar Pradesh	20	20.5	17.7

Source: SRS Bulletin- October, 2012, (SRS, Registrar General, India)

Uttar Pradesh has highest Natural Growth Rate in urban areas in the Country.

### Estimated Infant mortality, 2011

	Total	Rural	Urban
India	44	48	29
U.P	57	60	41

Source: SRS Bulletin- October, 2012, (SRS, Registrar General, India)

### Estimated Infant mortality Sex & Residence, 2011

	Total			Rural			Urban		
	Total	Male	Female	Total	Male	Female	Total	Male	Female
<b>India</b>	44	43	46	48	47	50	29	27	31
<b>U.P.</b>	57	55	59	60	58	62	41	39	43

Source: SRS Bulletin- October, 2012, (SRS, Registrar General, India)

### GFR (General fertility rate) by residence, India and U.P. 2010

Estimates of General Fertility Rate (GFR), a refined measure of fertility, defined as the number of live births per thousand women in the reproductive age-group 15-49 years, is a useful tool for measuring fertility. Table below gives a pictorial comparison of India and the State by level of GFR.

	Total	Rural	Urban
India	83.9	91.9	64.0
U. P.	114.6	121.1	89.9

Source: (SRS, Registrar General, India)

### Socio-economic indicators: at a glance

GSDP of UP (in Cr ₹) ( At current prices)-2011-12	609518
Per Capita Income (In ₹) (at current Prices)-2011-12	30051
Annual % growth rate of GSDP of UP based on new Series (2004-05)- 2011-12	<ul style="list-style-type: none"> <li>• Primary: 3.3</li> <li>• Secondary: 4.3</li> <li>• Tertiary: 8.4</li> <li><b>Total: 6.2</b></li> </ul>
The new poverty line (As per Tendulkar Committee estimates in 2009-10)	37.7 %
Workers (Source: A-5 State Primary Census Abstract-2011)	<b>Total: 685.15 Lakhs</b> <ul style="list-style-type: none"> <li>• Main Workers: 446.35 Lakhs (67.82 %)</li> <li>• Marginal Workers: 211.79 Lakhs (32.18 %)</li> </ul>
Number and Percentage of Electrified Villages to Total inhabited Villages (2011-12)	87086 (88.92 %)
<b>Public Health</b>	
Estimated Birth Rate, 2011 (Source: SRS Bulletin- October, 2012, (SRS, Registrar General, India)	27.8
Estimated Death Rate, 2011 (Source: SRS Bulletin- October, 2012, (SRS, Registrar General, India)	7.9
Estimated Infant mortality, 2011 (Source: SRS Bulletin- October, 2012, (SRS, Registrar General, India)	57
Estimated Natural Growth Rate, 2011 (Source: SRS Bulletin- October, 2012, (SRS, Registrar General, India)	20
GFR (General fertility rate) 2010 (SRS, Registrar General, India)	114.6

**Source: <http://updes.up.nic.in> and <http://upgov.nic.in/upstateglance.aspx>**

From the above details and analysis of the data regarding the state profile it is clear that UP has a young population and a favourable demographic profile. It has the potential to catapult to great

heights if it can leverage the human resources through quality higher education and skill development of its youth.

\*\*\*\*\*

### Chapter 3 : Higher Education Profile

UP has a vast higher education system both in terms of numbers, their age and antiquity, as well as the types of institutions defined by source of funding and the nature of management. The system draws its strength from the large young cohort as well as the aspirations for greater economic and social mobility associated with higher education. The higher education profile reflects that alongwith quantitative expansion the thrust should be on qualitative aspects.

The relevant cohort in the 18-23 years age group is stated below:

S. No.	Indicator	Numbers				
		Total	Male	Female	SC	ST
1	State Population [ Lakh]	1998.1	1044.8	953.3	515.5	15.9
2	Population in 18-23 age group [ Lakh]	237.2	128.3	108.8		
3	GER %	16.3	15.2	17.4	11.7	

In Uttar Pradesh, there are several categories of Higher Education Institutions depending on source of funding and management criteria:

[1] Centrally Funded

[2] State Funded

I. Centrally Funded Universities: Aligarh Muslim University, Banaras Hindu University, Allahabad University which have established by the Central government under various Acts. They cater to a large number of State and migrant students from other parts of the country and the world.

II.a: State Universities: Fully established and managed by State Government under UP State University Act ,1973. These have stand-alone campuses as well as constituent or affiliated colleges. They are affiliating and examination conducting bodies.

b: Government Degree Colleges: Established and managed by State Government. Cost of infrastructure and staff salary is borne by State Government.

c: Government Aided Colleges: Established by Private management as per affiliation norms and governed by State Government. Only staff salary is borne by the State Government. In some of these colleges there are self-financed courses as well.

(3) Deemed University

(4) Open University for distance learning through study centres.

(5) Self- Financed Institutions

a: Private Universities: Established and managed by Private management, established by a separate Act for each university.

b: Self- Financed Colleges: Established and managed by private management. Some of these are minority institutions as well.

The details of Higher Education Institutions (HEIs) in UP.

Educational Institutions, Students and Teachers		2013-14
No. of Universities		
(A) State University		13
(B) Open University		01
(C) Private University		21
(D) Deemed University		01
(E) New Universities (Under Creation)		02
<b>Total</b>		<b>38</b>
(A) Government Degree Colleges		138
(B) Aided Degree Colleges		331
(C) Self Financed Colleges		3754
<b>Total</b>		<b>4223</b>
No. of Degree Colleges		
(A) Co-Education		3560
(B) Girls		663
Self Financed Colleges		3754
No. of Students in Degree Colleges*		
(A) Boys		1579487**
(B) Girls		1215124**
**No. of Teachers in Degree Colleges		
(A) Male		11899*
(B) Female		3725*

\* Not Final Data and does not include enrollment in private Universities.

\*\* Teachers of Self Financed Colleges not included.

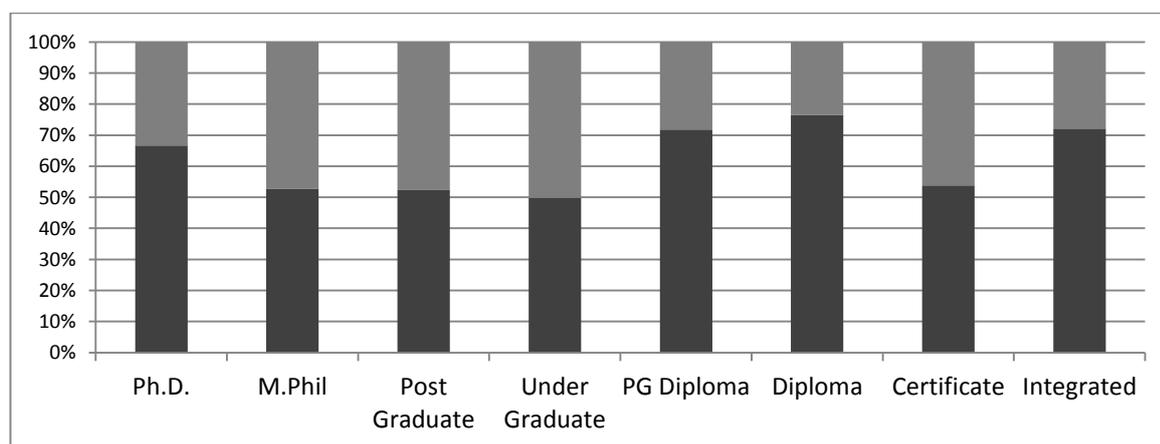
The coverage of HEIs as per population and area served parameters are given below:

S. No.	Indicator	Value [Higher Education]
1	State Universities per one lakh population ( in the age group of 18-23 years)	0.059
2	Private Universities per one lakh population ( in the age group of 18-23 years)	0.075
3	Aided Colleges per 10,000 population ( in the age group of 18-23 years)	0.139
4	Self -financed Un-aided Colleges per 10,000 population ( in the age group of 18-23 years)	1.42
5	Public funded per 10,000 population ( in the age group of 18-23 years)	0.058
6	Faculty-student ratio for the State as a whole	1:40
7	% Expenditure on Higher Education as a % of GSDP	0.18

### Student Enrolment

**By Level:** The State-wise Enrolment through regular mode at various levels is 37.71 Lakhs. Break-up across various levels and split by gender is given in the figure / table below. As can be inferred, the highest share of enrolment (89.5%) is at under-graduate level, followed by post-graduate (8.2%), with all other levels forming only 2.4%.

Figure : State-wise Enrolment through Regular Mode at various levels in Uttar Pradesh



<b>Female</b>	2105	576	153618	1763988	2846	6927	17573	1249
<b>Male</b>	4207	645	169768	1748821	7239	22552	20442	3236

**Gender:** In terms of gender, enrolment of 50.4% comprises males, while 49.6% of the enrolment is females, indicating healthy gender disparity of 1.14. The GER for females (17.4) is higher than GER for males (15.2), resulting in the gender parity index of just 1.13 (which is much higher compared to 0.86 at all-India level). **In terms of overall GER, UP ranks 11<sup>th</sup>** among all major states in India.

**By Social Group:** The GER of SCs (11.7) is lower than the State GER of 16.3. As can be seen from Table 5 below on Gender and Social representation, the share of student enrolment across all backward groups except other minorities in UP is lesser than their proportionate share in population.

### Faculty and Staff

The PTR of colleges in UP at 40 students per teacher is far below the all India average of 15:1.

**Total number of teaching staff and non-teaching staff in all colleges in UP is estimated to be 1.4 lakhs and 1.8 lakhs, respectively** (extrapolating data available for 22.5% colleges in State).

Given the large number of colleges in the State, the number of teachers per college (33.8) is lesser than the corresponding all-India levels and non-teaching staff (45.1) exceeds the corresponding all-India levels..

In terms of representation of various social groups and gender in the teaching and non-teaching staff, the table below provides the relative comparison with the State population. It reveals that females are significantly under-represented among the faculty and staff in higher education institutes as compared to males. In case of social groups also, all the groups shown in the table show a deficit, except other minority and STs (non-teaching), in terms of representation compared to their share of population in the state.

Table : Student, Faculty and Staff – Gender and Social representation in UP

Indicator	Male	Female	SC	ST	OBC	Muslim	Other
Minority							
Share of Population	52.3%	47.7%	25.8%	0.8%	52.5%	18.8%	0.58%
Share of Enrolment	50.4%	49.6%	14.5%	0.6%	31.7%	6.0%	0.6%
Share of Teaching staff	69.2%	30.8%	6.3%	0.3%	16.1%	6.8%	1.4%
Share of non-teaching staff	88.7%	11.3%	12.2%	2.4%	17.7%	3.8%	3.0%

Source: Share of population – Census 2011 & India Human Development Report 2011; Calculations of teaching and non-teaching staff using data from All India Survey of Higher Education, MHRD 2011;

District wise Profile is attached as Annexure-1.

**Institutional Data**

Institutional Data															
Name of State University	District	Govt Gen colleges	Govt Professional colleges	Private professional colleges	Private aided prof Colleges	Private Gen colleges	Private Aided Gen college	Private professional Aided colleges	Polytechnics	Number of Institutions in the State:					Total
										10	11	12	13	14	
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	
Dr.B.R. Ambedker University, Agra	Agra		Gen.				14	39		518		1			
Chhatrapati Shahuji Maharaj University, Kanpur	Kanpur	Gen.					23	61		641				30	
Deen Dayal Upadhyaya Gorakhpur University, Gorakhpur	Gorakhpur			Technology/ Medical/ Agricultural/ Language / Law/ Veterinary (Please specify)		1	14	31				331		7	
VBS Purvanchal University, Jaunpur	Jaunpur		Gen.				7	36		434				2	
Bundelkhand University	Jhansi		Gen.			1	14	13		133				7	
Lucknow University Lucknow	Lucknow		Gen.			126	4	22		100				8	
Chaudhary Charan Singh University, Meerut	Meerut		Gen.			1	15	50		541				150	
Mahatma Gandhi Kashi Vidyapeeth, Varanasi	Varanasi		Gen.				19	23		231		2		12	
Mahatma Jyotiba Phule Rohilkhand University, Bareilly	Bareilly		Gen.				18	29		202				40	
Khawaja Moinuddin Chishti Urdu, Arabi-Frsi University Lucknow.	Lucknow	Nil	Nil	Nil	Nil	Nil	Nil	Nil							
Madan Mohan Malaviya University of Technology Gorakhpur	Gorakhpur			Engg. & Technology											
U.P. Viklang Uddhar Dr. Shakuntala Misra University, Lucknow	Lucknow	Nil	Nil	Nil	Nil	Nil	Nil	Nil							
Dr. Ram Manohar Lohia National Law University, Lucknow	Lucknow			Law											

Dr. Ram Manohar Lohia Avadh University, Faizabad	Faizabad	405	01 (Eng.) 12(Law) 05(Medical) 05(Dental) 04(Nursing)	1	11	28			366				
Sampurnanand Sanskrit University, Varanasi	Varanasi	Gen.	Language	N/A	N/A	329			197		0		3

## 1. University-wise Students and Teachers

Names	University Dept. & Constituent Colleges				Affiliated Colleges			
	Number of Dept.	Number of Students (All Levels)	Number of Teachers in Position	Student Teacher Ratio	Number of Colleges	Number of Students (All Levels)	Number of Teachers in Position	Student Teacher Ratio
State Public Universities								
Dr. B.R.Ambedker University, Agra		2214	118	18:01	571	501179	8508	58:01
Chhatrapati Shahuji Maharaj University, Kanpur	16	5832	174	34:01:00	820	1075518	11634	92:01
Deen Dayal Upadhyaya Gorakhpur University, Gorakhpur	32	12742	198	64:01:00	378	417249	4744	87:01
VBS Purvanchal University, Jaunpur	477	482660	100	In Collection Process				
Bundelkhand University, Jhansi	36	9887	260	40:01:00	160	1,98,017	4743	40:01
Lucknow University, Lucknow	126	16882	369	46:01:00				
Chaudhary Charan Singh University, Meerut	In Collection Process							
Mahatma Gandhi Kashi Vidyapeeth, Varanasi		7179	177	1:40	272	340876		1:180 (approx)
Mahatma Jyotiba Phule Rohilkhand University, Bareilly		5449	123	1:44	257	518498	6718	1:77

National Higher Education Mission			State Plan			Uttar Pradesh		
Khwaja Moinuddin Chishti Urdu, Arabi-Farsi University Lucknow.		374	36	36:374 12:01:10	NA	NA	NA	NA
Madan Mohan Malaviya University of Technology Gorakhpur		1966	121	16.25 :1	NA	NA	NA	NA
U.P. Viklang Uddhar Dr. Shakuntala Misra University, Lucknow	11	633	41	633:41	NA	NA	NA	NA
Dr. R.M.L. Avadh University, Faizabad		2063	79	26:1	405	19.7628	6000	154:1 for UG courses
Sampurnanand Sanskrit University, Varanasi		1030	52	1:20	526	78106	1850	1:42
Dr. Ram Manohar Lohia National Law University, Lucknow		820	29	1:28	NA	NA	NA	NA

## **SWOT Analysis of the Higher Education scenario in UP:**

### **Strengths :**

#### **Expansion**

- ❖ UP has one of the largest Higher Education systems in the world – both Government and Private Universities – 61 Universities and 4440 Colleges making it 3<sup>rd</sup> position in the country after Maharashtra and Andhra Pradesh.
- ❖ Presence of several quality Government Degree Colleges, Grant in Aid Colleges and Self Financed Colleges.
- ❖ The population in the 18 to 23 years age group is 2.41 crores out of which the total enrollment number is 39.25 lakh. There is a vast diversity.
- ❖ Large size infrastructure in campuses with sufficient number of Classrooms, Labs and IT facilities.

#### **Equity**

- ❖ UP has moved from an “elite” system of higher education to a “mass” system when the GER cross the threshold of 15%.
- ❖ Large scale decentralization and delegation to Universities - in terms of granting affiliations, autonomy in curriculum design, examination system, staff recruitment as per UGC norms.
- ❖ Access to education to all deserving and desirous students irrespective of caste, creed and religion due to incentives and scholarships and fee freeship to economically weak students.

#### **Excellence**

- ❖ Good and old legacy of Higher Education in UP both of Central and State Government (AMU & BHU).
- ❖ Extra curricular activities - Artistic and Cultural activities (Concerts/ Seminars/ Exhibits).
- ❖ Functional IQAC in some Universities, Colleges and at State UPHEC
- ❖ Multifarious schemes for academic enrichment programmes.
- ❖ On-going research projects in most of the Colleges and Universities funded by various bodies (UGC, DST, MoEF, ICSSR etc.)
- ❖ Placement of students in respected professions
- ❖ Successful graduation completion rates 76% in Universities.
- ❖ Vast diversity in learning environment.

