

OPERATIONS MANUAL OF IDGs FOR UNIVERSITIES UNDER OHEPEE

Operations Manual for IDG Grant for Universities under OHEPEE (Odisha Higher Education Project on Excellence and Equity)

Timeline for the IDG (Institutional Development Grant) process

Sl. No	ACTIVITIES	TIMELINE
1	Orientation to the Universities for preparation of IDG proposals	Jan '17
2	IDG development training to each Universities (Including Social development plan & Environment Management)	By 28 Feb '17
3	Last date for submission of IDG proposal	20 Mar '17
4	Formal feedback on IDP	20 Apr '17
5	Revision and final submission deadline.	20 May '17
6	Evaluation & selection of IDG proposal by the expert committee as per the rules mentioned in section 2	By 10 June '17

ACRONYMS

- CBCS: Choice Based Credit System
- DHE: Department of Higher Education, Government of Odisha
- HEI: Higher Education Institutions
- IDP: Institutional Development Plan
- IDG: Institutional Development Grant
- MoU: Memorandum of Understanding
- NAAC: National Assessment & Accreditation Council
- OHEPEE: Odisha Higher Education Program for Excellence & Equity
- PMU: Project Management Unit
- RUSA: Rashtriya Uchchar Shiksha Abhiyan
- SAMS: Student Academic Management System
- SPD: State Project Director
- SWOC: Strength Weakness Opportunity Challenges
- VC: Vice Chancellor
- WB: World Bank

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Section 1: Background

- ❖ Major objectives of OHEPEE: Equitable access, quality, governance & management reforms in Higher Education sector in the state of Odisha.
- ❖ Expectations from University IDP: Contributing to the improvement of higher education in Odisha through
 - a) Improving equitable access, quality and enhanced governance & management;
 - b) In the case of Universities with affiliating colleges
 - i. Improving the curriculum and examination system¹
 - ii. Strengthening linkages with affiliated colleges
 - iii. Supporting efforts of affiliated colleges in improving pedagogy, curriculum delivery and teacher training;
 - c) Promoting inter-institutional mobility of students and teachers

¹Improving the examination process by putting in place a more efficient, automated and transparent grading system.

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- d) Strengthening research capacity relevant to the state through the establishing or improvement of Centers of Excellence

Section 2: Fund Disbursement Modalities

For the funding purposes the eligible universities will be classified into two categories as follows

- 1) **Affiliating university:** A state university which affiliates degree colleges on the basis of UGC norms
- 2) **Other university:** Other state public universities in Odisha

The Universities will compete within their respective categories. At the end of selection, there will be two separate lists for each category based on their IDP scores and other criteria.

- 1.1. Activities under the IDP can complement but not duplicate funding committed under RUSA. If a participating University receives a specific grant amount from RUSA for an activity funded under OHEPEE IDP, the same activity will not be funded under OHEPEE.

Every selected University will receive a mobilization grant up to 25% of the total approved Institutional Development Grant (IDG) upon signing of the MOU. Subsequent annual disbursements will be subject to achieving performance indicators agreed upon and utilization of 60% of grant received in earlier tranche.

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Performance measurement will be done annually on the basis of indicators which will include the compulsory indicators mentioned in the section 5.

All University can spend a maximum of 40% of the total approved IDG towards civil works & major equipment. Universities with affiliating colleges have to spend a minimum of 40% on activities related to affiliating colleges.

Section 3: IDG approval procedure and specifications

3.1 Preparation of IDG proposal

- OHEPEE will invite eligible universities to submit their IDG proposal in the format sent to the universities for IDG support.
- The university has to submit the completed proposal in the prescribed format within the last date of submission.
- The IDG proposal should be signed by VC/Registrar of the university.
- A university will be deemed eligible to apply for the IDG proposal submission if it is a state public university
- Eligible universities will be provided guidance in the form of workshops for preparation of the IDG proposal.

