

Operation Manual for Institutional Development Plan for Universities

Procedure for the IDP approval process

Sr. No.	Activity	Timeline
1.	Orientation to the universities for preparation of IDP proposals	Jan. 2017
2.	Last date for submission of IDP proposals	15 th March 17
3.	Formal technical feedback on IDP by QEC	By 15 th April 2017
4.	Revision and final submission deadline.	30 th April 2017
5.	Scoring of IDP by QEC. Evaluation of CoE proposals by PRC	By 15 th May 2017
6.	Decision of EC about IDPs to be funded, and about specific CoEs to be supported	By 15 th June 2017
7.	Cost adjustment for IDPs and CoE	
8.	Final decision on funding allocation by EC	
9.	Signing of MOUs between universities and DHE	By 30 th June 2017

IDP: Institutional Development Plan

QEC: Quality Enhancement Committee

PRC: Peer Review Committee (for proposals of Centers of Excellence)

CoE: Center of Excellence

EC: Executive Committee

SECTION 1

1. Background

- Major objectives of the OHEPEE – equitable access, quality, governance & management reforms in higher education
- 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 affiliating universities:
 - a. Strengthening linkages with affiliated colleges;
 - b. Supporting efforts of affiliated colleges in achieving autonomous status, curriculum delivery innovations, and teacher training;
 - c. Improving the examination system¹;

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

- c) Promoting inter-institutional mobility of students and teachers;
- d) Strengthening research capacity relevant to the state through the establishing or improvement of Centers of Excellence.

2. Clustering of IDP eligible universities

2.1. Universities will submit the proposed IDP based on a specific category. For the purposes of IDP, the eligible universities are classified as follows:

2.1.1. Affiliating university: A state university which affiliates degree colleges on the basis of UGC norms,

2.1.2. Non-affiliating university: Other state public universities in Odisha, or private universities located in tribal dominated areas in Odisha.

3. Definitions and basic modalities of the IDP

3.1. Components of IDP:

3.1.1. The IDP for universities will have two components:

3.1.1.1. Core Component: This component will describe the general activities to be conducted under the IDP.

3.1.1.2. Centers of Excellence: This component will be prepared and submitted only in the case that a university opts to include a proposal for establishing a new (or strengthening an existing) Center of Excellence.

3.2. Center of Excellence (CoE) is defined as a hub for excelling in research applied to the developmental priorities of the state of Odisha which caters to the objectives of the OHEPEE programme and the own needs and priorities of the university. Eligible CoEs under OHEPEE should be established in partnership with other relevant institutions including affiliated colleges.

3.3. A Resource Support Center for Affiliated Colleges (RSCAC) is a physical place established in a conveniently accessible centrally located area in a tribal dominated district where a set of services can be made available for students and teachers from different affiliated colleges. This can include counseling, career services, industry-college collaboration, internship and employment opportunities, procurement and financial management capacity building of colleges etc.

4. Financial modalities

- 4.1. If a University submits an IDP which includes a proposal for CoE, the requested amount for such optional component cannot exceed 30% of the total proposed amount. Also, there will be civil works and equipment cap of 40% of the total approved IDP for participating universities.
- 4.2. Activities and requested funding under the IDP can complement but not duplicate current or future funding being received under RUSA. If a participating university receives a specific grant amount from RUSA for the activities proposed/funded under OHEPEE IDP, the equivalent amount will be deducted from the total proposed/accepted IDP.
- 4.3. Every selected university will receive a mobilization grant of 15% of the total approved Institutional Development Grant (IDP) upon signing of the MOU for the IDP grant. Subsequent annual disbursements will be subject to achieving performance indicators proposed by the institution and utilization of 80% of grant received in earlier tranche.
- 4.4. Performance measurement will be done annually on the basis of indicators proposed by universities from the indicators.

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5. Evaluation of the Proposals –

- 5.1. The Core Component of the proposed IDPs submitted by a university will be scored by a Quality Enhancement Committee (QEC) on the basis of criteria listed in the following section. If the proposed IDP includes a proposal for CoE, such component will undergo a separate technical review evaluation by a Peer Review Committee (PRC) as listed in Section 2.
- 5.2. The information provided by the QEC and the PRC will be used by an Executive Committee (EC) which will decide on the amount to be provided to universities for the fulfilment of accepted IDPs and, being the case, for the support to CoE.

5.3. Evaluation of IDPs

5.3.1. The Quality Enhancement Committee (QEC) will review proposals in two phases:

5.3.1.1. On a first round, the QEC will provide feedback on the proposal of IDP being submitted by the universities, in case that further clarifications and/or enhancements are required before final submission.

5.3.1.2. On a second round, the final revised versions of the IDPs which will be reviewed and scored by the members of the QEC.