### **Institutional**

- ❖ Dedicated and qualified academic and educational administration staff selected by UPPSC (Government College Teachers, University Registrars and Assistant Registrars) and UPHESC (Grant in Aid College Teachers).
- ❖ Adherence to Academic Calendar and declaration of results.
- ❖ Faculty involvement with students for counselling and career guidance, Functional Dean Students Welfare Offices,
- ❖ Well established institutional statutory bodies.

### **Weaknesses :**

## Expansion

- ❖ UP budget support for higher education is 0.18% of GSDP as compared to the desirable rate of 2%.
- ❖ The per capita expenditure of UP is only Rs.522 as compared to Rs.1091 Maharashtra and Rs.5892 Andhra Pradesh.
- ❖ Low GER ratio of 16.3 below national average of 19.4 putting UP at 23rd rank and below China 25% and Brazil 26%.
- ❖ There exist multifarious types of HEIs – public, private, aided and self financed institutions with differing standards of courses offered, quality and over commercialization.
- ❖ There exist several schemes for which funds are limited, resulting in thin spread of resources and minimal impact.

## Equity

- ❖ 41 Districts are Educationally Backward Districts (EBDs) with below 12.4 average GER.
- ❖ Access / Availability of Higher Education degree colleges as per distance and population norms is less than 8 Colleges per lakh students.
- ❖ The institutional density is high in the western and eastern portion of the State whereas the central portion is unserved. The number of unserved blocks are 14 out of 822 blocks.

- ❖ GER of SCs is 11.3, OBCs is 14.4, STs is 8.9 in comparison to GER with respect to general category. Muslims have the lowest GER amongst lowest groups. This reflects inequity.
- ❖ Gender parity is also low
- ❖ GER in rural areas is lower than the urban areas.

### **Excellence**

- ❖ None of the universities rank in the Times Higher education rankings or the Q.Symonds (QS) System in terms of quality features. The major components being teaching (learning environment, student teacher ratio, quality of curriculum), research (volume, income from research, reputation) and citations (research influence). International outlook, industry income, employer reputation. Employability and employer satisfaction with the quality of graduates has been done in FICCI survey.
- ❖ Global R & D investment share is negligible.
- ❖ Global share of scientific publications and SCI (Scientific Citation Index) as per Thomson Reuters is also negligible.
- ❖ NAAC accreditation of institutions and National Board of Accreditation (NBA) of professional programmes is minimal.
- ❖ Miniscule number of Ph.Ds Research Publications and patents.
- ❖ Irregular meetings and review of Syllabi and Curriculum resulting in outdated and irrelevant curriculum.
- ❖ Lack of opportunities for self improvement and continuous upgradation due to limited access to resources and research facilities.

- ❖ Poor internet connectivity and unreliable power supply especially in rural areas and lack of availability of computer expert/operator in colleges in ICT era. Lack of quality libraries in Colleges.
- ❖ Fiscal uncertainty, Financial viability and resources are a constraint at the same time the fund absorption capabilities are also restricted as instead of receiving block grants, item wise allocation are given which is cumbersome for transfer and utilization of funds.
- ❖ Conventional pedagogical methods, lack of awareness about distinguishing quality.
- ❖ Mismatch between research expectation and support, motivating policies to promote research amongst faculty and scholars, strong research facilities in terms of equipments, access and related materials, patents and poor impact factor of research publication.
- ❖ Lack of ability to hire and retain quality faculty in some universities where the Self Finance Courses are being run.
- ❖ Lack of student preparedness at entrance level. Completion rate is 75%, as failure rate is approx. 25%.
- ❖ Lack of Personality development programmes in soft skills for students.

### **Institutional**

- ❖ The University rely heavily on affiliation fees and on self financing courses for revenue generation leading to poor supervision, dilution of quality and perpetuation of inequity.
- ❖ System for selection of VCs needs further streamlining.

- ❖ Universities have granted affiliation to more than 400 colleges leading to administrative burden on the university and reduced it to an examination conducting body rather than focusing on teaching, research and faculty development of associated colleges.
- ❖ Poor mentoring institutional support and monitoring is given to affiliated colleges.
- ❖ Large number of vacancies of Faculty position on temporary / honorarium basis
- ❖ Teacher : Student ratio is 1:40 and not up to the desired level of 1:20.
- ❖ Issues of accountability arise as the UGC guidelines for API (Academic Performance Indicators) not streamlined and result in delays in Career Advancement Scheme (CAS)/ Promotions.
- ❖ Lack of mechanisms for 360 degree feedback of stakeholders - Students, Faculty, Non Teaching Staff, Parents, Industry etc. for system improvement.
- ❖ Lack of Training Programmes for educational administrators – Principals, RHEOs and Finance Officers.
- ❖ Weak Infrastructure at Directorate Level.

## **Opportunities**

### **Expansion**

- ❖ The scope for infrastructure saturation through spatial GIS mapping can be done and by channelising private funding. Infrastructure growth potential exists.

### **Equity**

- ❖ UP will be the youngest State in 2026 with median age of 26.85 years and therefore has a large potential of young working population which if educated and trained well can be the labor force both within and outside the country. Growing demand for graduates. Emerging global and PPP opportunities.
- ❖ Elitism to massification.

### **Excellence**

- ❖ Incentivising improvement in higher education by focusing on outcomes rather than inputs alone in an innovative manner offers great opportunity.
- ❖ The standard of quality through mandatory accreditation has been instituted which will leads to improvement in quality comparable to National Level.
- ❖ Mentoring by reputed national institutions, laboratories could act like innovation incubators.
- ❖ Centres of excellence could be encouraged.
- ❖ The system of knowledge sharing through curriculum reference books can be put in the public domain so that the quality of learning improves. Internationalization of university curriculum and exchange programmes.
- ❖ The National Knowledge Network(NKN) and National Mission on Education through ICT (NMEICT)can ensure interactive classes between different colleges in a university system.
- ❖ The INFLIBNET and INFONET could be the good resource for references.
- ❖ The millennial generation has the advantage of ICT revolution which can leapfrog the State from present level to higher level in the shortest possible time.

- ❖ The large number of PG Colleges can be converted into research centres to give a thrust to research activities.
- ❖ Scope for academic program expansion in diverse fields.
- ❖ Increased demand for mid-career redirection and life-long learning
- ❖ Paradigm shifting from teachers / students focus to engaged learning.

### **Institutional**

- ❖ Involvement and consensus of all stakeholders namely student, alumni, parent, industry, society to co-create curriculum which is relevant and meaningful can be instituted.
- ❖ Opportunity for restructuring and reforms in the higher education sector are immense.
- ❖ Industry partnerships with researchers with industry posing problems to academia so as to arrive at solutions can form the basis of consultancies and improving the financial viability of universities.
- ❖ The number of colleges to affiliated to any university could be restricted to 250 with campuses at various geographically spread locations.
- ❖ Leadership development for educational administrators.
- ❖ Development of English languages programmes.
- ❖ Convergence of Skills Development Mission can improve employability through establishment of Training & Placement Cells, Match supply of curricular design with demand for societal needs.

- ❖ Collaborations partnerships networks can be expanded among teaching faculty, student, industry, external community etc.

## **Threats**

### **Expansion**

- ❖ Negative perception regarding Open Universities and Distance Mode Education.

### **Equity**

- ❖ Disadvantaged group Women and Minorities deprived of benefits of enrollment in Higher Education.

### **Excellence**

- ❖ Professionalism, work ethics and authentic leadership missing.
- ❖ Ensuring 75% attendance by the students and quality. Completion rates need to be increased from 76% to 90%.
- ❖ Increased competition with global institutions is resulting in residual students to study in our University System.
- ❖ Deterioration of overall quality education level in institutions due to creation of Education Bubble where in education is perceived as an investment.
- ❖ Development of private universities and institutes in the area without vision.
- ❖ Malpractices during examinations and plagiarism

### **Institutional**

- ❖ Hiatus between society's expectations and delivery of the education sector.
- ❖ Direct political interference in the education system – granting affiliation and in examination centers.
- ❖ State budget crisis.
- ❖ Lack of use of automation in college and university system.

- ❖ Lack of communication facilities and use of ICT for better administrative performance.
- ❖ Lack of training programmes for the faculty and other staff members towards technological orientation.
- ❖ Societal and student perception of education solely as a means to a job.

#### Academic Information:

Accreditation of Universities and colleges is an important indicator of the quality of higher education.

**NAAC Accreditation** as on October, 2014 is stated below:

HEIs	No.	Grade -A	Grade -B	Grade -C	Total	Remarks
State University	11	-	03	-	03	<ul style="list-style-type: none"> <li>• Jhansi</li> <li>• Varanasi</li> <li>• Lucknow</li> </ul>
Deemed University	01	01	-	-	01	DayalbaghUniv., Agra
Private Universities	22					
Open University	01					
Govt. Colleges	138		22	07	29	
Aided Colleges	331	17	82	06	105	
Self Financed Colleges	3754	22	196	25	243	
<b>Total</b>	<b>4257</b>	<b>40</b>	<b>303</b>	<b>38</b>	<b>381</b>	

- ❖ Target for 2014-15 are 432, LOIs presented are 258, IEQA obtained from NAAC are 115, SSR are 95, Peer Teams Inspection are 23 and NAAC assessed Institutions are 74 as on October, 2014.

The list of NAAC Accredited Colleges and proposed colleges for NAAC Accreditation is attached as Annexure – 2 and Annexure 3 respectively.

College with Potential for Excellence Status - as in 2013-14 (Baseline Data)				
Name of College	University	District	Funding (Private/ Government/ Government Aided)	Cycle of Extension
R.B.S. College, Agra	Dr. B. R. Ambedkar Univ., Agra	Agra	Government Aided	I/2004-05
St. John's College, Agra	Dr. B. R. Ambedkar Univ., Agra	Agra	Government Aided	I/2004-05
Agra College, Agra	Dr. B. R. Ambedkar Univ., Agra	Agra	Government Aided	III/2009-10
D. D. Mahila Mahavidyalaya Firozabad	Dr. B. R. Ambedkar Univ., Agra	Firozabad	Government Aided	IV/2011-12
Dharma Samaj PG College, Aligarh	Dr. B. R. Ambedkar Univ., Agra	Aligarh	Government Aided	IV/2011-12
Kunwar R. C. Mahila Degree College, Mainpuri	Dr. B. R. Ambedkar Univ., Agra	Mainpuri	Government Aided	IV/2011-12
Ewing Christian Autonomous College, Gaughat, Allahabad	Allahabad University, Allahabad	Allahabad	Government Aided	II/2006-07
Jagat Taran Girls' Degree College, Allahabad	Allahabad University, Allahabad	Allahabad	Government Aided	III/2009-10
Sadanlal Sanwaldas Khanna Girls's Degree College, Allahabad	Allahabad University, Allahabad	Allahabad	Government Aided	III/2009-10
Ishwar Saran Degree College, Allahabad	Allahabad University, Allahabad	Allahabad	Government Aided	IV/2011-12

Vidyavati Mukund Lal Girls College, Ghaziabad	Choudhary Charan Singh Univ. Meerut	Ghaziabad	Government Aided	II/2006-07
Raghunath Girls (Post Graduate) Meerut	Choudhary Charan Singh Univ. Meerut	Meerut	Government Aided	II/2006-07
Meerut College, Meerut,	Choudhary Charan Singh Univ. Meerut	Meerut	Government Aided	II/2006-07
Ginni Devi Modi Girls PG College, Modinagar	Choudhary Charan Singh Univ. Meerut	Ghaziabad	Government Aided	III/2009-10
Deva Nagri College, Meerut	Choudhary Charan Singh Univ. Meerut	Meerut	Government Aided	III/2009-10
Ismail National Mahila PG College, Meerut	Choudhary Charan Singh Univ. Meerut	Meerut	Government Aided	III/2009-10
D.A.V. College, Muzaffarnagar	Choudhary Charan Singh Univ. Meerut	Muzaffarnagar	Government Aided	IV/2011-12
Kulbhasker Ashram Degree Allahabad	CSJM Univ, Kanpur	Allahabad	Government Aided	II/2006-07
St. Andrew's College, Gorakhpur	DDU Univ., Gorakhpur	Gorakhpur	Government Aided	III/2009-10
Hiralal Ramniwas Post-Graduate, College, Khililabad, Sant Kabir Naga	DDU Univ., Gorakhpur	Sant Kabir Naga	Government Aided	IV/2011-12
Udai Pratap College, Varanasi, Dist. Varanasi	Mahatma Gandhi Kashi Vidyapeeth, Varanasi	Varanasi	Government Aided	IV/2011-12
Shri Agrasen Girls Degree College, Varanasi	Mahatma Gandhi Kashi Vidyapeeth, Varanasi	Varanasi	Government Aided	IV/2011-12
Sri Baldev P.G. Degree College, Baragaon, Varanasi	Mahatma Gandhi Kashi Vidyapeeth, Varanasi	Varanasi	Government Aided	IV/2011-12
Total/Average	23			

The list of proposed colleges for Potential for Excellence is attached as Annexure - 4.

## **Ongoing Schemes of the State Higher Education Department:**

### **(A) Assistance to Universities**

#### **1. Up-gradation of basic amenities in Universities :**

Corresponding to the increasing entrants in the Universities and opening of new courses, State Universities urgently need to expand, upgrade, modernise and renovate their infrastructure. The Universities need to augment their existing infrastructure which is highly inadequate vis-à-vis their intake capacity and modernization of the old and worn out infrastructure. The civil amenities in the Universities and infrastructure requirements such as additional rooms, drinking water supply, hygiene, sanitation, internal and outer illumination, common halls, minor repairs, roads, laboratories and renovations, power backup are essential and it is to extend facilities such as cyclestands scholarship to students.

Infrastructure requirements include the following:

- a) Construction of classrooms / laboratory/ Hostels.
- b) Development of sewage system and water supply system, Electrification, Arboriculture , Water Recharging and outer illumination etc.
- C) To strengthen laboratories of emerging subjects (i.e. Information technology, computer application, Nano-technology, Bio- technology, Biochemistry, Microbiology, Instrumentation centre and environmental Science etc.).

For development of infrastructure and Extension of Civic Amenities an outlay of Rs. 400.00 lakh for annual plan 2014-2015 has been sanctioned.

#### **2. Assistance to Universities in developing Centres of Excellence:**

In this era of globalization, quality and relevant education alone can raise acceptability and ensure viability of an institution in this quality conscious job market.

In addition to degree, acquired skill sets will guarantee job. There is need for capacity

building in students through job specific education to students in the universities. To this end, there is a need to identify departments in the universities with innate potential for excellence and extend grants for their infrastructure development. To this end, availability of optimum infrastructure is necessary for imparting quality and value based education in order to make students competitive at national level. Thus, there is need to identify the departments in the Universities with innate potential for excellence and allocate grants for the development of their infrastructure.

For establishing centers of excellence in University, an outlay of Rs.300.00 lakhs for Annual plan 2014-2015 has been made.

### **3. Grants for Inter-University Youth Festival :**

Students of the Universities and colleges need exposure to cultural heritage of the country and atmosphere and opportunities where they may display their innate cultural talents and imbibe cultural traits of other regions of the country as well. To achieve this end, Universities need to organize Inter-University Youth Festival every year like Youth Exchange Programmes organized by the NCC and NSS.

For organizing Inter University Youth Festivals by the State Universities, an outlay of Rs. 20.00 Lakh for the year 2014-2015has been made.

### **4. Grants for Inter-University Sports Competition :**

Sports not only keeps the body physically fit but develops a positive attitude towards life and a sportsman spirit , ready to face defeat with dignity and appreciate the best in the competitor. Universities have been serving as sports talent pool and have showcased their prowess in sports competitions at the national and international level.

For organizing Inter University Sports Competition by the State Universities, an outlay of Rs. 20.00 Lakh for the year 2014-2015has been made.

## **5. Establishment of Monitoring Cell in UP State Council of Higher Education and Internal Quality Assurance Cell :**

Institutions of higher education are under mandatory obligation to undergo NAAC Assessment to maintain standards in higher education and overcome their weaknesses. Under this scheme, Internal Quality Assurance Cells will be established in the Colleges, including those preparing for NAAC Assessment and necessary funds will be provided to such colleges to upgrade the academics by overcoming infrastructural and academic deficiencies and initiate healthy practices in the institution to achieve better grading during NAAC rating. A monitoring cell, established in the UP State Council of Higher Education, Lucknow will monitor and coordinate the functioning of these Cells and remove difficulties, that an institution encounters in the process of NAAC Assessment.

For establishment of Monitoring Cell in UP State Council of Higher Education and Internal Quality Assurance Cell an outlay of Rs 75.00 lakh for the year 2014-15 has been made.