² Includes permanent new infrastructure, repair, equipment purchase etc.,

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- Formal feedback on IDG will be given on the lines of Environmental Management, financial propriety, objective orientation and compliance with civil works regulation.

3.2 Components of IDP

The IDPs of universities will have two components;

- a) **CoreComponent**: This component will describe the general activities to be conducted under the IDP.
- b) **Centers of Excellence**: This component will be prepared and submitted only in case a university opts to include a proposal for establishing anew or strengthening an existing Center of Excellence.³

3.3 Evaluation of the Proposals

Each proposal under core component will be evaluated by three experts separately selected from the committee of experts chosen. The experts will provide their comments in the format provided by DHE.

The evaluation committee members will be appointed by State Project Director (SPD), OHEPEE. The experts will be required to meet the following criteria:

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- The experts will not have any formal ongoing collaboration or contractual relationship with higher education institutions in Odisha participating in the OHEPEE project
- The experts should not be involved in the preparation process of the IDP plans
- The experts will recuse themselves from the evaluation of IDPs from institutions from which they have received a higher degree (graduation, post-graduation, M. Phil and Ph.D. degrees)
- The experts will remain anonymous; their identity will be known only to the Department of Higher Education and the Project Directorate
- The experts should be noted academicians. They could (but not exclusively) include current or ex-VC and Deans; administrators familiar to the higher education sector; Registrars etc

The members of the evaluation committee will evaluate the IDPs as per criteria below

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Criteria for evaluation of IDG proposals (Universities)

The evaluation of the IDG proposals will be based on following criteria

Sl.N o.	Evaluation criteria	Marks
1	Process of preparation of IDG proposal – <ul style="list-style-type: none">• Details of stakeholder consultation,• SWOC analysis quality,• coherence of Chapter 4 with Chapters 1 and 2• Were NAAC recommendations taken on board(if applicable)	20
2	Interventions meeting the objectives of excellence, equity, and governance. Feasibility of the Plan including civil works as per the needs assessment	40
3	Coherence of Budget and Targets in relation to needs assessment and Objectives	20
4	Monitoring & Evaluation efficiency <ul style="list-style-type: none">• Appropriateness of indicators and proposed targets• Description of systems for M&E	10
5	Sustainability of the proposed interventions <ul style="list-style-type: none">• Alternate arrangements to meet costs of interventions• Retention of outcomes accrued	10
	TOTAL	100

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The experts will submit their remarks and final score (segregated head-wise as above) for each University.

The IDG proposals will be ranked on the basis of average score given by three members of the Evaluation Committee. In case of huge variation in one expert's score with respect to others the proposal will be evaluated by the Chairman - IDP evaluation, Prof. Anand, Ex VC, VELS University and appropriate normalization will be done.

The normalized score will be validated by the SPD in consultation with the Chairman and funds will be allocated accordingly as per criteria in Section 1.

The list of selected Universities will be placed in the public domain and published in DHE's website.

There will be cost adjustment by SPD for centrally executable components and fund allocation will be decided accordingly.

Signing of MoU with the institutions will be after fulfillment of necessary modifications, if any suggested in the process.

The modalities for selection of HEIs in round 2 will be based on the experience gained in the IDP and work plan agreed upon by the HEIs selected in round 1 and progress in its implementation. Change in modalities, if any, will be with the concurrence of WB."

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3.4 Criteria for fund distribution:

Each of the selected University will receive fund based on the following parameters

- In case of affiliating Universities, weightage to IDP score, no. of affiliating colleges, no. of departments and no. of regular students
- In case other public universities, on case to case basis depending on the nature of the University

If the proposed IDP includes a proposal for CoE, such component will undergo a separate evaluation by a Peer Review Committee under the chairmanship of VC, Odisha State Higher Education Council. The other two members of the PRC will be veterans of the same fields. The PRC will review each CoE proposals and will recommend their view to the Higher Education Department.