5.3.2. The members of the QEC will provide the score and concrete recommendations to the Executive Committee (EC). Such scoring will be used by the Executive Committee (EC) in deciding proposals to be approved and funded.

5.3.3. As indicated, if a university submits a proposal for a Center of Excellence (CoE) the proposal will be evaluated by Peer Review Committee (PRC) according to the process described in Section 2.

5.4. Composition of the Quality Enhancement Committee:

5.4.1. The QEC will be composed by 3 members that will be appointed by SPD, OHEPEE. The experts will meet the following criteria:

- 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 an IDP.
- Being the case, an expert should not evaluate an IDP from the institution in which he/she received a higher degree (MA or PhD).
- 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 and other institutional administrators familiar to higher education sector.

5.5. Criteria for scoring of IDP proposals by the QEC:

Sr.No.	Scoring criteria	Marks for Affiliating Universities	Marks for Non-Affiliating Universities
1	<p><i>Process of preparation of IDP proposal</i></p> <ul style="list-style-type: none"> • Details of (?) stakeholder consultation, • SWOT analysis quality, • Coherence with state/region needs • Were NAAC recommendations taken on board 	5	10
2	<p><i>Quality of Implementation plan</i></p> <ul style="list-style-type: none"> • Implementation arrangements – identification of implementation gaps • Feasibility of implementation Plan including civil works 	15	20
3	<p><i>Interventions meeting the objectives of OHEPEE</i></p> <ul style="list-style-type: none"> • Equitable access • Quality 	30	40

	<ul style="list-style-type: none"> • Governance and Management 		
4	<i>Interventions on improving interface with the affiliated colleges. (Only applicable for Affiliating Universities):</i> <ul style="list-style-type: none"> • Governance and administration • Quality and access improvement • Pedagogy and curriculum reforms 	20	Not applicable
5	<i>Monitoring & Evaluation efficiency</i> <ul style="list-style-type: none"> • Appropriateness of indicators and proposed targets • Establishing systems for M&E 	15	15
6	<i>Sustainability of the proposed interventions</i> <ul style="list-style-type: none"> • Alternate arrangements to meet costs of interventions • Retaining and increasing outcomes accrued • Plans for environmental sustainability and continued operations and maintenance at the end of the funding cycle 	15	15
	TOTAL	100	100

5.5.1. The Executive Committee will decide on the IDPs to be funded on the basis of scores and recommendation from the QEC, and once cost adjustments are made, if necessary.

5.5.2. In order to formalize the granting of OHEPEE support, a signing of MoU between the Government of Odisha and the participating institutions will be held.

5.6. Composition of the Executive Committee

5.6.1. The Executive Committee will be composed by DHE (represented by the Principal Secretary of Higher Education), the OHEPEE Project Director, and an eminent independent expert.

6. Eligible activities

6.1. The following list of activities are eligible for support. Universities will decide on their own for which activities they intend to request support in connection with the goals established on their respective IDP:

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

- TEACHING-LEARNING ENVIRONMENT:
 - Establishment of libraries/e-resource centres;
 - Smart classrooms;
 - Wifi/smart campus;
 - Language labs;
 - Extracurricular activities;
 - Community outreach activities;

- QUALITY:
 - Employment oriented courses/centres [Skills development];
 - Career & counselling centres/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
 - Resource Support Centres for Affiliated Colleges in backward districts.

- CIVIL WORKS AND EQUIPMENT:
 - Minor civil work
 - Furniture and equipment for laboratories and other educational facilities

- GOVERNANCE AND MANAGEMENT:
 - Leadership development
 - Development of online degree authentication mechanism
 - Online student database/online student lifecycle database
 - Strengthening Internal quality assurance cells;

- CENTRES OF EXCELLENCE

7. Mandatory activities to be included in the MOU with institutions receiving an IDP Grant:

7.1. Universities participating in OHEPEE and receiving funding will commit to carry-on the following activities and, to submit the respective evidence:

- Submission of the final revised Institutional Development Plan, and, being the case, the final revised plan for CoE

- Recruitment of contractual teachers to maintain a certain percentage of sanctioned posts filled
- Participation in the governance benchmarking scorecard exercise (to be held in years 2 & 4)
- Establishment of graduate student tracking surveys/mechanism
- Releasing of Annual Reports (financial year)
- Releasing of Audit Reports (CA audited)
- Releasing of Financial reports /Annual accounts