## **6. Establishment of “ Urdu, Arabi-Farsi University”:**

In order to promote the growth and promotion of old classical languages like Arabic and Persian, which are storehouses invaluable wisdom, an Arabic and Persian University has been established at Lucknow in XIth Plan period. For Establishment of “ UrduArabi-Farsi University” in Capital side for construction of buildings and recurring costs of posts, an outlay of Rs. 2000.00 Lakh for the year 2014-2015 has been made.

## **7. Establishment of Employment Bureau /Guidance Cell /Placement Cell :**

In addition to the degree it is the skillset that the student must learn to raise his competence, that students can qualify for the jobs, they intend to seek. It requires liaison of the institution with employment sector is necessary to facilitate students in obtaining jobs. There is a greater need to guide students for choice of career and facilitate their placement in Govt / Private sectors or motivate them for entrepreneurial self-ventures. For this, the existing Employment Bureau needs to be strengthened to guide students for career options and placement after the completion of the course. This Cell will function under the supervision of the Dean, Student Welfare/ Senior Professor of the University. Grants are also required to provide infrastructure to Universities for Database creation [Computer hardware]. For Strengthening of Employment Bureau and establishment of Career Guidance -cum- Placement Cell an outlay of Rs50.00 Lakh for the year 2014-2015 has been made.

## **(B) Government Colleges & Institutes :**

### **1. Opening of New Government Degree Colleges :**

Government Degree Colleges are opened, on a priority basis, in the educationally unserved and backward areas of the State. Unlike self-financed / un-aided colleges, where the pecuniary motive is paramount, the driving force for setting up a Government Degree College. is to serve the basic philosophy of a Welfare State, in ensuring access and equity for the marginalized section of the society and also serve as a role model for other colleges of the State. It is for this reason that higher education in the State is highly subsidized. These Government Degree College are also the potential training ground for producing future academic administrators of the State who after their elevation in different capacities, contribute to the decision-making in the Secretariat / Directorate of the State. Therefore, utmost care is taken to set up a Government Degree College, which not only serves the

educational need of the area, acts as a role model for other institutions but also develops a future vision in the faculties of the college for higher education. Out of 58 un-served blocks, 23 blocks have been covered under model degree colleges schemes with centre assistance. In remaining 35 unserved blocks, Government Degree Colleges [co-education] will be established during XII plan [ 12 colleges in 2013-14, 12 Colleges in 2014 -15, 11 Colleges in 2015-16 , so that the colleges may be completed by 2016-17].

For Opening 12 new Government Degree College in the State, a total of Rs. 9600.00 Lakh is required. To start the construction of buildings an outlay of Rs. 500.00 Lakh for the year 2014-2015 has been made.

## **2: To complete 26 Model Government Degree Colleges in low GER Districts proposed during 2012-13:**

To facilitate access of SCs/STs/weaker sections and minorities and ensure affordable and quality education in the country, MHRD, New Delhi, during XI Plan, launched a scheme for setting up 374 Model Degree Colleges in low GER Districts of the Country. The Centre identified 41 Districts of the State [Annexure- 1] for opening of such colleges. Presently, Under this scheme, the Capital cost involved in opening of a college was estimated as Rs12.00 Crore against which the Central assistance was limited to 65% of the capital cost subject to the limit of Rs7.8 crores and the balance requirement of the capital costs 35 % would have to be met by the State and the college must have been established after 31.12.2008 only. The land for the college and recurring expenses has to be borne by the State. 26 proposals have been sanctioned under National Higher Education Mission (RUSA) by MHRD, New Delhi and Rs. 101.40 Crore has been released by MHRD.

To complete these colleges in 2014-15, the provision for State share of Rs. 15000 Lakh is being proposed for the year 2014-15. By opening of model degree colleges, there will

be increased access of minority population to higher education, social inequity will be reduced, GER enhanced and gender inequity in higher education will be minimized.

### **3. Strengthening of existing Government Degree Colleges and inclusion of new subjects and faculties :**

There exist 138 Government Degree Colleges out of which 42 colleges impart higher education upto Post Graduate level. The approach paper “**University and Society**” circulated by the UGC in 2011, requires revision of syllabus after every three years, and as result , the colleges will require renovation, replacement and new additions in their laboratory equipments. Further to cope with the requirement of highly quality conscious job market, new subjects need to be introduced, consequently additional posts of teachers and non-teaching staff need to be created. No single faculty college can ever produce quality teaching and generate employability as such single faculty colleges require additional faculty with new subjects and corresponding teaching / non-teaching posts and recurring and non-recurring grants to run such faculties. Colleges awaiting elevation to Post Graduate level need additional faculty and staff to impart quality teaching and research.

The minimum requirement under Three Years Degree Course in colleges was to have at least two posts in every subject. Three Years Degree Course commenced from 1988 but still most of the colleges are run by a single faculty. XII<sup>th</sup> Plan is set to achieve ' *quality and relevance*' in higher education but this is unlikely to come without adequately staffing the department & colleges. Till date there is a deficiency of 1500 posts in Government Degree Colleges i.e. approximately 12 posts for every Government degree college are needed to meet the minimum requirement. Whereas for quality teaching, Teacher-Student ratio is determined as 1: 10, in Government Degree Colleges it goes beyond 1: 50. Students have limited choice for the subject and are ill-prepared during the course of undergraduation for Post Graduation. Single faculty departments have many disadvantages. All the papers where specialization is

required (Chemistry, Music, Physics, Zoology etc) are taught by just one teacher without the requisite expertise in it. Departments are closed for reasons of the faculty on leave or his being otherwise busy with some non-academic work of the college. In the colleges, teachers are also required to organize co-curricular activities and non-academic duties like admission, election, examinations at the cost of teaching and where replacement of the teacher is not available in the college, no alternative arrangement can be made for classroom teaching or lab work. A situation where teacher-student interface is nil, the student is inclined to develop apathy and indifference towards studies. Basic to all the goals set for the XII<sup>th</sup> Plan period is the regular classroom teaching & students interaction with teachers to sort out academic issues. And it here that the requisite number of teachers in general and specialized streams are required.

Under the scheme creation of posts for new subjects / faculties and strengthening of labs are proposed. For Strengthening of existing Government Degree Colleges and inclusion of new subjects and faculties in Government Colleges an outlay of Rs 233.82 lakh in capital side and Rs. 163.29 Lakh in revenue side for the year 2014-15 has been made.

#### **4. Completion of incomplete buildings, extension of buildings & basic amenities of Government Degree Colleges :**

The scheme envisages completion of building which could not be completed during 11<sup>th</sup> Plan period. Ever expanding enrollment in colleges and consequent demand for more space to accommodate admission seekers and to create additional space for new courses, extension of the existing building is required. Till date 20 building projects of Government Degree Colleges are incomplete and require additional grants for its completion before the building cost may escalate beyond proportion. Further, colleges need to extend, renovate the existing basic amenities like safe drinking water, power supply/power backup,

classroom/outer illumination, campus upkeep, construction/repair of public utilities and recreation room, on urgent basis.

For Completion of construction of existing building of Government Degree Colleges, an outlay of Rs. 1000.00Lakh , for extension and electrification Rs. 500.00 lakh and for basic infrastructure facilities Rs. 100.01 Lakh for the year 2014-2015 has been made.

## **(C) Assistance to Non-Government Colleges & Institutes :**

### **1. Establishment of Non-Government Colleges in Un-served Areas :**

The objective set for XII Five Year Plan ( 2012-17) , is to establish at least one degree college in each block of the District where there does not exist any degree college at present, so that none is deprived of higher education. Whereas the resource crunch of the State necessitates upon it to off-load its financial burden , the State is also conscious of its basic obligation to make higher education within access and affordable limits to the common man so that the objectives of ‘ *Access and Equity* ‘ are attained. To make higher education available in the remote, educationally backward and un-served areas of the State, the Govt introduced a scheme for one-time funding of the private management for infrastructure support to the setting up of new colleges opened on self-financing basis. Under this scheme Rs 30.00 lakh for one faculty and 50.00 lakh for multi-faculty is granted for setting up such colleges.

For establishment of Degree colleges in un-served areas, an outlay of Rs. 1400.00 Lakh for the year 2014-2015 has been made.

## **(D) Other Schemes :**

### **1. Assistance to Organizing Seminar/Symposium/workshop in State Universities and Colleges :**

Seminar / Symposia provide necessary platform for exchange of knowledge and its updation through interactive discussions, as it provides a rare opportunity to the participants to widen their academic horizon and dissemination of the knowledge as also keeps the organizing institution academically vibrant. Seminars not only promote exchange and updation of existing knowledge but also stimulate documentation culture of writing and publication necessary to preserve knowledge. Though the UGC and other funding agencies financially assist towards organizing Seminar / Symposia, however, all institutions / Universities are unable to avail the requisite grants for it.

Academic activities like Seminars bring together academicians and experts from different parts of the country and abroad to exchange knowledge and ideas and provide a meaningful forum to undertake in-depth analysis of subject and update the knowledge of the participants from academics as well as research institutions. Seminars extend an added opportunity to the institutions for unlimited exposure, country wide recognition and an understanding for one's own organizational and academic-leadership capabilities. Seminars are not only necessary for the faculty but for the students as well. During their association with the institution for three to five years , they need to be initiated & exposed to in all sorts of academic / co-curricular streams & intellectual exercises ; Convocations, NCC-NSS, Sports, Workshops, Seminars and International Days which are not the part of his class room teaching. Such an exposure makes him more knowledgeable and instils in him the confidence to face the real life challenges. Any regular grant made available to the college will not only oblige it to organize the event but at the same time, will make the college eligible to seek grants for the same purpose from other funding agencies.

For organizing Seminars and Symposia in State Universities and Colleges , an outlay of Rs. 100.00 Lakh for the year 2014-2015 has been made.

## **2. Assistance for State level Awards to teachers in Higher Education :**

The grand edifice of Higher Education rests on four pillars ; incentive, motivation autonomy and accountability. The incentive being the first, must be accorded priority where the merit should be encouraged and rewarded , which will in turn, discourage the non-performers. Though MHRD rewards the meritorious teachers on ‘ Teacher’s Day ‘ however, very few receive award and certificate from MHRD. Hence, the State introduced a Scheme during XI Plan period to reward meritorious, dedicated and diligent teachers who have excelled in academics, social service, leadership and research and have significantly contributed to the excellence in higher education, in some manner. The scheme envisages / instituted Sarswati and ,ShikhsakSree awards for University and college teachers ( total 09 in number) and the scheme has yielded expected results by stimulating quality education and research in Universities and colleges.

For Scheme of State Level Awards for University / College Teachers, an outlay of Rs. 25.00 Lakh for the year 2014-2015 has been made.

## **3. Purchase of land/construction of building of Regional Higher Education Offices :**

The first decade of 21<sup>st</sup> Century has witnessed mushrooming growth of institutions of higher education for reasons; a private investment in higher education coupled with Government's policy to develop institutions of higher education as self-reliant units, independent of State funding and resource crunch obliging the State to off- load its financial liability in education and promoting public participation by extending one-time grant for infrastructure development . As such, Universities and colleges were opened on self-financed basis. However, the State can not escape its primary responsibility to ensure standards in teaching and sanctity of exams. For this a Government agency was

required to effectively monitor and control the state of higher education in the college under its jurisdiction.

Public Service Reforms Commission, has required for a good governance, *inter alia*, deregulation, transparency and delegation of powers. Regional Higher Education Offices were established and empowered to settle issues of the colleges of their region at their end and effectively monitor and control the state of higher education of the colleges under their jurisdiction. All the matters (except Creation of posts, GPF withdrawal, pension ) relating to the Class III & Class IV employees are disposed off by these offices. These Offices have also conferred financial powers to release salary of the colleges under their jurisdiction. With the opening of these offices, people do not have to rush to Directorate for routine work. The proposed scheme is meant to purchase land and construct buildings of Regional Higher Education Office at Agra, Gorakhpur and Varanasi.

For purchase of land / construction of building of Regional Higher Education Offices.an outlay of Rs200.00 lakh for the year 2014-15 has been made.

## **(E) Youth Welfare Programme :**

### **1. Implementation of Programmes of National Service Scheme (NSS) :**

New Education Policy- 1986 aimed to provide opportunities for the youth to involve themselves in national and social development through educational institutions and outside them. National Service Scheme is the most effective platform to channelize youth energy in nation building. Like National Cadet Corps, NSS is also a training ground, a workshop for character building and involving youth in social reconstruction. It is through the programmes of NSS that the student is sensitized towards his rights and

duties, imbibes a sense of social obligation, sheds off social biases, resolves to eradicate social discrimination conducive for the growth of an egalitarian society and above all is trained as a good human being and a dedicated citizen of the country.

Organizing Special Camps for National Service Schemes is an indispensable activity with added significance for inculcating sense of nation building and social commitment in the youth. The Cadets/ Volunteers of NSS are initiated into basic philosophies of social reconstruction and their contribution to it. The cadets get out of the premises of the institution and have real life experience during their 10 days stay in camp, interact with the masses, understand their problems and are sensitized to the needs and aspirations of the people and society. Resource persons, coming from the various disciplines / walk of life provide guidance / enlightenment to the cadets.

For implementation of Programmes of National Service Scheme, an outlay of Rs.1318.65 lakh for the year 2014-15 has been made.

Establishment of two state universities:

#### **[a] State University at Allahabad**

After conversion of Allahabad University into a Central University, all the colleges located in jurisdiction of Allahabad University are getting affiliated to CSJM University, Kanpur. This has increased the burden of affiliation on CSJM University, Kanpur. It has increased the difficulty of routine access by students and colleges. This has led to a demand to establish a State affiliating university at Allahabad which will affiliate the colleges of nearby districts and cater to academic needs of students and colleges of that area. This will also minimize the affiliating burden of the CSJM University, Kanpur. As an initiative State government allotted Rs. 10.00 crores in the financial year 2013-14 and nominated U.P. Rajikya Nirman Nigam as a construction agency. This creation will also help in the enforcement of "Affiliation Reforms Package" suggested by the UGC during the 11th Five

year plan. Creation of a new affiliating university would add another dimension of promoting access with quality and relevance. For the Annual Plan of 2014-15, an outlay of Rs. 10.00 crores has been made.

**[b] State University at Siddharthnagar:**

According to Government of India, district Siddharthnagar is one of the minority concentration districts, located on the border of India and Nepal and is famous for Piprahwa (Kapilvastu) the birthplace of Lord Buddha. Presently colleges of Siddharthnagar and nearby areas are affiliated to Deen Dayal Upadhyay University, Gorakhpur. It is difficult to access by students and colleges. Presently, DDU University, Gorakhpur is affiliating 348 colleges, which are creating a huge burden of affiliation on the University and adversely affecting the quality and excellence of education.

This has led to a demand to establish a State affiliating University at Siddharthnagar which will affiliate the colleges of nearby districts and cater to the needs of students and colleges of that area. This will also minimize the affiliating burden on the DDU University, Gorakhpur State granted Rs. 263.44 Crore as a first instalment after assessment of total outlay of Rs. 368.05 crore and State government allotted Rs. 10.00 crores in the last financial year 2013-14. It nominated U.P. Rajikya Nirman Nigam as a construction agency. Its creation will help in the enforcement of "Affiliation Reforms Package" suggested by the UGC during the 11th FYP. For the Annual Plan of 2014-15, an outlay of Rs. 20.00 crore has been made.

The total budget of the department for the last three years is given below:

Component	2012-13 [ in Rs. Lakh]	2013-14 [ in Rs. Lakh]	2014-15 [ in Rs. Lakh]
Non-plan	145564.36	242849.15	199283.82
Plan	10831.97	26371.85	41610.77
Total	156396.33	269221.00	240894.59

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## Chapter 4: Analysis of past performance

Higher education has made a significant contribution to economic development, social progress and political democracy in independent India. But there is a need to take a serious relook at this juncture.

The proportion of UP population, in the relevant age group, that enters the world of higher education is about 16.3 percent. The opportunities for higher education in terms of the number of places in Universities are not adequate in relation to UP's needs.

Region	No. of Universities		No. of Colleges			Total No. of Universities	Total No. of Colleges
	State Universities	Private Universities	Government	Govt. Aided Private	Self-Financed Private		
Western U.P.	03	12	52	133	1056	15	1241
Central U.P.	04	02	18	63	394	06	475
Bundelkhand Region	01	00	14	13	84	01	111
Eastern U.P.	06	00	53	122	1164	06	1339
Total	14	14	137	331	2698	28	3166

Expansion of Higher Education in Uttar Pradesh during 2007-08 to 2010-11.