3.5 Performance Contract /MoU

In order to formalize the granting of OHEPEE support, a signing of MoU between the Government of Odisha and the participating university will be held. The VCs/ Registrarsof the selected universities will be invited to sign the MoU. The MoU will be binding on the following participating parties:

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1. Government of Odisha – the awardee, represented by Secretary, Higher Education Department
2. University – the recipient, represented by the university VC.

Section 4: List of Eligible activities

The following lists of activities among others are eligible for support.

- **EQUITABLE ACCESS:**
 - Enhancing equity through remedial classes/consultations
 - Student hostels especially for women and ST/SC students
 - Induction training for ST & SC students
 - Equipment/teaching aid for disabled students

- **TEACHING-LEARNING ENVIRONMENT:**
 - Establishment of libraries/e-resource centers
 - Smart classrooms
 - Wi-Fi/smart campus
 - Language labs
 - Extracurricular activities
 - Community outreach activities

- **QUALITY:**

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- Employment oriented courses/centers [Skills development]
 - Career & counseling centers/placement cells, Industry internships
 - Entrepreneurship programs
 - Integration of skills development in curriculum;
 - College-industry partnership
 - Faculty and staff development
 - Academic exchange, international partnership
 - Design and offering of CBCS courses
- UNIVERSITIES-COLLEGES RELATIONSHIP (applicable to Affiliating Universities):
- Curriculum development and innovation
 - Staff and faculty development programs for colleges
 - Online examination system
 - Online affiliation system
- CIVIL WORKS AND EQUIPMENT:
- Major and minor civil work
 - Furniture and equipment for laboratories and other educational facilities
- GOVERNANCE AND MANAGEMENT:
- Leadership development

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- Development of online degree authentication mechanism
 - Online student database/online student lifecycle database
 - Strengthening Internal quality assurance cells;
- CENTRES OF EXCELLENCE

Section 5: List of Mandatory activities

Mandatory activities by the Universities receiving IDP Grant:

- ✓ Submission of Institutional Development Plan, and revised plan for CoE, if applicable
- ✓ Participation in the governance benchmarking scorecard
- ✓ Establishment of graduate student tracking surveys
- ✓ Releasing of Annual Reports (financial year)
- ✓ Releasing of Audit Reports (CA audited)

Section 6: Performance evaluation of IDG and verification protocols

- Submission of Annual Report for past academic year
- Renewal of accreditation (if the NAAC accreditation cycle lapses during project period)
- Submission of Audit Report for past financial year

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- A University will be eligible to get the next tranche of money if it achieves satisfactory performance against the performance indicators. The disbursement will also be subject to utilization of 60% of the previously released grant amount.
- There will be performance indicator reporting at suitable intervals and indicators linked to disbursement would be appraised accordingly.
- OHEPEE PMU will verify through physical inspection against the claims of colleges for a random sample every year.

❖ Monitoring and Evaluation

- Reporting
 - Reporting against performance indicators will be done half-yearly.
 - The reporting will comply with the verification protocol prescribed and will adhere to the prescribed sources for data.
- Data Management
 - The college is expected to manage the data for performance indicators.

Section 7: Procurement

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The universities have to adopt guidelines for procurement of Goods/Services and awarding civil works as per the Procurement Manual issued by the DHE.

Section 8: Environment Management

During signing of the MoU with the Universities, the following will be incorporated

1. No procurement of equipment dealing with radioactive material or hazardous material without permission of SPD
2. No construction using asbestos containing materials.
3. No construction within all protected areas (National Parks, Wildlife Sanctuaries, Elephant Corridors, Tiger Reserves, Elephant Reserves, Biosphere Reserves), and, construction within Eco-Sensitive Zones for which final or draft notifications have been published by the Ministry of Environment, Forests and Climate Change, Government of India.
4. No construction within 300 meters radius of archeological monuments identified by the Archeological Survey of India.