

**UGC (Declaration of Government Educational Institutions as Institutions of Eminence)
Guidelines, 2017**

(for providing regulatory structure for enabling higher educational institutions to become world class teaching & research institutions)

1. Introduction:

There is a felt need to create a distinct category of deemed to be Universities, called Institutions of Eminence Deemed to be Universities, which shall be regulated differently from other deemed to be universities so as to evolve into institutions of world class in a reasonable time period. This is in order to implement the commitment of the government announced by the Hon'ble Finance Minister in his budget speech in 2016. As per the Budget announcement:

'It is our commitment to empower Higher Educational Institutions to help them become world class teaching and research institutions. An enabling regulatory architecture will be provided to ten public and ten private institutions to emerge as world-class Teaching and Research Institutions. This will enhance affordable access to high quality education for ordinary Indians. A detailed scheme will be formulated.'

2. Objective:

2.1 To provide an enabling regulatory architecture to ten public and ten private Higher Educational Institutions to emerge as world-class Teaching and Research Institutions.

3. Application:

3.1 The present guidelines shall apply to Government Institutions viz. Central Universities, Government owned and controlled Deemed to be Universities, Institutions of National Importance such as Indian Institutes of Technology, Indian Institutes of Information Technology, National Institutes of Technology and Indian Institutes of Science Education and Research, Government owned standalone Institutions working under individual MoAs, such as Indian Institutes of Management and State Universities set up under a law made by Legislative Assembly of a State (Collectively referred as Government Institutions of Eminence).

4. Expectations from a Government Institution of Eminence:

4.1 While a Government Institution declared as an Institution of Eminence, is free to choose its path to become an institution of global repute, an indicative list of parameters, the institution should satisfy within a reasonable pre-determined time frame from the date of notification declaring it as a Institution of Eminence are as follows:

- i) It should preferably be multi-disciplinary and have both teaching and research focus of an exceptionally high quality.
- ii) Apart from the regular courses, it should also offer various inter-disciplinary courses, including in areas of emerging technology and interest as well as those of relevance to the development concerns of countries like India.
- iii) It should have a good proportion of foreign or foreign qualified faculty. Institutions which succeed in mobilizing a broadly diverse national and international academic staff are likely to maximise knowledge capacity. Foreign / Foreign qualified faculty means:
 - a. Any faculty of non Indian citizenship. or

- b. Any Indian citizen who has spent considerable time in academics in a foreign country, with his academic qualification /experience from top 500 Institutions figuring in a reputed world ranking.
- iv) There should be a reasonably good mix of domestic and foreign students.
 - v) There should be a transparent merit based selection in admissions, so that the focus remains on getting meritorious students.
 - vi) The admission process should be need-blind so that once a student gets admission purely on merit, such a meritorious student should not be turned away for lack of financial ability.
 - vii) The faculty student ratio should be not be less than 1:20 at the time of notification issued declaring an Institution as an Institution of Eminence and should increase over time so as not to be less than 1:10 after five years of this date. The faculty for this purpose includes the regular faculty, adjunct faculty, and long term faculty (for at least three years). Part time faculty shall not be counted for the purpose.
 - viii) There should be laboratory facilities that do cutting-edge scientific research for those Institutions engaged in scientific research. In case of humanities and social science and other interdisciplinary areas, the faculty should be engaged in research and field work in frontier areas using the latest methodologies.
 - ix) The Institution should have a world-class library with subscriptions to reputed journals in the areas of its course offerings.
 - x) It should have student amenities comparable with that of globally reputed institutions.
 - xi) The Institution should have reasonably large owned campus with adequate space for expansion.
 - xii) The Institution should strive to achieve social impact by engaging in applied research and innovation in issues of concern to developing societies.
 - xiii) Governance structure of the Institution should be distinct from the governance structure of the organization sponsoring/funding the institution.
 - xiv) It should be financially sound, either in terms of recourse to public funding.
 - xv) The Institution should have teaching and research collaborations with a reasonable number of global universities figuring in the most reputed global rankings.
 - xvi) The Institution should be known for promoting a culture where faculty are encouraged to publish regularly in peer-reviewed journals and engage academically with the issues of concern to the society. It should have a record of research publications at the mean rate of at least one per faculty member each year in reputed peer-reviewed International journals based on publication made by top 100 global Universities in these journals. For this purpose:
 - a. Any papers published in international publications which are included in SCOPUS, Web Science or similar international agencies can be counted.
 - b. Instead of every faculty satisfying the publication criteria, it would be enough if the parameter is satisfied as an average across institution.
 - xvii) A multi-disciplinary institution should have a student enrolment of at least ten thousand students in a period of fifteen years. However, the institutions may project a lower figure as its enrolment target with justification on how that enrolment figure would enable it to become a world class university. EEC will examine whether it is feasible for an institution to become world class with the proposed lower figure.