[ XI Plan Period]

S.No.	Educational Institutions	Status as in 2007-2008	Status as in 2010-2011
1	<b>No. of Universities</b>		
1 A	State University	12	13
1B	Open University	01	01
1C	Private University	04	14
1D	Deemed University	01	01
2	<b>No. of Degree Colleges</b>		
2A	Government Degree Colleges	124	137
2B	Government Aided Private Degree Colleges	335	331
2C	Self Financed Private Degree Colleges	1580	2698
2D	Coeducational Degree	1684	2681

	Colleges		
2E	Girls Degree Colleges	356	484
3	<b>Student Enrolment in Degree Colleges</b>		
3A	Boys	1168528	1268602
3B	Girls	650067	870035
<b>3C</b>	<b>Total</b>	<b>1818595</b>	<b>2138637</b>
4	No. of Teachers in Degree colleges [Govt. and aided]	15493	15567

Budget Utilization [ Planned ] during 11 Plan Period:

Financial Year	Outlay [ in Rs. Lakh]	Utilized [in Rs. Lakh]	% Utilized
2007-08	14452.45	13571.02	93.9%
2008-09	13158.74	8230.55	62.5%
2009-10	11765.00	7394.18	62.8%
2010-11	29360.00	26330.42	89.6%
2011-12	11404.36	9772.05	85.7%
Total	80140.55	65298.22	81.5%

The significant achievements of XI plan period are enumerated below:

- 13 new government degree colleges were opened (01 in 2007-08, 09 in 2008-09, 02 in 2010-11 and 01 in 2011-12)
- In the year 2007-08, 51 Management run self-financing colleges, in the year 2008-09, 31 Management run self-financing colleges, in the year 2009-10, 83 management run self-financing colleges and in the year 2010-11, 40 management run self financing

colleges were opened. Rs. 30 lakh grants were sanctioned to each college under the Unserved block scheme.

- 10 undergraduate colleges were elevated to the post-graduate level.
- Rationalization of B. Ed. Course Fee.
- Preparation of a comprehensive Data Base of Students and Faculty of Universities and Colleges By SHREETRON AND UPTRON is under progress. 18300 Lakh has been sanctioned for the scheme.
- On the recommendation of the Sehgal committee Report ,“ **Common Minimum Syllabus**” at undergraduate level in State Universities has been implemented in commerce stream.
- A “ Common Eligibility Test” for enrolment in Ph. D. stream in State Universities has been implemented.
- In the year 2007-08, 127 teaching posts and 170 non-teaching posts have been created. In the year 2008-09, 149 teaching posts and 146 non-teaching posts. In the year 2010-11, 46 teaching post and 23 non teaching posts have been created and during 2011-12, 15 teaching posts and 04 non-teaching posts have been created.
- Construction of buildings of 05 Regional Higher Education Offices (i.e. Bareilly, Lucknow, Meerut, Jhansi and Kanpur) started during 2008-09. Building of Regional Office Bareilly, Lucknow, Meerut, Jhansi and Kanpur has been completed.
- To ensure comprehensive academic appraisal of teachers and Principals, ACR formats were restructured incorporating suggestions made in UP Public Service Reforms Policy,2000 and recommendations of University Grants Commission, New Delhi .

- To strengthen academics and provide platform for exchange of ideas, innovations and research, a new scheme for funding Seminars and Conferences in Universities and colleges was started in the year 2009-10.
- To recognize contributions of teachers in academics, research and enrichment of the corporate life of the institutions, a scheme of State Award for Teachers in Higher Education was started from the years 2008-09.

### **3.Constraints(Procedural/Administrative/Financial) in the Development**

- i. A large number of posts of teachers is lying vacant in universities and colleges. High Teacher-Pupil ratio adversely affects quality of teaching in the institutions of higher education.
- ii. 95% of the budget goes towards salary, 5% for infrastructure and maintenance, which leave a miniscule portion of budget for academics in the institutions.
- iii. For want of adequate funds, independent Library Building, Sports facility , auditorium and infrastructure required for career / personality development of students exists in a rudimentary form.

### **4.Efforts to minimize intra-regional imbalances**

- i. Setting up of the new co-educational multi-faculty Degree colleges has been an utmost priority of the State in rural areas and low GER districts
- ii. As a policy Government colleges were opened in an educational un-served areas of the State to ensure access of every section of society. At least, one degree college is proposed to be opened in every block of a district of the State. Recently, 05 Model Colleges under Central Sector Scheme are being opened in remote/ rural area of educationally backwards districts.

- iii. As a policy, every development block will have a degree college under Unserved *Scheme*.
- iv. Undergraduate Colleges are being upgraded to Postgraduate level to facilitate students completing their education in the same institution, without having to go outside the district to pursue higher education.

### **5.Key Challenges**

- a. NAAC is mandated to accredit all institutions of HEIs, particularly that are publicly funded and grade them on the basis of their academic governance, physical facilities and infrastructure . Very few have attained ‘A’ grade in universities and colleges. Poor quality in a sector of higher education can be attributed to variety of reasons; spanning from under-investment to inadequate faculty resources and deficiency in teaching-learning process.
- b. Shortage of faculty members have been a major deterrent in implementing academic reforms in universities and colleges like introduction of new courses, restructuring of syllabi and innovation in teaching-learning processes. Delay in recruitment of faculty and staff oblige the State / universities to resort to appointments on contractual / part time basis on the meagre salary which have an adverse impact on the quality of teaching staff and teaching itself.
- c. The GER in HE of 41 districts of UP is still much below the national average. The target of national average GER is yet to be achieved which requires multi-pronged strategy.
- d. Making higher education relevant to the cotemporary as well as future needs of society at large, while making it more inclusive by enhanced participation of under-served population of society, is yet another challenge before higher education.

- e. Further, there are certain courses where most of the seats remain vacant vis-à-vis their intake capacity. Universities and colleges need to find out reasons and provide incentives to launch special drive including curricular revision, introduction of skill based courses to enroll students in these courses. While focusing on vocational and market oriented courses, it is to be ensured that such courses do not prosper at the cost of humanities and social sciences, for these disciplines are of critical importance for making a humane society.
- f. There is an urgent need to raise the percentage of youth participating in Higher Education network, in order to contribute in national progress and development. Aforesaid task can be performed by increasing the capacity of already existing Institutions and by increasing the number of HEIs in Govt. / Private/ Self financing sectors. But the greater challenge is to promote the relevance and quality of education being imparted in HEIs. There is urgent need to revise the syllabus of subjects in accordance with emerging demands. In the approach paper “ **University and Society** “ circulated for comments by the UGC following Vice-Chancellors’ Conference held on March 25, 2011, it was recommended that :

‘Courses should be revised at least once every three years . Every course described on website should provide the date on which it was revised’

- g. Infrastructure in HEIs needs urgent attention (especially in context with ICT and E-education). Universities will be asked to introduce reforms in examination and evaluation system based on continuous assessment, semester system. Those who teach must evaluate. There is an urgent need for change in examination system, so that it tests the analytical abilities of the students.

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## Chapter 5: Preparation of the State Plan

For the preparation of State plan, a number of consultative meetings were organized with State universities and Directorate of Higher Education . The meetings were presided over by Principal Secretary – Higher Education and coordinated by Special Secretary – Higher Education and Nodal officer- RUSA. On behalf of the institutions, RUSA institutional coordinators, Registrar of the University and other members of the RUSA team participated in the consultation. The consultative meeting was organized as per the following schedule:

Table: Meeting and Consultation Schedule of State Universities and Directorate of Higher Education to discuss the Institutional Development Plan

S.No.	Institution	Date of Consultation
1.	Mahatma Jyotiba Phule Rohilkhand University, Bareilly	03-12-2013
2.	Chaudhary Charan Singh University, Meerut	03-12-2013
3.	Mahatma Gandhi Kashi Vidyapeeth, Varanasi	04-12-2013
4.	Bundelkhand University, Jhansi	04-12-2013
5.	Veer Bahadur Singh Poorvanchal University, Jaunpur	05-12-2013
6.	Deen Dayal Upadhaya Gorakhpur University, Gorakhpur	05-12-2013
7.	Sampurnanand Sanskrit University, Varanasi	06-12-2013
8.	Dr. Bhimrao Ambedker University, Agra	06-12-2013
9.	Chhatrapati Shahu Ji Maharaj University, Kanpur	09-12-2013
10.	Dr. Ram Manohar Lohia Awadh University, Faizabad	09-12-2013
11.	Lucknow University, Lucknow	10-12-2013
12.	Khwaza Moinuddin Chisti Urdu Arbi Farsi University, Lucknow	10-12-2013
13.	Dr. Ram Manohar Lohia National Law University, Lucknow	11-12-2013
14.	Uttar Pradesh Technical University, Lucknow	11-12-2013
15.	Chaudhary Charan Singh University, Meerut	12-12-2013
16.	Mahatma Jyotiba Phule Rohilkhand University, Bareilly	12-12-2013
17.	Directorate of Higher Education, U.P., Allahabad	13-12-2013
18.	Dr. Ram Manohar Lohia Awadh University, Faizabad	13-12-2013

19.	All State Universities of Uttar Pradesh, Directorate of Higher Education and UP State Higher Education Council.	14-03-2014
20.	All State Universities of Uttar Pradesh, Directorate of Higher Education and UP State Higher Education Council.	07-04-2014
21.	All State Universities of Uttar Pradesh, Directorate of Higher Education and UP State Higher Education Council.	17-04-2014

For the Government Degree Colleges, a one day workshop was organized on 9<sup>th</sup> December 2013. The participants were informed about the scheme, preparation of institutional developmental plan and queries regarding the different components were resolved. A total of 119 colleges participated in the workshop.

With the help of Institutional Developmental Plans, State Plan has been prepared.

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## **Chapter 6: Overall Strategies and Five-year Perspective Plan**

The Department of Higher Education is making efforts to develop the academic infrastructure and research base as per the parameters and benchmarks set by UGC, NAAC and State norms. The State Plan has been drafted with an objective to meet with the global standards of academic excellence apart from catering to the educational needs of the State in particular for ensuring equity, quality and access to all sections of aspiring and deserving students.

### **OVERVIEW OF STRATEGIES**

The State Plan of Uttar Pradesh under RUSA has a clear focus on ‘Triple Es’, expansion, equity and excellence through institutional strengthening and capacity building by initiating academic and governance reforms. This would enable the State to develop its universities and colleges within a broad framework of the National Policy.

Based on Institutional Development Plans received from the Universities, monitoring will be focused on (i) implementation of reforms by institutions, (ii) achievements in project activities under different sub-components, procurement of resources and services, (iii) utilization of financial allocations and (iv) achievement in faculty and staff development and management development activities.

The requisites at institutional level such as governance (administrative) reforms at University level Academic reforms and facilitating inter-disciplinary learning, Examination reforms, Affiliation reforms, Separate project management teams, commitments on research and innovation efforts, Mandatory faculty recruitment and improvement, establishment of Management Information System and Regulatory compliance are firmly committed to by the State government.

In order to reach the above goals, strategies have been enumerated below with details of specific interventions:

S.No	Strategy	Interventions
1.	<b>Expansion of Access to Higher Education</b>	<ul style="list-style-type: none"> <li>➤ Establishment of 36(26+10) Model Degree Colleges in 41 low GER districts.</li> <li>➤ Proposal for Upgradation of 5 degree colleges to Model Degree Colleges</li> <li>➤ Request for adhoc grants to establish 14 new model degree colleges in totally unserved 14 blocks out of 822 blocks of State so as to saturate the State in terms of spatial norms.</li> <li>➤ Establishment of 8 Professional colleges and polytechnics.</li> <li>➤ Creation of New classrooms, labs for improving access and retention in Government Degree Colleges.</li> </ul>
2.	<b>Equity</b>	<p>To provide Inclusive Education for socially disadvantaged groups and girls:</p> <ul style="list-style-type: none"> <li>➤ 14 new model degree colleges are being proposed in 14 blocks out of 822 blocks in the State which are totally unserved by any (govt. or private) degree college in order to remove spatial and regional inequity which adversely affects access to higher education among these groups.</li> <li>➤ Two new Universities in the eastern part of the State to meet the jurisdictional norms of the State.</li> <li>➤ Creation of Supplementary Training Cells in State Universities and Government Degree Colleges</li> <li>➤ Creation of English Language Lab in State Universities and Government Degree Colleges for empowering them by building their self-esteem and confidence.</li> </ul>
3	<b>Excellence in Higher Education</b>	<ul style="list-style-type: none"> <li>➤ Infrastructure grants to Colleges for Libraries, Laboratories and Equipments. New courses and departments.</li> <li>➤ Research support.</li> <li>➤ Improvement in Library Resources and e-library resources</li> </ul>

		<p>subscriptions.</p> <ul style="list-style-type: none"> <li>➤ Teachers training</li> <li>➤ Educational Administrators training</li> <li>➤ Curricular Reforms by having a common minimum curriculum comparable to the standards of best in the category as per prevailing professional, vocational and industrial requirements to be reviewed every three years by Board of Studies and displayed on website.</li> <li>➤ Vocationalization of Higher Education for improving employability</li> <li>➤ NAAC Accreditation for all Higher Educational Institutions. A baseline survey will be conducted by all the Colleges &amp; Universities in the forthcoming Academic year by running a trial NAAC, followed by peer/university teams for checking compliance and putting annually the score in the public domain on websites.</li> <li>➤ It is proposed to reduce the failure rate in all colleges of the State in a phased manner beginning from the year 2014-15 through learning achievement tests to be conducted online for students across the State.</li> </ul> <p><b>Faculty Support :</b></p> <ul style="list-style-type: none"> <li>➤ Recruitment of Assistant Professors will be done by Uttar Pradesh Public Service Commission.</li> <li>➤ No. of Assistant Professors proposed.</li> <li>➤ Encouraging teachers for membership to professional bodies and associations and on professional collaboration networks.</li> <li>➤ Academic Performance Indicators (API) to be finalized for Career Advancement Scheme (CAS)</li> <li>➤ To equip Teachers with ICT Tools for assessment and improving the learning levels of children in the classroom</li> <li>➤ Training of all teachers on Continuous and Comprehensive Evaluation (CCE) with innovative assessment and evaluation techniques.</li> </ul>
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		<ul style="list-style-type: none"> <li>➤ Review and development of training modules for strengthening pedagogy.</li> <li>➤ Sharing good practices of teaching and learning assessment on a collaborative learning portal / platform.</li> <li>➤ Innovation on teaching methods, restructuring of syllabi towards job orientation.</li> </ul> <p><b>Special Training for Language Skills &amp; Soft Skills :</b></p> <ul style="list-style-type: none"> <li>➤ Supplementary Training Cells are proposed in State Universities and Govt. Degree Colleges for orientation in Soft Skills, Communication and English Language Skills.</li> <li>➤ Vocationalization of Higher Education through the support of Industry and NGOs and strengthening of placement cell.</li> <li>➤ Aptitude Testing based on Gardner's Multiple Intelligences for greater employability in chosen sectors.</li> </ul> <p><b>Strengthening of Research and innovation :</b></p> <ul style="list-style-type: none"> <li>➤ Proposal to establish 14 Research Innovation Centres in State Universities.</li> <li>➤ Providing infrastructure and equipments for quality research</li> </ul>
4	<b>Capacity Building in Higher Education</b>	<ul style="list-style-type: none"> <li>➤ Strengthening of Academic Staff Colleges – Lucknow &amp; Gorakhpur @Rs.5 crore per ASC</li> <li>➤ Strengthening of Institutes of Advanced Studies in Education (IASE) through their orientation and training in the ASCs.</li> <li>➤ Training to Educational Administrators at all level.</li> <li>➤ IAQC cells to be established in Universities.</li> </ul> <p><b>Strengthening Capacities for Management, Monitoring, Evaluation &amp; Research (MMER)</b></p> <ul style="list-style-type: none"> <li>➤ Administrative supervision to be strengthened along divisional levels. 18 Divisions, 16 participating State Universities, at least 18 offices at divisional level [ 8 Regional Higher Education Officers and 10 Principals of Government Degree/P.G. Colleges at headquarter or nearby places, to be supported in the form of ex-officio consultants to the project</li> </ul>

		<p>for:</p> <ul style="list-style-type: none"> <li>○ Tasks of data collection – AISHE</li> <li>○ Supervision Support</li> <li>○ Universities Support</li> </ul>
5	<b>Institutional Reforms in Higher Education</b>	<ul style="list-style-type: none"> <li>➤ Governance Reforms <ul style="list-style-type: none"> <li>○ College Accountability through NAAC</li> <li>○ Teacher Accountability and CAS through API</li> <li>○ ICT for Student - centric services – Online Registration, Online Payment of Fees, Online Submission of Examination Forms, Online Scholarships</li> <li>○ ICT for Affiliation of Colleges with Universities with GIS and web enabled systems.</li> <li>○ University website updation for providing academic details, tenders, audited accounts, regular meetings of statutory bodies, awards and achievements, webcasting of seminar and conferences.</li> <li>○ A legislative framework for private participation in order to maintain quality in Higher Education.</li> <li>○ The extent of private participation for educational planning will be ensured through better MIS and reporting through AISHE</li> </ul> </li> <li>➤ Academic Reforms <ul style="list-style-type: none"> <li>○ Curricular reforms through minimum standard curricular framework</li> <li>○ To introduce reforms in examination and evaluation system based on continuous assessment, semester system.</li> <li>○ Web portal for e-learning, content uploading, videos, ppts, virtual classroom etc.</li> </ul> </li> </ul>

The consolidated outlay in different components is given in the table below.