SECTION 2 – Centers of Excellence

1. Eligibility criteria

- 1.1. Eligible universities can propose the establishing or strengthening of current Center(s) of Excellence.
- 1.2. A mandatory eligibility condition is that a CoE should have a university serving as lead institution for establishing the CoE, and should strongly be encouraged to have at least two affiliated colleges in the state of Odisha actively considered to serve as partners. In addition, it is strongly recommended to have additional partnership involvement of higher education or research institutions in other parts of India and/or abroad.
- 1.3. The proposal will have to demonstrate an existing minimum capability level to achieve excellence which will be measured by:
 - **Existence of postgraduate academic programs in the area(s) of specialization that the CoE will focus on.**
 - **Active research supervision program:** All faculty associated with the proposed CoE must have supervised at least 1 PhD student over the last 2 years.
 - **Active research production:** All faculty associated with the proposed CoE must have published at 1 article in a peer reviewed journal in the last 3 years.
 - **Regular Faculty:** All faculty associated with the proposed CoE must have a regular full time appointment at the university.
 - **Partnerships:** The University must demonstrate the existence of current partnerships/research collaboration in the area(s) of specialization of the proposed CoE with affiliated colleges and other peer institutions.

2. Evaluation Criteria for CoE.

- 2.1. Proposal of Center of Excellence will be evaluated by a Peer Review Committee (PRC).
- 2.2. The PRC will be composed by 3 members that will be appointed by SPD, OHEPEE. The experts will meet following criteria:
- 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 IDP or CoE proposals.
 - Being the case, an expert should not evaluate a CoE proposal from an institution in which he/she 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 national or foreign academicians with proved track record of research in areas of knowledge related to the focus area of the CoE.
- 2.3. One of the three members of the PRC will serve as Chair.
- 2.4. The PRC will evaluate the proposals for CoE being submitted by the universities using the criteria outlined below.
- 2.5. Each of the members of the PRC will provide a score using the criteria and weighting defined below and the corresponding technical remarks.
- 2.6. The Chair of the PRC will provide the recommendations for action to the Executive Committee (EC) for final decision.

3. Criteria for scoring of CoE proposals by the PRC

- 3.1. Members of the PRC will provide scores against each evaluation criterion which will be aggregated by the Chair for final recommendation to the EC. Each criteria will be scored on a scale of 1, 2, 3 (1=below the standard; 2= meets the standard; 3=exceeds the standard). The Chair will sum up the scores awarded for each criteria by each Committee member. (Considering that there are 5 items to be scored and three peer reviewers, this means that composed total score will be between 15 and 45 points).
- 3.2. **Evaluation Criteria** - The CoE proposals shall be evaluated by the members of the PRC based on the following criteria:
- **Relevance:** The extent the proposal reflects the latest research in the field the CoE works or intends to work in, and to what extent are the proposed research questions appropriate for that

CoE's subject area and their alignment with the economic and social development needs of the state of Odisha.

- **Results Orientation:** The extent to which the proposed results are appropriate to the field of enquiry; to what extent the results are Specific, Measureable, Achievable, Realistic and Time-bound; and the possibility the results will be achieved given the proposed activities.
- **Practicality:** How well the university has identified obstacles to achieving the objectives of the proposed CoE, and the appropriateness of the strategies that will be used to overcome them. Additionally, the feasibility of meeting the Center's objectives given the proposed budget, faculty strength and time line.
- **Dissemination and Networking:** The extent to which the CoE's plan to disseminate its results is workable, and what effect these results will have on teaching both within and outside the university, especially in affiliated colleges.
- **Sustainability:** The extent to which the future costs have been identified in the proposal, and the realism of the CoE's plan to continue the activities of the center after the grant period ends.

3.3. The Chair of the PRC will present a Report to the Executive Committee (EC) with the composed scoring and recommendations, per the following guidelines:

Composed scoring of 30 to 45: If a proposal receives a composed score between 30 and 45 points, the proposed CoE either can be ready for funding or is conditionally recommended for funding subject to required modifications as explained below:

- **The proposal is ready for funding.** There are several major strengths and no major weaknesses. There are at most only a few minor weaknesses, which have been identified in the Evaluation Form, but these can be addressed once the activities get underway.
- **The proposal will be ready for funding once major weaknesses have been addressed.** There are several major strengths and at most one or two major weaknesses. The proposal needs to be re-written to mitigate the weaknesses and needs to be independently evaluated again.

Composed scoring of 15 to 29: The proposals under this composed scoring will not be recommended for funding considering that there are at most one or two major strengths, but there are several major weaknesses and a significant number of minor weaknesses.

4. Funding of accepted proposals for Centers of Excellence.

- 4.1.** The Executive Committee will decide on the CoEs to be funded on the basis of scores and recommendation received from the PRC, and once cost adjustments are made, if necessary.
- 4.2.** In order to formalize the granting of OHEPEE support, the funding of the CoE will be included in the corresponding general MOU signed between the Government of Odisha and the participating institution in which the CoE will be hosted.