- xviii) The Institution should be accredited by National Assessment and Accreditation Council (NAAC) or an alternative version of NAAC which conforms to UGC (Institutions of Eminence Deemed to be Universities) Regulations, 2017 or its amendments and also be assessed by one reputed international accreditation agency, one whose ratings are a credible and widely accepted global benchmark. The Institution may however appeal on accreditation of NAAC or alternative version of NAAC to the Empowered Experts Committee, whose decision shall be final.
- xix) It should come in top five hundred of any of the world renowned ranking frameworks (such as the Times Higher Education World University Rankings or QS or Shanghai's Jiao Tong University) in the first ten years of setting up on being declared as Institution of Eminence, and having achieved top five hundred rank, should consistently improve its ranking to come in the top one hundred eventually over time.

4.2 The Institution giving an application to be declared as a Institution of Eminence, should in its proposal mention the detailed and tangible action plan, milestones, and timelines by which it seeks to achieve each of parameters in Guideline 4.1 above, mentioning milestones to be achieved in first five years and over 15 years.

5. New Regulatory Structure for setting up Institutions of Eminence:

5.1 As far as Government owned institutions are concerned, they will continue to function as per the existing regulatory provisions under which they have been created.

5.2 Thus, the Institutes of National Importance, created under Acts of Parliament, would continue to function under their existing Acts. However, within the ambit of the Act, they would be given additional flexibility as listed out in Guideline 6.1 hereinafter.

5.3 Similarly, State Public Universities set up under State Acts would continue to function under their respective Acts.

5.4 As far as deemed universities controlled by Government are concerned, they would also be given additional incentives given in these Guidelines, and the same would be provided for in the UGC Regulations to be framed for Institutions of Eminence Deemed to be Universities.

5.5 Institutions which are also regulated by their Professional Regulatory Councils would continue to be regulated by the councils and no relaxation is proposed on rules and regulations laid down by these regulatory bodies.

5.6 Empowered Expert Committee referred in these Guidelines means the committee UGC (Institutions of Eminence Deemed to be University) Regulations, 2017.

6 Guidelines for Government owned Institutions:

6.1 Additional Incentives Proposed:

The Government owned Institutions including Government controlled Deemed to be Universities, which are declared Institutions of Eminence, would be allowed for the following, subject to the same being compliant to the rules and regulations of their Professional Regulatory Councils:

- a. The Institutions of Eminence would be free to admit additionally foreign students on merit subject to a maximum of thirty percent of the strength of admitted domestic students.