**Consolidated Table Uttar Pradesh RUSA Plan**

S. No.	Component	Name	Requirement Proposed (Rs. lakhs)			
			2014-15	2015-16	2016-17	Total
1	<b>I- Expansion</b>	Creation of Universities by way of upgradation of existing Autonomous Colleges	00	00	00	00
2		Creation of Universities by conversion of colleges in a cluster [ Establishment of 2 New State Universities]	5500	2750	2750	11000
3		New Model Colleges (General)	21600	21600	00	43200
4		Model Degree Colleges in 14 Unserved Blocks of the state	8400	4200	4200	16800
5		New Colleges (Professional)	31083.68	15541.84	15541.84	62167.36
6		Support to Polytechnics	7372	5529	5529	18430
7	<b>II- Equity</b>	Equity Initiatives	300	100	100	500
8	<b>III- Excellence</b>	Infrastructure Grants to Colleges [138 Government Degree Colleges and 4 Technical Colleges	14200	7100	7100	28400
9		Infrastructure Grants to Universities	16000	8000	8000	32000
10		Upgradation of existing Degree Colleges to Model Degree Colleges	1000	1000	00	2000
11		Research, Innovation and Quality Improvement	6000	3000	3000	12000
12		Faculty Recruitment Support	00.00	3132.00	4350.00	7482.00
13		Vocationalisation of Higher Education	500	500	500	1500
14		Faculty Improvement	400	300	300	1000
15	<b>IV- Capacity building</b>	Leadership Development of Educational Administrators	500.00	250.00	250.00	1000.00
16		Management Information System	100	50	50	200
17		Capacity Building and Preparation, Data Collection and Planning and monitoring.	400	300	300	1000
18	<b>V- Institutional Reforms</b>	Institutional Restructuring and Reforms	400	300	300	1000
<b>Total</b>			<b>113755.68</b>	<b>73652.84</b>	<b>52270.84</b>	<b>239679.36</b>
MMER 1 % of the proposed outlay			1137.56	736.53	522.71	2396.80
<b>Grand Total</b>			<b>114893.24</b>	<b>74389.37</b>	<b>52793.55</b>	<b>242076.16</b>
Funds Received from MHRD in FY 2013-14	Preparatory grant	324.95	10569.59			
	Model Degree Colleges	10140.00				
	MMER	104.64				
	Total:	10569.59				
<b>Total Requirement</b>			<b>104323.65</b>	<b>74389.37</b>	<b>52793.55</b>	<b>231506.57</b>

## Chapter 7: Expansion of Access to Higher Education

Access to higher education is a challenge both for the individual and the economy. Access along with availability can be measured in terms of distance and population norms. UP is committed to increase the coverage of higher education to be within reasonable distance i.e. at block level to cater to a population of one lakh. Efforts to converge and consolidate the access through all sources i.e. government and private will be done to ensure spatial spread and access to all disadvantaged sections. The number of degree colleges affiliated to the Universities will also be rationalised so that quality and supervision is not compromised.

Towards these objectives various interventions under the various components of RUSA are planned. They are as follows :

### 1- Creation of new Universities (Component 2)

Under the component creation of Universities by conversion of colleges in a cluster, State is proposing grants for two State Universities which are already under process of planning and establishment. The details of the Universities are given below:

#### [a] State University at Allahabad

After conversion of Allahabad University into a Central University, all the colleges located in jurisdiction of Allahabad University are getting affiliated to CSJM University, Kanpur. This has increased the burden of affiliation on CSJM University, Kanpur. It has increased the difficulty of routine access by students and colleges. This has led to a demand to establish a State affiliating university at Allahabad which will affiliate the colleges of nearby districts and cater to academic needs of students and colleges of that area. This will also minimize the affiliating burden of the CSJM University, Kanpur. As an initiative State government allotted Rs. 10.00 crores in the financial year 2013-14 and nominated U.P. Rajikya Nirman Nigam as a construction agency. This creation will also help in the enforcement of "Affiliation Reforms Package" suggested by the UGC during the 11th Five

year plan. Creation of a new affiliating university would add another dimension of promoting access with quality and relevance. For the Annual Plan of 2014-15, an outlay of Rs. 10.00 crores has been made.

**[b] State University at Siddharthnagar:**

According to Government of India, district Siddharthnagar is one of the minority concentration districts, located on the border of India and Nepal and is famous for Piprahwa (Kapilvastu) the birth place of Lord Buddha. Presently colleges of Siddharthnagar and nearby areas are affiliated to Deen Dayal Upadhyay University, Gorakhpur. It is difficult to access by students and colleges. Presently, DDU University, Gorakhpur is affiliating 348 colleges, which are creating a huge burden of affiliation on the University and adversely affecting the quality and excellence of education.

This has led to a demand to establish a State affiliating University at Siddharthnagar which will affiliate the colleges of nearby districts and cater to the needs of students and colleges of that area. This will also minimize the affiliating burden on the DDU University, Gorakhpur State granted Rs. 263.44 Crore as a first instalment after assessment of total outlay of Rs. 368.05 crore and State government allotted Rs. 10.00 crores in the last financial year 2013-14. It nominated U.P. Rajikya Nirman Nigam as a construction agency. Its creation will help in the enforcement of "Affiliation Reforms Package" suggested by the UGC during the 11th FYP. For the Annual Plan of 2014-15, an outlay of Rs. 20.00 crore has been made.

The proposal for grants is as follows :

S.No.	No. of Universities	Total grants required (Rs. Lakh)	Central Share (Rs. Lakh)	State Share (Rs. Lakh)
1	02	11000	7150	3850

**2- New Model Degree Colleges (General) (Component 4)**

To facilitate access of SCs/STs/Weaker Sections and Minorities and ensure affordable and quality education in the country, MHRD, New Delhi, during XI Plan, launched an

scheme of setting up 374 Model Degree Colleges in low GER Districts of the country. The Centre identified 41 Districts of UP for opening of such colleges. Presently, under this scheme, the Capital cost involved in opening of a college is estimated as Rs 12.00 crore against which the Central assistance is limited to 65% of the capital cost and the balance 35% requirement of the capital costs would have to be met by the State and the college must have been established after 31.12.2008 only. The land for the college and recurring expenses has to be borne by the State.

41 districts of U.P. have been identified as Educationally Backward Districts (EBDs).

These districts are listed below:

1	Balrampur	22	Kannauj
2	Rampur	23	Pilibhit
3	Shrawasti	24	Sitapur
4	Chitrakoot	25	Siddharthnagar
5	Mahoba	26	Rae Bareli
6	Sonbhadra	27	Fatehpur
7	Kushinagar	28	Hardoi
8	Hathras	29	Gonda
9	Bahraich	30	Bareilly
10	Kaushamb	31	Moradabad
11	Kheri	32	Saharanpur
12	Maharajganj	33	Farrukhabad
13	Etah	34	Muzaffarnagar
14	Lalitpur	35	Sultanpur
15	Barabanki	36	Jyotiba Phule Nagar
16	Unnao	37	Hamirpur
17	Bijnor	38	Banda
18	Shahjahanpur	39	Basti
19	Budaun	40	Kanpur Dehat
20	Sant Kabir Nagar	41	Mathura
21	Bulandshahr		

By opening of model degree colleges, there will be increased access of minority population to higher education, social and gender inequity will be reduced and GER will be enhanced.

State has submitted proposals for opening of 36 New Model Degree Colleges and upgradation of 5 Government Degree Colleges to Model Degree Colleges. However, the State has received sanction of only 26 Model Degree Colleges and first instalment has been released by MHRD, New Delhi. Remaining 10 colleges are awaiting approvals.

The details of 36 Model degree colleges is attached as Annexure 5.

The financial details are provided below: [ Rs. Lakh ]

S. No.	No. of Colleges	Unit Cost of Construction	Total Cost	Central Share	State Share
1	26+10=36	1200	43200	28080	15120

#### **2B- Establishment of Model Degree Colleges in Unserved blocks of Uttar Pradesh: (Component 4)**

Uttar Pradesh has presently 14 unserved blocks, in which neither Government, nor aided or self financed colleges exist. To remove the spatial and regional disparity, it is proposed to establish 14 new model degree colleges in these blocks. This intervention will reduce the inequity amongst the disadvantaged groups mainly girls, minoritites, S.Cs, etc. The construction cost will be as per RUSA norms @ Rs. 12 Crore per College. This proposal is under the component of adhoc grants. The list of unserved blocks is given below:

#### **Unserved Blocks in Uttar Pradesh:**

S.L	Name of District	Name of Block
1	Bareilly	Ramnagar
2	Badaun	Salarpur
3	Shahjahanpur	Madnapur

4	Shahjahanpur	Jaitipur
5	Sambhal	Pavanasa
6	Moradabad	Mondhapandey
7	Siddharthnagar	Khaniyaon
8	Siddharthnagar	Bhanwapur
9	Sant kabir Nagar	Santha
10	Sitapur	Machhrehta
11	Lakhimpur kheri	Isanagar
12	Lakhimpur kheri	Ramiyapur Vihar
13	Barabanki	Suratganj
14	Bulandshahr	Danpur

The financial details are provided below: [ Rs. Lakh ]

S. No.	No. of Colleges	Unit Cost of Construction	Total Cost	Central Share	State Share
1	14	1200	16800	10920	5880

### 3. Professional Colleges (New): (Component 6)

The Department of Technical Education of the State has proposed opening of 8 new Government professional colleges in the State to ensure coverage at the Divisional level. Presently, under this scheme, the Capital cost involved in opening of a professional college was estimated as Rs 26.00 crore against which the Central assistance is limited to 65% of the capital cost per college [Rs. 16.9 cr.] and the balance 35% requirement of the capital costs would have to be met by the State. As per the State standards, the cost involved in establishment of one professional college is Rs. 77.70 crore, but the central assistance is limited to Rs. 16.9 crore per college and remaining balance of Rs. 60.8 crore per college will be provided by the State. The cost details are given below. The details of colleges proposed in desired format is attached as Annexure 6.

S. No.	Name of the Scheme	No. of Colleges	Total cost [Rs. Lakh] @ Rs. 7770.92 lakh per college	Central Share 65% @ Rs. 2600 lakh per college	State Share by Technical Education Department
1	New Colleges - Professional	08	62167.36	13520.00	48647.36

#### 4: Support to Polytechnics ( Component 17)

The project report for Setting up of new polytechnics, Strengthening of existing polytechnics and Construction of women's hostels in polytechnics has been prepared by the Technical Education Department.

The requirement of funds is as follows:

S. No.	Scheme	No.	Unit Cost [Rs. Lakh]	Total Cost [Rs. Lakh]	Central Share [Rs. Lakh]	State Share [Rs. Lakh]
1	Setting up of New polytechnics	11	1230	13530	8794.50	4735.50
2	Strengthening of existing polytechnics	4	200	800	520	280
3	Construction of girls' hostel in polytechnics	41	100	4100	2665	1435
Total				18430	11979.50	6450.50

The details of polytechnics and girls hostel proposed and their DPR is attached as Annexure 7.

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## Chapter 8: Equity Initiatives

While planning for expansion of higher education, UP has addressed the issues of equity-based development. Growth in the higher education sector must create equal opportunities for women, disadvantaged classes and the differently-abled persons as tools for fostering self confidence and esteem. Since economic resources, mobility, and socio-cultural background are important criteria in determining the accessibility and cost of higher education for a student, inequities are widely visible across geographical regions, gender, socio-economic and socio-religious groups. The lack of financial resources and challenging social conditions are the primary constraints in accessing higher education. The State's effort is to build equity strategies through innovative approach. By creating equal opportunity cell in State universities and Government Degree Colleges, State will make effort for disadvantaged classes and women for their orientation, self awareness, career exploration, goal setting, public speaking and presentation, leadership and teamwork, planning and time management, job market preparation and placement support. State will work as a unit and grants will be provided to State Universities and colleges for equity initiatives.

State has planned to develop following two main interventions:

### (1) **Supplementary Training Cells :**

Indian society suffers from substantial inequalities in education and employment arising due to membership in particular. social, cultural, religion, castes, gender groups, physical, and geographical locations etc. Despite the increase in overall educational levels the skills required to be professionally successful, in business or service are lacking. The objective is to uplift the poor and backward to give them equality of opportunity. Supplementary training cells will impart training on all round personality development, cultural and social activities for development of specific skillsets.

**Proposed Course Details for Supplementary Training Cells:****1. Type of Courses**

1. Soft Skills
2. Communication Skills
3. Work Culture & Ethics
4. Resume Making and Interview Skills

**2. Course content**

- Role of Technology in promoting candidature
- Group Discussion
- Mock Interviews
- Public speaking
- Networking with People
- Success Traits etc.
- Personality Development: Personality Development is the growth and development of the thinking, perception, attitude, nature, mood, behaviour and activities that differentiates people, It is a tool to bring out one's abilities and powers for making himself aware of his inner self and become more confident to face the outside world. Personality development programme helps the students to face, meet and overcome the challenges of the outside world more effectively and efficiently. It also makes easier for them to ascend complicated academic and corporate ladder more smoothly.

**3. Target group**

- Girls and Economically and socially backward III and IV Semester / Final year Post Graduate students of universities and Colleges.

- Girls and Economically and socially backward Final year Under Graduate students of Universities and colleges.

## (2) Setting up an English Language Laboratory

English is one of the important international business languages. The basic reading, writing, speaking ability in english language can help youth of disadvantaged groups with a range of employability options.

The language laboratory is a very helpful tool for practicing and assessing one's speech in any language. It provides a facility which allows the student to listen to model pronunciation, repeat and record the same, listen to their performance, compare with the model and do self-assessment. Since the language laboratory gives every learner of any language freedom to learn at their own pace, it is flexible and does not necessarily require a teacher all the time. At the same time, it is possible for teachers to provide assistance individually and collectively. The language laboratory allows every participant his or her privacy to speak and listen. It helps one to learn pronunciation, accent, stress and all other aspects of the phonetics of a language. General documentation, software documentation and all forms of technical documentation can be done. Online courses and paperless examinations can also be conducted through the language laboratory.

UP has proposed establishment of Supplementary Training Cells and english language Labs in State Universities and Government Degree Colleges.

Is the state/UT due to receive funds under this component in 12 <sup>th</sup> plan	Yes/no	Yes
Has the state prioritized colleges for funding	Yes/no	Yes
Colleges prioritized for funding	Number	138
Has the state prioritized PG Departments in Universities for funding	Yes/no	Yes

<b>Details</b>			
		Physical (Number)	Financial (Rs. in lakhs)
Equal opportunity cells			
Plan to create remedial classes, language labs, finishing schools etc.	Language Labs and Supplementary Training Cells	State Universities and 138 Govt. Degree Colleges	400
	Training of trainers of Supplementary Training Departments	150	50.00
Plan to create financial aid and scholarships for socially and economically backward students			
Plan to create equity and gender sensitization campaigns involving also NSS volunteers		05	25
Plan for Innovative schemes/programs to enhance equity and inclusion		05	25
Facilities to the physically challenged and visually impaired			
Total			500

A Committee will be formed comprising of various stake-holders. Committee will also be empowered to design the course content and costing of the language lab and supplementary cells as per Government of U.P. and RUSA norms. The Courses will be applied in all 16 participating State Universities [Annexure- 8] and 138 Government Degree Colleges [Annexure- 9] as required.

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## Chapter 9: Excellence in Higher Education

UP has emphasised on quality in higher education to be the differentiator for branding. Excellence in higher education has been enlisted as the top priority area by the government. The institutions and programmes would be so developed so as to figure in the top rankings of higher education both within the country as well as globally. The standards for excellence would be as per country and global norms in terms of infrastructure, teaching learning pedagogical methods, quality of research and outcomes. The State also plans for facilitating common high standards both for government and private sector institutions through governance reforms.

The State has planned for the following interventions:

### **1: Infrastructure Grants to University: (Component 3)**

The State Universities are imparting education in all basic, applied, professional, technical and vocational streams. To meet with the needs of increasing student enrollment, opening of new courses, faculty recruitment and academic activities the infrastructure needs to be upgraded, renovated, modernised and maintained accordingly. State Universities urgently need to expand, upgrade and renovate their infrastructure. Moreover, the civil amenities in the Universities and infrastructure such as additional rooms, drinking water supply, hygiene, sanitation, internal and outer illumination, common halls, minor repairs, roads, laboratories and renovations, power backup are necessary and to extend facilities to students such as cyclestands, sports field.