- b. The Institutions of Eminence would be free to fix and charge fees from foreign students without restriction.
- c. The Institutions of Eminence would have the freedom to determine the domestic student fees, subject to the condition that no student who gains admission should be turned away for lack of finance. This should be accompanied with a credible programme of scholarships and loans to ensure that the needy are able to pursue higher studies without any financial problems.
- d. The Institutions would have the freedom to offer courses within a program as well as to offer degrees in newer areas, including inter-disciplinary ones, after approval of its Governing Council and broadly conforming to the minimum prevailing standards which shall be intimated to the Commission or Professional Regulatory Councils.
- e. The Institutions of Eminence will have the flexibility of course structure in terms of number of credit hours and years to take a degree, after approval of their Governing Council and broadly conforming to the minimum prevailing standards.
- f. The Institutions of Eminence shall have complete flexibility in fixing of curriculum and syllabus, with no UGC mandated curriculum structure.
- g. The Institutions of Eminence will have freedom to offer online courses as part of their programmes with the restriction that not more than twenty percent of the programme should be in online mode. However, this twenty percent restriction would not preclude the Institutions from offering certificate courses entirely through online mode.
- h. Institutions would have the freedom to recruit faculty from outside India subject to the limit of twenty five percent of its faculty strength.
- i. The Institutions of Eminence will be permitted to hire personnel from industry, etc, as faculty who, though being experts in their areas, may not have the requisite higher academic qualifications.
- j. Academic collaborations with foreign higher educational institutions *ranked in top 500 in global rankings* would be exempt from government approvals, except with Institutions from negative list of countries determined by Ministry of External Affairs/Ministry of Home Affairs.
- k. The Institutions of Eminence shall be free to enter into academic collaborations with other Institutions within the country.
- l. The Institution of Eminence will have complete financial autonomy to spend the resources raised and allocated, subject to general restrictions of the Statutes and GFR.
- m. The institution of eminence shall follow the pay scales of that category of public institutions to which they belong. However, they may build in an incentive structure to attract talented faculty, with the condition that the incentive structure would have to be paid from their own revenue sources and not from government funds.
- n. The institutions will have the freedom to hire foreign faculty/foreign qualified faculty on "tenure/ contract" basis as per the terms & conditions, approved by its governing council.

6.2 Financial Assistance:

6.2.1 Financial Assistance would be provided to Government Institutions which have been declared Institutions of Eminence.

6.2.2 The assistance would be up to an amount of Rupees One thousand Crore or 50 to 75% of the requirement projected in the perspective and detailed plans submitted by the institution, whichever is less, to each Institution in a span of five years starting from the financial year of declaration of Institute as Institution of Eminence. The exact amount to be given and the exact percentage in the 50 to 75% band would depend on the perspective and detailed plan proposal of the institution and assessed and accepted by the Empowered Expert Committee.

6.2.3 The annual release would be dependent on the institution achieving the financial and physical outcomes laid down in its implementation plan.

6.2.4 However, if any Institution shows capacity to absorb the funds earlier and is able to give the expected outcomes, an accelerated pace of funding would also be allowed.

6.2.5 The funding under these guidelines would be in addition to the existing funding to which they are entitled to.

6.2.6 The funds provided under these guidelines shall not be used for purchase of any land or taking land on lease.

6.2.7 Apart from this, the Institution would have the full freedom to mobilize resources from the industry or alumni or other donors and utilize it in accordance with its implementation plan without having to seek any permission from any authority.

6.3 Eligibility criteria for Government owned and controlled Institutions to become Institution of Eminence:

6.3.1 Total of ten Institutions under this category shall be selected to be declared as Institutions of Eminence.

6.3.2 These ten Institutions would be a mix of technical institutions, management and arts institutions and central universities.

6.3.3 These Institutions should figure in the top fifty of the ranking in their category under the latest National Institution Ranking Framework as available on the last date of submission of application or in the immediate preceding ranking of NIRF.

6.3.4 Institutions finding place in top five hundred of some of the internationally recognized ranking frameworks such as the *Times* Higher Education World University *Rankings* or QS or SJTU (Shanghai's Jiao Tong University) would also be eligible for inclusion in the programme.

6.4 Procedure of Selection of Government owned and controlled Institutions to become Institutions of Eminence:

6.4.1 Inviting Application:

6.4.1.1 Commission will call for applications, to be submitted to Ministry of Human Resource Development (MHRD), from existing Government owned and controlled institutions, including Government owned and controlled Deemed to be Universities, desirous of being declared as a Institution of Eminence.

6.4.1.2 The advertisement would be issued both in print media and also would be put on the website of University Grants Commission (UGC) and Ministry of Human Resource Development. A minimum time of ninety days will be given for submitting applications from the date of the advertisement.