Emphasis is laid on the modernization of classrooms and labs by equipping them with latest technological tools.

### **Strengthening of Laboratories**

The State Universities are running various departments of science and technology offering undergraduate, postgraduate, M.Phil. and Ph.D. programmes. To meet with the

increasing global competition, the Universities need strong support for infrastructure development, quality and quantity of manpower, technology upgradation and broadening research base. Support is required for continuous strengthening and upgradation.

### **Strengthening of Libraries**

To meet with the global standards of education and teaching methodology, the library is to be upgraded and the learning resources updated continuously. Well equipped libraries with e-learning resources shall provide access to quality publications for further strengthening of research base. The central and departmental libraries need to be strengthened to provide a strong base for the learning and research. Support is needed for acquisition of quality learning through e-journals, e-books as well as automation and modernisation of the libraries.

### **Development of ICT**

The State Universities and Colleges are planning to upgrade the existing computer centres by providing uninterrupted internet access through wi-fi connectivity and establishment of new computer centres. Consistent support is required to maintain, update and upgrade the ICT infrastructure. The State Universities and Colleges campuses should be equipped with Wi-fi connectivity through NKN connectivity to provide uninterrupted internet access to the students, faculty and research scholars.

### **Student Amenities**

The student amenities like hostels, sports, conveniences, recreation facilities, common rooms need to be strengthened to provide ambience to the campus and attract admissions.

The proposal for infrastructure grants to universities is presented below for 16 state universities [ 14 under Higher Education Department, 01 under Handicapped Welfare [viklang kalayan department] and 01 under Technical Education Department.

Consolidated Table of University wise break up :

<b>S. NO.</b>	<b>Name of the university</b>	<b>Amount Proposed (Rs. lakhs)</b>	<b>Priority criteria</b>
1	Bundelkhand University, Jhansi	2000	NAAC Grading
2	Mahatma Gandhi Kashi Vidyapith Varanasi	2000	NAAC Grading
3	Lucknow University, Lucknow	2000	NAAC Grading
4	Dr. B.R. Ambedker University, Agra	2000	Antiquity
5	Deen Dayal Upadhyaya Gorakhpur University, Gorakhpur	2000	Antiquity
6	Sampurnanand Sanskrit University, Varanasi	2000	Antiquity
7	C.S.J.M. University, Kanpur	2000	Antiquity
8	Ch. Charan Singh University, Meerut	2000	Antiquity
9	Dr. R.M.L. Avadh University, Faizabad	2000	Antiquity
10	M.J.P Rohilkhand University	2000	Antiquity
11	Veer Bahadur Singh Poorvanchal University, Jaunpur	2000	Antiquity
12	Dr. R.M.L. National Law University, Lucknow	2000	Antiquity
13	Khwaja Moinuddin Chishti Urdu, Arabi-Farsi University, Lucknow	2000	Antiquity
14	U.P.Rajarshi Tandon Open University, Allahabad	2000	Antiquity
15	Uttar Pradesh Viklang Kalyaan University, Lucknow	2000	Antiquity
16	Madan Mohan Malaviya University of Technology Gorakhpur	2000	Antiquity
	<b>Total</b>	<b>32000</b>	

The University wise proposal and detailed layout for each university is attached as Annexure- 10.

## **2: Infrastructure Grants to Colleges (Component 7)**

### **[a] Department of Higher Education :**

Out of total 138 Government Post Graduate and Degree Colleges of the State, Science teaching is being imparted in 70 colleges ( 32 Post Graduate and 38 Undergraduate colleges). In the preceding decade, the curriculum of almost all the subjects in Science has been radically restructured, a fact, which has necessitated upon the colleges to renovate and strengthen their laboratories to fulfill the demands of the revised syllabi. The laboratories need to be refurnished in terms of their space and equipments for quality and meaningful teaching. It is due to the poor laboratory maintenance and obsolete equipments that no Government Degree/ Post Graduate College of the State could be rated 'A' in its NAAC assessment till date.

Norms for sanction of recurring and one time non-recurring grants to a Degree College for establishment of a Laboratory in Science /Arts streams were last prepared in the year 2003, but no guidelines exist for eligibility of a Laboratory for grants in the ensuing years. For this reason, the colleges could barely maintain their labs within the grants available to them and there was any scope for the purchase of any state-of-art equipment for science labs. In recent years, the labs are over-populated and resources/equipments are over-stretched diluting the quality of science teaching in the colleges. Arts disciplines like Psychology, Geography, Defense Studies, Music, Home Science etc also need additional grants to renovate themselves.

Libraries are not just storehouses of books but invariably reflect the vision, understanding and approach to the higher education of the college. Libraries pave the path for the future growth of the college and generate the necessary academic culture and reading habits among the students and faculty. Presently, the Libraries, with few exceptions, earmark a part of the administrative blocks of the colleges as library. Students entry in the libraries are

by and large denied for reasons of lack of space & security. Few colleges have the facility of Reading Hall with all the basic facilities like cubicles, internet connectivity, scanning and reprographic facility in this digitized era. Refereed Journals of national and international repute and even national dailies and informative magazines are limited. In such a grim scenario, creation of the knowledge society and building nation a Knowledge Super Power appears to be a distant dream. Knowledge can be created and disseminated only by expanding and strengthening the Libraries and reading facilities.

Management of Libraries can work better when they are computerized. Software are available in the market ( UGC Software SOUL developed by UGC INFILBNT) for Library management. Internet has opened vast possibilities in the acquisition of knowledge. Creation of e-libraries is the need of the hour and will increase access of students to the literature globally available and will also reduce the requirement of the printed hard copies which becomes outdated at the time of syllabus change. E-Library is eco-friendly, user friendly and cost-efficient. E-Library in 138 colleges will provide enhanced access to students in global literature, trends and additions in the subjects and will proportionately reduce dependence on bulk purchase of books. In view of international standards, it is proposed to develop Library and e-library for Government Degree Colleges and Strengthening of laboratory by standardization of scientific equipments .

State Priorities considered for allocation to Government Degree/P.G. colleges

1. Academic support: Creation of New Departments/ Courses at UG and PG level , New creation of Classrooms.
2. Modernization of Classrooms[ Smart Classrooms].
3. Library Automation
4. Computer Centres [ Building ]
5. Computer Centres [ Instrumentation ]

## 6. Strengthening of Libraries and increasing access to knowledge resources.

Details of 138 Governmen Degree Colleges , proposed infrastructure and financial assistance are given in Annexure- 11.

**b : Department of Technical Education:**

4 Engineering Colleges of the State has applied for infrastructure grants. The details are given below:

S. No.	Name of the Scheme	No. of Colleges	Total amount [ Rs. Lakh] @ Rs. 200 lakh per college	Central Share	State Share by Technical Education Department
1	Infrastructure grants to Colleges	04 1: HBTI, Kanpur 2: KNIT Sultanpur 3: BIET, Jhansi 4: UPTTI, Kanpur	800	520	280

The IDP of these colleges are attached as Annexure- 12.

Total infrastructure grants to colleges:

S. No.	Department	Requirement Rs. Lakh	Central Share [ Rs. Lakh]	State Share [ Rs. Lakh]
1	Higher Education	27600	17940	9660
2	Technical Education	800	520	280
3	Total	28400	18460	9940

### 3. Upgradation of existing Degree Colleges to Model Degree Colleges: (Component 5)

To facilitate access of SCs/STs/weaker sections and minorities and ensure affordable and quality education in the country, MHRD, New Delhi, during XI Plan, launched an scheme of setting up 374 Model Degree Colleges in low GER Districts of the country. The Centre identified 41 Districts of the State for opening of such colleges. For upgradation of existing government degree colleges to model degree colleges, the college must have been established after 31.12.2008 only. Presently, under this scheme, the Capital cost involved in upgradation of a college is estimated at Rs 4.00 crore against which the Central assistance is limited to 65% of the capital cost and the balance 35% requirement of the capital costs would have to be met by the State and the land for the college and recurring expenses has to be borne by the State.

UP has submitted proposals for upgradation of 5 Government Degree Colleges to Model degree Colleges. The details of 05 Model degree colleges is given in Annexure 13.

Component	No. of Colleges	Unit Cost of Upgradation	Total Cost of upgradation	Center Share	State Share
Component No. 5	5	400 Lakh	2000 Lakh	1350 Lakh	650 Lakh

### 4. Research, Innovation and Quality Improvement:(Component 8)

In this era of globalization and quality conscious job market, quality and relevant education alone can raise acceptability and ensure viability of an institution. In addition to degree, the skillset will guarantee a job. There is a felt need for capacity building in students through job specific education to students in the Universities and increase their research potential. For this objective, there is a need to identify departments in the Universities with innate potential for excellence and extend grants for their research development. To this end, availability of optimum infrastructure is necessary for imparting quality and value based education in order to make students competitive at national level.

### Establishment of Innovation Centres (ICs) in State Universities:

Over the years universities in India have become increasingly focused on their teaching function, imparting and disseminating knowledge and training to a large number of students. With a few notable exceptions research by and large has moved out of academic institutions to standalone research centres and laboratories. Further, University linkages with industry and society are underdeveloped. As a result, our Universities have not been at the forefront of innovations that solve real world problems and result in creation of products and processes that boost the economy and help the common man. The significant way to revitalize the University system in the context of innovation is to strengthen its linkages with industry and society.

Recognizing that educational institutions must be at the centre of the innovation process and to make Universities hubs of innovation, it is proposed that Innovation Centres at Universities be established with an aim to connect research with application for the benefit of society. This will provide a platform for the University and its partners to establish linkages between various stakeholders from industry, government institutes and academia – the Triple Helix. They will initiate and assist in innovation activities, encourage innovations in curricula and act as a catalyst and facilitator. It will also work closely with other industry clusters in its region. The innovation centers will provide a range of services and facilities, starting from evaluating an idea for its innovation potential, advice on technical and commercial viability, advice on IPR issues, guidance on relevant schemes and grants, helping innovators find partners and collaborators including funding, business development and finally taking the products and processes to end users. Business models will be developed so as to encourage entrepreneurship and commercialisation.

The Department of Higher Education aims to establish 13 Innovation Centres in State Universities to establish linkages between industry and the University. This will ensure a productive exchange of ideas and programmes that will connect with teaching and research

programmes of the University, as well as bring benefit to society. A detailed programme and cost analysis will be submitted after evaluation by an expert committee. A snapshot of proposed Innovation Centres is given below:

The following Table shows the proposed Innovation Centres under RUSA

S.No.	State University	Innovation Centre	Proposed Collaborating Partner(s)
1	Bundelkhand University, Jhansi	Pulses Research	Indian Institute of Pulses Research, Kanpur
2	Chaudhary Charan Singh University, Meerut	Sugarcane Base Research Centres Animal Husbandry	National Sugar Institute, Kanpur National Institute of Animal Health, Baghpat
3	Chhatrapati Shahu Ji Maharaj University, Kanpur	Leather Technology based Research Centres	Government Leather Institute, Kanpur
4	Deen Dayal Upadhyaya Gorakhpur University, Gorakhpur	Health related issues in eastern UP	Medical College, Gorakhpur and MMM University of Technology, Gorakhpur
5	Dr. Bhimrao Ambedker University, Agra	Tourism and Hospitality	Department of Tourism, Govt. of UP
6	Dr. Ram Manohar Lohia Awadh University, Faizabad	Agro – based research Centers	Agriculture University, Faizabad
7	Dr. Ram Manohar Lohia National Law University, Lucknow	KPO in legal affairs, Consultancy and Value added services	
8	Khwaza Moinuddin Chisti Urdu Arbi Farsi University, Lucknow	Translation and conservation of manuscripts	In consultation with National Manuscripts Mission.
9	Lucknow University, Lucknow	Food processing and food technology based research centres	Central Drug Research Institute, Lucknow Central Institute of Medicinal and Aromatic Plants, Lucknow Industrial Toxicology Research Centre, Lucknow National Botanical Research Institute, Lucknow Indian Institute of Sugarcane Research Lucknow
10	Mahatma Gandhi Kashi Vidyapeeth, Varanasi	Handloom Technology	Indian Institute of Handloom Technology, Varanasi
11	Mahatma Jyotiba Phule Rohilkhand University, Bareilly	Brass metal based Research Centres Animal Sciences based Research centres	Indian Veterinary Research Institute
12	Veer Bahadur Singh Poorvanchal University, Jaunpur	Carpet Industry based Research Centres	Institute of Carpet Technology, Bhadhoi
13	Sampurnanand Sanskrit University, Varanasi	Ayurveda Medicines based Research Centres	Pharmaceutical Industries

The requirement for State Universities and colleges are attached as Annexure 8, 9.

## 5. Faculty Recruitment Support:(Component 10)

The Construction of 26 Model Degree Colleges is underway in the State. 10 Model Degree Colleges in low GER districts is already proposed and 14 in unserved blocks are being proposed. State requires financial support to appoint faculty members in these colleges as per RUSA norms. The assistance required is given in the following tables:

### Details of Teaching Post Requirement and Financial Assistance in Newly Established Model Degree Colleges

(Amount in Rs.)

Details of Post	No.	Pay Scale	Grade Pay	Annual Salary	Annual DA	Other Allowances-Annual	Total Annual Requirement
1: Principal	01	37400-67000	10000	568800	568800	45000	1182600
2: Faculty of Arts Any 7 Lecturer from subjects in Hindi, English, Sanskrit, History, Home Science, Sociology, Education, Political Science, Economics, Psychology, Military Science, Physical Education, Geography, and other need base subject of the area.	07	15600-39100	6000	1814400	1814400	152880	3781680
3. Faculty of Science: Lecturer in Physics, Chemistry, Zoology, Botany, Maths	05	15600-39100	6000	1296000	1296000	109200	2701200
4. Faculty of Commerce Lecturer in commerce	02	15600-39100	6000	518400	518400	436580	1473380
<b>Total</b>	<b>15</b>						<b>9138860</b>

Total Annual Financial Assistance Required For one College for 15 posts is : Rs. 91,38,860/-

### Statement of Funds required under RUSA: Faculty Recruitment Support Component

[All Figures in Rs. Lakh]

Category	No. of Posts required in one College	Total Annual Financial assistance for one college@Rs. 5.80 Lakh per faculty per year	No. of Colleges	Total no. of Posts	Total financial assistance for year 2015-16	Financial assistance for the year 2016-17	Total requirement	Central Share	State Share
Model Degree Colleges	15	87.00	26 Sanctioned and 10 Proposed: Total-36	540	3132.00	3132.00	6264.00	4071.60	2192.40
Model Degree Colleges in unserved blocks	15	87.00	14 Proposed	210	00.00	1218.00	1218.00	791.70	426.30
			40	750	3132.00	4350.00	7482.00	4863.30	2618.70

## 6. Vocationalization of Higher Education: (Component 12)

Vocationalisation of higher education is an important element of the nation's education initiative. In order for Vocational Education to play its part effectively in the changing national context and for India to enjoy the fruits of the demographic dividend, there is an urgent need to redefine the critical elements of imparting Vocationalisation of higher Education to make them flexible, contemporary, relevant, inclusive and creative, ultimately job oriented. Any solutions to give employment through large scale national development programs are only temporary solutions for labour in the unskilled category. The issue of educated unemployment can be tackled through vocationalisation of higher education. The only true and lasting solution is to link up the present day subject syllabus of traditional courses (B.A., B.Sc., B. Com., M.A., M.Sc., M.Com.) with their vocational skills.

Plan for Vocationalisation of higher education is to upgrade the quality of students, so that they can work creatively and positively in the work environment. A "National Vocational Qualifications Framework" is being established by the Central and State Government to stimulate and support reforms in skills development and to facilitate nationally standardized and acceptable, international comparability of qualifications,

- Autonomy is granted to colleges to design a syllabus of Job-oriented course with the consultation of industry/company and market leaders of their area so pass-out students can get the job or become self-employed.
- University and Colleges will be provided a grant to run subjects on the basis of job oriented course guidelines of UGC.

Vocationalisation is to be linked to the envisaged industry academia interface. At the under graduate level certain papers would carry grades for field level assignments/project work/internships. The basic idea is to expose the students to the practical aspects of their theoretical knowledge, as well as to enable them to acquire skills and hands-on knowledge in

the areas of their interest that will enhance their employability. In order to make higher education responsive to the needs of the economy, a well thought out system of developing syllabi for special courses with industry inputs and engaging resource persons from the corporate and non-corporate sector, NGOs world would be institutionalized. Selected University Departments and Colleges will be allowed to introduce add on and career oriented courses on the basis of the expertise and needs of the student. These courses, which would draw from both technical and non-technical branches of knowledge, should be so designed that they add to the values of the basic degrees of the students in terms of their employability. In view of the perceived potential and prospect of the region, courses pertaining to the service sector of the economy would be emphasized upon. Areas such as tourism, hospitality sector, and features of the financial economy would be explored for the proposed add on and career oriented courses.