6.4.2 Application:

6.4.2.1 Applications in specified format shall be submitted to the Government along with processing fee of Rupees one crore by way of Demand Draft drawn in favour of The Secretary, University Grants Commission, Bahadurshah Zafar Marg, New Delhi. However, Rs seventy five lakh shall be returned to applicants who are not selected as Institutions of Eminence.

6.4.2.1 The Institutions controlled by Central Government, the application shall be made by the Institution through their controlling Ministries / Departments.

6.4.2.2 In case of State Public Universities, the application shall be made by the Institution through the State Government.

6.4.2.3 The application will have two parts: a fifteen year strategic vision plan as well as a five year implementation plan. The former will be the long-term (fifteen years) strategic plan to meet the objectives and characteristics of an Institution of Eminence and will also contain the quantified milestones and timelines for the Institution to achieve world-class repute as laid down in Guideline 4 above. It should also include a SWOT analysis of the institution focusing on their present status in the quality hierarchy, and the proposed measures to address the shortcomings. The implementation plan should contain detailed and tangible annual action plans to achieve the objectives laid out in the strategic plan.

6.4.3 Accompanying documents:

Each application should be accompanied by the following:

- (a) Details of the organization and its structure.
- (b) Financial strength of the institution, in terms of existing and expected revenue sources, existing and anticipated expenditure, and details of existing and expected corpus funds.
- (c) Details of land available for the institution.
- (d) Details of governance structure, including apex Board.
- (e) Details of a five year implementation plan to establish the foundations of an Institution of Eminence and consisting of the following:
 - (i) An academic plan showing the courses proposed and their schedule of offering.
 - (ii) A faculty recruitment policy and plan to meet the academic plan requirements. The faculty plan should strive to maintain the faculty-student ratio of at least 1:10. A share of the faculty should have either studied or worked in the top-tier global universities. This should also contain information about any proposal to draw faculty resources from industry, government, non-profits etc.
 - (iii) A student admissions policy and plan to select Indian and foreign students and expand the enrolment of students as mentioned in guideline 4.1.xvii. The admissions policy should also contain the details of the scholarships that will be provided to ensure that meritorious selected students without adequate financial capability are not turned away.
 - (iv) A research plan indicating the research laboratories and other facilities proposed to be established. In case of humanities, social science and other interdisciplinary faculties, the research plan should indicate the broad areas and nature of field work and research sought to be done.

- (v) A networking plan outlining the teaching and research collaborations and partnerships with private sector and foreign universities, research Institutions, think-tanks, labs etc. that are proposed to be put in place.
- (vi) An infrastructure development plan that would meet the proposed academic and admissions plans as well as all student and other amenities.
- (vii) A financing plan, with details of the sources and estimated amounts, to meet the aforementioned plans as well as modalities for their transfer to the institution.
- (viii) An administrative plan for getting accreditation from national and international agencies, as well as marketing and promotion.
- (ix) A governance plan that indicates the institutional structure and how it overlaps with ownership, decision-making processes, and social engagement. This governance plan should be committed to the highest global standards of transparency, accountability and efficiency.
- (x) All these plans should signal the clear commitment of the promoters to achieve the objectives and characteristics laid down in Guideline 4 of these Guidelines and should have actionable items with clear and quantified milestones and timelines.
- (xi) The objective should be that the Institution should have stabilized and established enough credibility within the five years to be on a path to become a university of global repute in the first fifteen years.
- (f) The five year implementation plan would be recast for each five year cycle, so as to achieve the objectives outlined in the 15 year strategic plan.
- (g) Plan for involving the alumni in the management of the institution and leveraging alumni financial resources.
- (h) A sustainability plan for the period when the additional public funding ceases.
- (i) The institute, if it has the provisions to affiliate in the establishing act, will provide its plan for affiliating any other higher educational institutions in its 15 year perspective plan. Any deviation in the submitted plan will be subject to EEC approval. The EEC may lay down minimum standards for any such affiliation after it has been declared as Institution of Eminence.
- (j) Any other information or document which the advertisement/ application format specifies.

6.4.4 Selection of Institutions:

The applications shall be processed in the following manner:

- (a) After receipt, the applications that have been submitted in accordance with the format prescribed and within the due date shall be processed and forwarded by the Ministry of Human Resource Development to the Commission which shall entrust it to Empowered Expert Committee.

(b) The Empowered Expert Committee shall conduct its appraisal based on the document submitted by the applicant as well as any other measure of demonstrated commitment to the cause of developing an Institution of Eminence. This appraisal will be a table one, involving scrutiny of papers submitted, along with multiple interactions with the representatives of the sponsoring organisation and may also involve any field visit. The Empowered Experts Committee would engage with the Institutions to study their proposals, hear presentations from them and after a thorough scrutiny, rank the Institutions for their suitability for inclusion in this scheme, based on which the Empowered Experts Committee would make its recommendations.

(c) The recommendations of the Empowered Expert Committee shall be placed before the Commission. The Commission will send the recommendation within fifteen days of the receipt of the recommendations from EEC.

(d) Based on the recommendations of the Commission and Empowered Experts Committee, the Ministry of Human Resource Development, shall issue orders on selection of Institutions under this scheme.

6.4.5 Notification:

After issuance of the Government order, the strategic and implementation plans for each selected Institution of Eminence would be converted into a MoU that would guide and govern the development of the Institution. The notification for Institution of Eminence shall be made immediately after signing the MoU by the selected Institution with the Government.

6.5 Monitoring and Review:

6.5.1 The Institutions of Eminence shall be reviewed once in three years after their notification as such by the Ministry of Human Resource Development by the Empowered Expert Committee for adherence to their implementation plans, keeping in view their fifteen year strategic plans. The monitoring and review shall continue till the Institution gets into top hundred in a world ranking of repute for two consecutive years or till fifteen years, whichever is earlier.

6.5.2 However, the Institution shall inform the Empowered Expert Committee every year on the progress made in realising the goals laid out in the implementation and strategic plans in a manner so prescribed by the Committee.

6.5.3 The Empowered Experts Committee may also evolve such other monitoring and review systems with shorter periodicity especially in the initial years, with the objective of guiding and supervising the growth of the Institution.

6.5.4 Apart from this, the Empowered Expert Committee may require the Institutions of Eminence to annually self-report and publicly display certain information relating to compliance with their implementation and strategic plans.

6.5.5 The annual review exercise should be completed by June each year.

6.5.6 The Empowered Expert Committee may suggest remedial action to address deficiencies, if any. The Institution shall take steps to address them within a reasonable time period.

6.6 Accreditation and Ranking:

6.6.1 The Institution of Eminence, within five years of the notification shall have to get accreditation in terms of Guideline 4.1 (xviii) above.

6.6.2 The Institution of Eminence shall continue to be ranked in the National Institutional Ranking Framework and, within five years of notification, shall get itself ranked in an International Ranking index of repute. It should from then on continue to be ranked in the National and International ranking frameworks.

6.7 Penalties:

6.7.1 If the Institution is unable to meet the goals at the end of fifth and subsequent years, and there are grave enough deviations, as determined by the Empowered Expert Committee, from the implementation plan, the Empowered Expert Committee may recommend to the Ministry of Human Resource Development for taking action as given below.

6.7.2 The Ministry of Human Resource Development, on recommendation of the Empowered Expert Committee, may take any one or more of the actions given below:

- a) Removal of the Institution of Eminence status and reverting it back to the original status which it was before getting the Institution of Eminence Status.
- b) Withdrawing of any or all additional incentives given to it under paragraph 6.1.
- c) Any other penal provision available in the Statute under which the Institution was set up.

7. Secretarial Support:

UGC will provide all secretarial assistance to the programme, including to the Empowered Expert Committee including honorarium to be paid to the members. The expenditure on account of accessing any expert either domestic or international by Empowered Expert Committee shall also be borne by UGC. There shall be no provision for creation of posts.

8. Power to remove Difficulties:

In case there is any difficulty encountered in the course of implementation of any of the provisions, the Central Government, with intention to remove the difficulty, may give suitable clarifications, not amounting to change in the guidelines itself.