Pilot efforts in the State have shown that the (i) students do not have the exposure to a real life work environment. (ii) they do not have the CV writing skills and articulation/presentation skills (iii) basic computer skills. It is in these areas that proposals and course structure of innovative social entrepreneurs would be taken for this handholding effort. They would also be responsible for initial placements and creating their LinkedIn profiles. Their course would be vetted by the Skills Development Mission also so that there is no duplication in efforts and proper evaluation of their efforts is documented. They will be approved by a high level core committee of the Council and submitted for funding in Annual Plans. At State level a committee will be constituted in each subject to give input on a paper related with the vocational part of their subjects. The committee will comprise of various stakeholders. Committee will also be empowered to sign MoU with the various industry, company, hospitals, industrial houses etc. to give input on their requirement in syllabus after getting assurance to provide jobs to such students.

In addition, a UP specific portal for employment through online registration of pass out graduates in public -private mode akin to that of naukri.com would be established. The career counselling website of Ascent, of Times of India, and its hindi version would also be explored for the purposes of given guidance to the hindi speaking students of the State. The alumni network of the colleges and Universities would be explored for the purpose of facilitating placements and workplace exposures.

Highlights of some of the initial courses are given below:

(a) Computer Application: Computer Applications is a course designed to teach students how to use the computer as a business and personal tool through the use of applications software. This Course will provide a fundamental understanding of computer applications with the course focus on the Microsoft Office Applications (Microsoft Word, Microsoft Excel and Microsoft PowerPoint). This is a complete lab based course where students will learn these applications by working on class assignments in the lab. The course topics include Basics and Fundamentals of computer applications. Students will learn to use the Internet, and they will be given assignments in which searching the Internet will be required.

(b) e- Commerce and Rural Economy: Deals with the importance of e- commerce and rural economy and of the need to mobilize rural deposits and to assist those engaged in rural activities such as farming, cottage industries, rural and community projects. Topics covered are sources of rural finance, rural banks, peculiarities of financial requirements, project approach of financing, mobilization of rural savings, loan administration and monitoring, loan recovery and agriculture financing.

(c) Human Nutrition: The WHO reports say that there is a global deficiency of public health professional. All over the world today, public health has been prioritized as an indispensable component for ensuring quality of life and improved standards of living. The course syllabus

will be designed in view of the anticipated trends in human nutrition sector, nationally and internationally. The training course will serve as a “career enhancement” for those already in service, but for others it will be launched for an excellent career profile in government, non-government and corporate sector.

(d) Yoga: The course aims at promoting positive health, prevention of stress related health Problems and rehabilitation through Yoga, Meditation & Spiritualism. Integral approach of Yoga & Meditative Therapy to common ailments. Imparting skills in them to introduce Yoga for health to general public and Yoga for total personality development of students in colleges and Universities. Invoke scientific attitude and team spirit to channelize their energies in to creative and constructive endeavours.

(e) Life Insurance services: This course give a overview about Life insurance services ,its importance and various principles to be followed, this course make students aware about various theories about life insurance business and precautions to be undertaken. This course make students aware about various types of insurance products, policy condition, premium, bonuses, claim and settlement.

(f) Tourism: Tourism is the travel for recreational, leisure, family or business purposes, usually of a limited duration. Tourism is commonly associated with trans-national travel, but may also refer to travel to another location within the same country. So tourism management means managing all the activities related to tourism sector and business.

(g) Financial Services: This course gives student an insight about different types of Financial services like Mutual Funds, Merchant Banking, depository services etc. This course will guide students about other financial services their regulation, benefits and limitations. To enrich the knowledge on key areas relating to management of financial services and to enable

the students to acquire skills necessary to successfully carve a career in areas of financial services.

(h) Forensic Science: This course is designed to focus on how to handle crime-scenes investigation, analyses fingerprints and questionable documents, develop and interpret forensic photography and deal with various aspects of blood analysis at toxicology lab, finger prints lab and questioned documents lab.

(i) Journalism and Mass communication : It is a method of inquiry and literary style that aims to provide a service to the public by the dissemination and analysis of news and other information. Journalistic integrity is based on the principles of truth, disclosure,. Journalistic mediums can vary diversely, from print publishing to electronic broadcasting and from newspaper to television channels, as well as to the web, and to digital technology.

Mass communication is the study of how individuals and entities relay information through mass media to large segments of the population at the same time. It is usually understood to relate to newspaper, magazine, and book publishing, as well as radio, television and film, as these mediums are used for disseminating information, news and advertising.

Besides the courses mentioned above, several other courses based on local area need and industries requirement will be introduced after approval from competent authority. The Courses will be started in all 16 participating State Universities and 138 Government Degree Colleges as required.

[ Annexure- 8, 9 ]

The funds allotted will be spent for the following purposes:

1. Infrastructure support
2. Implementation of vocational Curriculum
3. Implementation of Career oriented courses through NGOs

Particular	Fund Allocation (in Rs. Lakh)	
	Total (2014-17)	For 2014- 15
<p><b>Infrastructure Support</b></p> <p>Infrastructure Support includes Infrastructure support towards the creation and delivery of new programs ,Strengthening governance, management and financing for vocational education, modernization of management and governance policies, procedures and institutional structures, design and implementation of effective mechanism for monitoring and evaluation of the projects, support for project coordination, implementation and management. Website akin to naukri.com for UP specific jobs. and tie-up for counselling in hindi. alumni networks for placements.</p>	750	250
<p><b>Implementation of Certificate Curriculum for implementation comprising of backward and forward linkages so as to integrate curriculum with job market demand and developing educational standards and core curriculum as the basis for the institution to design new programs, preparation of teacher-training programs for design and delivery of soft skill competency-based and modularized curriculum.</b></p>	450	150
<p><b>Implementation of Career oriented courses</b></p> <p>Implementation of Career oriented courses will comprise of implementation of National Vocational Education Qualifications Framework (NVEQF)- Changed to NSQF, Career Oriented Courses- Which courses and why, enhancing skills delivery including development and delivery of competency-based training and skill upgradation, student batches and faculty availability.</p>	300	100
<b>Total</b>	<b>1500</b>	<b>500</b>

**Component 12: Vocationalization of Higher Education**

COMPONENT NO.	COMPONENT	PHYSICAL VALUE	TOTAL FUNDING 2014-17 (in Rs. Lakh) (in crores)
12	Vocationalization of Higher Education	State as a Unit 16 State Universities and 138 Govt. Degree Colleges	1500

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## Chapter 10 : Capacity Building in Higher Education

To enhance knowledge , skills , attitude and change in perceptions of stakeholders with regard to higher education in the community. there is a need to build the capacity of different stakeholders: teachers, principals, regional higher education officers, registrars, finance officers, NSS officers, personnel involved in skill development , career counseling, placement cell and others. For better quality of teaching, research, programme implementation, supportive supervision and monitoring. There is a general consensus that existing higher education institutions should be strengthened by capacity building interventions. The capacity building interventions will be holistic and comprehensive in nature so as to help different stakeholders to develop positive outlook, perspective, motivation, management and coordination skills. Besides this during the implementation of RUSA, there is an earnest need to upgrade the technical skills and change their attitudes towards student community – to become more service oriented. All will be provided with professionally updated mandatory orientation and refresher training. The training modules will be developed in joint consultation with the Board of Studies and Research Degree Committee in Universities so that they are technically sound for implementation in the entire State.

The Academic Staff Colleges [02] established in State Universities [University of Lucknow and Deen Dayal Upadhaya Gorakhpur University, Gorakhpur] are envisaged to be the nodal agency for all types of trainings. Under RUSA it is proposed to strengthen these institutions as Apex Training Centres .

Training programme Interventions in RUSA 1: Faculty Improvement (Component 11):

The training component has been divided into the following sections:

- I) Trainings related to subjects of various departments for teachers in government/ aided colleges . Certified subjects mandatory training in Academic Staff Colleges.
- II) Training for educational administrators: Short term career enrichment programmes will be conducted by Institute of Advanced Studies in Education [03] established at Lucknow, Bareilly and Allahabad.
- III) Management Information Systems Training – RUSA MIS & Financial MIS
- IV) Any other need based

There is an urgent need of training to teachers and educational administrators for professional competence. Majority of teachers require continuous support, training and skill Upgradation, assistance in developing teaching modules, designing laboratories, managing campuses, administration, quality control, improving employability of students, etc. Although, UGC had supported Academic Staff Colleges but the Academic Staff Colleges (ASC) have a very busy schedule throughout the year with limited resources. Therefore, the urgent need is to revamp Academic Staff Colleges of the State. Therefore, it is proposed to provide financial assistance under RUSA to the following 2 Academic Staff Colleges.

**1. Academic Staff College- Lucknow University, Lucknow**

**2. Academic Staff College- Deen Dayal Upadhaya Gorakhpur University, Gorakhpur.**

These academic staff colleges would mobilize the funds for the purpose of Training to Academic faculty and Other Administrative and Support Staff, Purchasing Books/e-resources, Maintenance and Physical and IT infrastructure support so that ASCs can provide quality training and can reasonably function as a State of art Resource Centre for academicians and administrators. The training can also be organized in IASE/ or some Government P.G. Colleges where sufficient infrastructure is available.

Periodic Training for professional competency : Effective competency development through periodic training and skill upgradation with verifiable standards have to be put in place, especially to cater to teacher in far flung areas of the State who remain isolated in their colleges. Periodic training programmes/workshops will be organized where teachers will get opportunities to interact with each other as a part of the larger scholar community. With the upgradation of syllabi, there is a need to focus on skill upgradation of the teachers. Teaching learning process can be made efficient to a great extent by these teacher-centric interventions.

**Resources and financial support structure:**

**Table:Financial Support Structure in “FacultyImprovement component”.**

**All figures are in Rs. Lakh**

S. No.	Particulars	Year 2014-15	Year 2015-15	Year 2016-17
1	Training	150	50	50
2	Books/e resources	100	50	50
3	Administrative and support staff	100	50	50
4	Infrastructure strengthening	100	50	50
5	Misc.	50	50	50
	Total	500	250	250

**Objectives:**

Trainings will be provided to:

1. Develop academicians and administrators professionally,
2. Improve academic, administrative and pedagogical skills,
3. Develop innovative strategies to enhance quality of teaching, administration, research and innovation,

4. Equip them with interactive modern and practical teaching techniques, creative teaching/learning methodologies, role play and taking control, leadership, Soft skills and administrative skills,
5. Make them transparent, judicious, ethical and effective administrators / evaluators,
6. Equip them with essential basic and advanced IT skills for teaching research and administration.

### **Training components/Plan:**

#### **1. Classroom teaching/Learning Process:**

The aim is to develop successful faculty members' by teaching them various strategies, techniques, which will be required by them while delivering lectures or while dealing with students. This training will cover various aspects that are required for all the faculty members like:

1. Time management: Missions, goals, and activities; applying time management methods.
2. Effective and efficient teaching: Teaching and learning; lecture-style classes; problem-oriented learning; rapport with students and advising.
3. Effective, efficient students: Undergraduates; graduate students and graduate programs.
4. Scholarship and service: Scholarship and writing; service and administration; making changes and many more.

People from Industries, IITs, Research establishments and other Educational Institutes as Resource Persons may be invited to deliver talks/conduct workshops.

#### **2. Subject Domain Expertise and Research:**

It is proposed to provide training to all the faculty members in their respective area of interest such as arts, science and linguistics, commerce or any other subject. This will

enhance their existing knowledge and skills and it will also help them in their PhD and further research in their respective areas. This training will also be designed in a way that the learning will move from a teaching process to an experimental process, from knowledge transfer to knowledge creation, and from competitive learning to collaborative learning. It is hoped that the workshop of such a large-scale would not only have an impact on the educational development of the particular faculty and college, but also at the State level. Faculty members will learn more about research methodology in a systematic and focused manner and also about research from the grassroots level. This training will cover all concepts of research, methodologies, sampling techniques and types of research, how to write a research paper, essay, article etc.

### 3. Computer Application , ICT and SPSS , Leadership, Soft Skills and administration :

With the advent of technology and research the need for learning statistical tools and techniques and IT knowledge has become necessary. The objective behind this training is to develop a trend of data analysis through effective tools among the faculties of institutions of higher education.

This will also include aspects like;

using a variety of software packages, such as Microsoft Word, Outlook, Power Point, Excel, Access, etc., to produce correspondence and documents and maintain presentations, records, spread sheets and databases;

devising and maintaining office systems;

using content management systems to maintain and update websites and internal databases; managing and maintaining budgets, as well as invoicing;

#### **The Cost for organizing Training Programmes:**

It will be as per the rules and regulations of the UGC/ RUSA/ State norms.

#### **The following items are covered under participant cost:**

1. TA/DA to outstation participants and hospitality to local participants
2. TA/DA and honorarium to resource persons
3. Reading material

4. Working expenses
5. Honorarium to course coordinator as per UGC norms

### **ASC Guidelines**

The programme cost or working expenses will cover expenditure on post age, stationery, printing, transport, secretarial services, purchase of chemicals, small items of equipment, TA/DA of ASC staff, honorarium and hospitality to members of the ASC, functions/ceremonies (hospitality, mementoes/memorabilia, miscellaneous items, etc.), paper setting, evaluation of scripts/project reports, engagement of temporary administrative/ supporting staff (oncontractual basis/daily wages/part time basis),etc. Working expenses may also be utilized for transport, maintenance, consumables. Thirty percent of working expenses may be utilized for engagement of temporary staff.RUSA will provide assistance for renovation and furnishing, which may be met within the provision of working expenses.

For the Expenditure related rules and regulations, the UGC Guidelines for ASCs will be followed.ASCs in coordination with State government will prepare modalities of expenditure and various annexures related to accounts.

## **2. Leadership Development of Educational Administrators (Component 13)**

### **Trainings related to Human Resources associated in Higher Education Planning and Administration:**

Objective:

The broad objective is to strengthen the planning and management capabilities of the higher educational system, to make it capable of meeting the present and future challenges due to changes that take place in the social, economic, scientific and technical fields, and build capacity of the existing and prospective academic administrators to enable them to discharge their functions in a more professional manner. Through structured activities to be

planned and taken up under this scheme, they will be made aware of the changing realities of their internal and external environment. Their competence shall be built by imparting them generic and specific skills through their attitude transformation. These activities would create a sense of commitment and ensure that they work towards promoting excellence. Finally, this would help in creating a system of accountability through outcome focused monitoring. The thrust will be to achieve efficiency and effectiveness in planning and use of human, physical and financial facilities endowed with the institutions. This is to be achieved by ensuring that a delicate balance is maintained between the academic and managerial vision of the institution.

Training of the academic administrators aims at making the administrative character of the institutions of higher education more flexible, responsive and proactive. It aims at transforming qualified managers into competent managers and efficient administrators (who do the job) into effective (who do the right job), thus helping them to improve their personal traits and thereby improve rationalization of operations and achieve increase in efficiency and effectiveness.

#### Academic Administrators

In the UGC guidelines, the term "academic administrator" is used in a broad sense for all personnel concerned with the administration and management of institutions of higher education. It includes teachers who are performing administrative functions (like hostel rectors and wardens, deans and directors of students welfare, International students' advisors etc.) and supervisors of campus activities (estate officer, security officer, engineer, health officer etc.)

## Grouping

Based on the functional responsibilities of academic administrators, various functionaries in the institutions of higher education may be divided into five groups as given below to facilitate planning and implementation of training and development activities:

Table I.: Groups and Functionaries for Training

S. No.	Categories	Groups
1	Institutional Heads	<ul style="list-style-type: none"> <li>• Vice Chancellors, Pro- Vice Chancellors</li> <li>• Rectors</li> <li>• Directors and Equivalentents</li> </ul>
2	Heads of the Units / Departments / Centres	<ul style="list-style-type: none"> <li>• Deans</li> <li>• Directors of Centres / Academic Staff Colleges</li> <li>• Registrars</li> <li>• Head of Department</li> <li>• Dean Students' Welfare / Welfare Officers</li> <li>• Principals / Vice Principals of Colleges</li> <li>• Planning Officers</li> <li>• Controller of Examinations</li> <li>• Equivalent Officers</li> </ul>
3	Supervisory Staff	<ul style="list-style-type: none"> <li>• Administrative Officers</li> <li>• Deputy / Assistant Registrars</li> <li>• Accounts Officers</li> <li>• Deputy / Assistant Librarians</li> <li>• Technical Officers</li> <li>• Section Officers and Equivalentents</li> </ul>
4	Functional Staff	<ul style="list-style-type: none"> <li>• Assistants</li> <li>• Junior Assistants and Equivalentents</li> <li>• Any Other</li> </ul>
5	Training to IASE faculties	To provide Master Trainers.

Division of Functionaries into four groups may not be treated as 'water tight compartments'. In case of need, members of a lower group could be nominated for a training

which has been identified for a higher group. Additionally, if a functionary is being groomed for a higher responsibility then the senior group would be essential for him/ her.

### Training Needs

The Training at different levels should be of different types with corresponding approaches required for the purpose. Academic administrators at the top level have numerous functions involving decision making on policy matters. Therefore training at that level should be conceptual and strategic in content, while at the lower level it should be more specific. A matrix of functional responsibilities has to be developed to identify training needs. Whereas training needs may differ from person to person depending on his present skill profile and requirement of the job. However it is seen that functionaries in different groups are expected to have certain skills depending on job profile(s) as a particular group of functionaries. While, a detailed training need analysis may be necessary, a beginning could be made by addressing key training needs that have been identified for each group of functionaries. Its fine tuning can be done as we gain experience and through continued feedback that may be a part of the implementation strategy.

The following table broadly gives the key needs of different groups of functionaries previously identified:

Table 2: Key Training Needs (Illustrative)

Group Name	Functionaries in the Group	Key training Needs
1- Institutional Heads	Vice Chancellors, Pro- Vice Chancellors, Rectors Directors and Equivalents	<ul style="list-style-type: none"> <li>• Leadership Management</li> <li>• Management of Change</li> <li>• Applications of IT in Educational and Academic Institutions</li> </ul>
2- Heads of the Units /Departments Centres	Deans, Directors of Centres, Registrars and -lead of Department	<ul style="list-style-type: none"> <li>• General Administration</li> <li>• Finance &amp; Accounts</li> <li>• Estate Management</li> <li>• Team Management</li> <li>• IT in Administration – MIS</li> </ul>
3- Supervisory Staff	Administrative Officers, Deputy/Assistant Registrars, Accounts Officers, Deputy/	<ul style="list-style-type: none"> <li>• Functional Proficiency               <ul style="list-style-type: none"> <li>o Accounts</li> <li>o Law (eg: how to handle contempt of</li> </ul> </li> </ul>

	Assistant Librarians, Technical Officers, Section Officers and Equivalents	court and file an affidavit etc.) • Hands on IT Skills • Select soft skills like communication skills, Team building, Attitude Change etc.
4- Functional Staff	Assistants, Junior Assistants and Equivalents, and other lower staff	• Functional & Attitude Skills

### Training Modules

With a view to initiate activities under the scheme, key training needs identified in Table 2 above have been mapped to training modules (illustrative) as provided in Table 3 below

Table: 3 List of Training Modules (Illustrative)

Group	Areas of Training				
	Institutional Leadership	People Management	Personal Quality and Administration	Functional Proficiency	IT Skills
(i) Institutional Heads	Strategic Leadership Workshop for Institutional Heads Management of Change	Managing Diversity	Creativity, Problem Solving and Decision Making	Institutional Accountability - RTI Act	Role of IT in Governance and Academic Institutions Personal Computing Skills
(ii) Heads of Units/ Departments/ Centres	Attitudinal Transformation for better Change Management	Conflict Management and TeamBuilding Effective People Development Skills Group Dynamics and Interactive Skills	Financial Decision Making Understanding Self for managerial Excellence Self Development Workshop Creativity and innovation for Excellence Emotional Intelligence	Disciplinary and Vigilance Procedures Cost Benefit Analysis Institutional Accountability RTI Act	Management Information Systems Computer Aided Analysis and Decision Making Personal Computing Skills
(iii) Supervisory Staff		TeamBuilding Workshop Supervisory Skills for Effective management Group Dynamics and Interactive Skills	Stress Management Managerial Competencies Communication Skills Personality Development Workshop Quality in Daily Work	Warehouse Management Tender/ Procurement Procedures Accounts Cash and Accounts Legal System and Court Procedures Records/Estate management	Basic Course in Computer Application Personal Computing Skills Keyboard Proficiency
(iv) Functional Staff		Group Dynamics and Interactive Skills	Communication Skills and Personality Development Workshop	Cash and Accounts Records Management	Basic Course in Computer Applications Personal Computing Skills Keyboard Proficiency

### 3. Capacity Building and Preparation, Data Collection and Planning ( Component 15):

Funds are required to

- Undertake baseline surveys
- Data collection and compilation.
- Organise meetings, consultations, workshops, trainings

- Hire consultants
- Preparation of State perspective plans/strategy reports

Baseline survey shall be able to identify critical gaps in higher education and which would help in undertaking capacity building exercises to prepare SHEPs through strategic thinking.

Norms	Indicator	Unit	Value
Baseline surveys	Amount	Rs. In lakhs	400
Data collection and compilation.	Amount	Rs. In lakhs	200
Organise meetings, consultations, workshops, trainings	Amount	Rs. In lakhs	200
Preparation of State perspective plans/strategy reports	Amount	Rs. In lakhs	200

Total:

1000

#### 4. Management Information System (Component 16):

Norms	Indicator	Unit	Value
State MIS set up?		yes/no	Will be provided centrally
Equipment's procured?		yes/no	Will be provided centrally
organizing MIS -related workshops/trainings		number	5
	Funds	Rs. In lakhs	100
Hiring MIS consultants		number	5
	Funds	Rs. In lakhs	100

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## **Chapter 11: Institutional Restructuring and Reforms in Higher Education**

### **Institutional Restructuring and Reforms (Component 14):**

The formation of UP Higher Education Council [SHEC], State level Quality Assurance Cell (SLQAC), State Project Directorate [SPD] and State Resource Centre [SRC] form the foundational blocks for building a sound educational planning and funding mechanism for higher education at the State level. Given the number of State Universities and the large number of affiliated colleges and students they cater to, it is desirable to have State as the unit of planning for higher education.

Rashtriya Uchchatar Shiksha Abhiyan (RUSA) empowers the UP Higher Education Council, (a statutory body established by the State legislature through an Act of 1995) ,as a key body to implement its objectives, coordinate between Centre-State, University-college-State, release of funds, monitoring of Mission. SHEC ensure the effective implementation of RUSA.

RUSA is aimed to provide a fund for “Institutional restructuring and reforms” for setting up/strengthening SHEC State Higher Education Council, State Resource Centre, State Project Directorate and State level Quality Assurance Cell .

At present, Uttar Pradesh has its own State Higher Education Council, but it needs to be strengthened, so it can work more effectively. On the other side U.P. have to set up State Resources Center (SRC), State Project Directorate (SPD), and State level Quality assurance Cell (SLQAC).

Uttar Pradesh has one of the largest and diverse education systems, in India. Privatization, widespread expansion, increased autonomy and introduction of programs in new and emerging areas has improved access to higher education. At the same time it also led to widespread concern on the quality and relevance of the higher education. To address these

concerns, State level Quality assurance Cell (SLQAC) is required to establish at state level as per direction of RUSA and NAAC.

Estimated Budget for Institutional restructuring and reforms

<i>Sr. No</i>	<i>Particulars</i>	<i>Budget Estimate[ Rs. Lakh]</i>
<b>1-</b>	Creation of State level Quality assurance Cell (SLQAC) [ Honorarium, Equipment's and Contingency]	100
<b>3-</b>	Creation of State Resource Centre (SRC) [ Honorarium, Equipment's and Contingency]	200
<b>4-</b>	Creation of State Project Directorate (SPD) [ Honorarium, Equipment's and Contingency]	100
	Activities carried out in next two years	
<b>A</b>	Organizing meetings	102
<b>B</b>	Consultations	100
<b>C</b>	Organizing Workshops/conferences/trainings	150
<b>D</b>	Preparatory works [ Honorarium, Equipments and Contingency]	100
<b>E</b>	Others[ Misc.]	50
	<b>Grand Total</b>	<b>1000</b>

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## **Chapter 12: Management, Monitoring, Evaluation and Research (MMER)**

### **Management, Monitoring, Evaluation and Research (MMER) (Component 18):**

This component will be utilized for MMER activities such as hiring of consultants coming under the ambit of programme management, monitoring and evaluation, computer operators and class IV persons [outsourcing], audit expenses, mobility support, office expenses, purchase of computers, internet devices, office furniture and fixtures, fax machines, photocopiers etc.

The proposed State Project Directorate organogram and structure is attached herewith. As per the present proposed structure [subject to change as per future requirements], the following consultants and personnel will be hired:

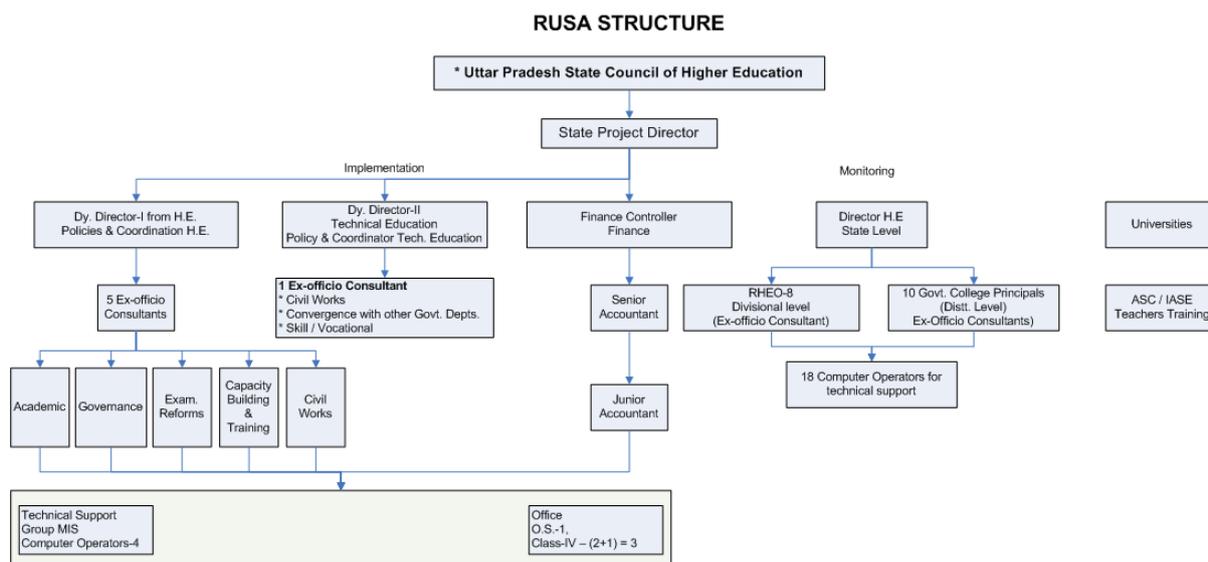
1: Consultants- 06, One each for Academics, Governance, Examination Reforms, Capacity Building and Training and two for civil works.

2: Computer Operators: Total 22

(a) 4 for State Project Directorate to assist office and consultants.

(b) 18 at divisional headquarters [08 in Regional Higher Education Offices and 10 in Office of Government Degree/P.G. College Principals at Divisional Headquarters or nearby places.]

3: Class IV : 03 in number to assist in day to day functioning of the State Project Directorate.



Grants Proposed for Regional Higher Education Offices [ 08] and 10 Government Degree Colleges Principal offices at division level.[ These are tentative estimates and actual rates will depend on as per Government of UP purchase rules and Outsourcing rules].

S. No.	Component	Rate
1	Computer System with UPS and Laser Printer- One each	Rs. 60000/-
2	Internet Connection	Rs. 15000 per year
3	Stationary and other office expenses	Rs. 15000 per year
4	Computer operator – 1@ Rs. 10000/- per month [ Outsourcing]	Rs. 120000 per year
5	Total annual Expenditure for one office	Rs. 210000
6	Total annual Expenditure for 18 offices	Rs. 3780000

Rs. Thirty Seven Lakh, Eighty Thousand only.

Travel assistance as per Government of U.P. rules whenever required.

**Consolidated Table Uttar Pradesh RUSA Plan**

S. No.	Component	Name	Requirement Proposed (Rs. lakhs)			
			2014-15	2015-16	2016-17	Total
1	<b>I- Expansion</b>	Creation of Universities by way of upgradation of existing Autonomous Colleges	00	00	00	00
2		Creation of Universities by conversion of colleges in a cluster [ Establishment of 2 New State Universities]	5500	2750	2750	11000
3		New Model Colleges (General)	21600	21600	00	43200
4		Model Degree Colleges in 14 Unserved Blocks of the state	8400	4200	4200	16800
5		New Colleges (Professional)	31083.68	15541.84	15541.84	62167.36
6		Support to Polytechnics	7372	5529	5529	18430
7	<b>II- Equity</b>	Equity Initiatives	300	100	100	500
8	<b>III- Excellence</b>	Infrastructure Grants to Colleges [138 Government Degree Colleges and 4 Technical Colleges	14200	7100	7100	28400
9		Infrastructure Grants to Universities	16000	8000	8000	32000
10		Upgradation of existing Degree Colleges to Model Degree Colleges	1000	1000	00	2000
11		Research, Innovation and Quality Improvement	6000	3000	3000	12000
12		Faculty Recruitment Support	00.00	3132.00	4350.00	7482.00
13		Vocationalisation of Higher Education	500	500	500	1500
14		Faculty Improvement	400	300	300	1000
15	<b>IV- Capacity building</b>	Leadership Development of Educational Administrators	500.00	250.00	250.00	1000.00
16		Management Information System	100	50	50	200
17		Capacity Building and Preparation, Data Collection and Planning and monitoring.	400	300	300	1000
18	<b>V- Institutional Reforms</b>	Institutional Restructuring and Reforms	400	300	300	1000
Total			113755.68	73652.84	52270.84	239679.36
MMER 1 % of the proposed outlay			1137.56	736.53	522.71	2396.80
Grand Total			<b>114893.24</b>	<b>74389.37</b>	<b>52793.55</b>	<b>242076.16</b>
Funds Received from MHRD in FY 2013-14	Preparatory grant	324.95	10569.59			
	Model Degree Colleges	10140.00				
	MMER	104.64				
	Total:	10569.59				
Total Requirement			<b>104323.65</b>	<b>74389.37</b>	<b>52793.55</b>	<b>231506.57</b>

## Sources of funds

Source	Funds expected [ Rs. Lakh]
1. Rashtriya Uchcharat Shiksha Abhiyan	231506.57
2. Grants from State Higher Education Department	37089.84
3. Grants from other State Department	69987.36
4. Grants from Central Department	1244.29
5. Raised from private sector, institutions, foundations and organizations	00
6. Resource raised by higher education institutions from internal sources and available for the project	-

**Annexure 2: Evaluation of State Development Proposal**

(to be filled by RUSA Mission Authority, not the SHEC)

No	Evaluation Parameters	Marks	
I	Institutional Preparedness and Implementation Feasibility		
	A	Clarity of State basis information including baseline data	5
	B	Overall proposal implementation feasibility	
	1	Clarity in the identification of general development objectives, related specific objectives, their expected results, and its coherence with SWOT	5
	2	Have the key activities been identified clearly and adequately for each specific-objective	5
	3	Adequacy of the State Project implementation arrangements	5
	C	Quality of SWOT analysis	
	1	Appropriateness for the procedure adopted for the conduct of SWOT analysis and adequacy of participation of stakeholders	5
	2	Clarity in the identification of strengths, weaknesses, opportunities and Threats	5
	D	Coherence of proposal with National development plan	5
E	Reasonability of proposed budget	5	
<b>Sub- total(I)</b>		<b>40</b>	
II	<b>Clarity and Quality of the Action Plans for :</b>		
	F	Scaling-up research and innovation	
	1	Quality of action plan for quantitatively increasing and qualitatively improving research activities	5

	2	Quality of action plan to transfer technology and for commercialization of R&D (the innovation agenda)	5
G	Scaling-up PhD enrolment through existing and new programs 10		
H	Scaling-up enrolment into UG/Masters programs in existing and new programmes 10		
I	Research collaborative activities with Institution at National and International level		
	1	Identification of options to improve and increase research collaborations at national and international levels	5
	2	Clarity in identification of expected quality enhancement in Masters and doctoral programs and faculty research	5
J	Potential impact and depth of proposed Industry collaboration (to be incorporated in the baseline)		5
K	Faculty development		
	1	Pedagogical training	2.5
	2	Professional development programs	2.5
L	Identification of weak students and for improvement in their learning outcomes		5
	Gender and Disability to be incorporated in the state plan (Equity)		5
<b>Sub- total(II)</b>			<b>60</b>
<b>TOTAL (I+II)</b>			<b>100</b>

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