

UGC (Declaration of Government Educational Institutions as World Class Institutions) Guidelines, 2016

(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 World Class Institutions 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 World Class Institutions).

4. Expectations from a Government World Class Institution:

4.1 While a Government Institution declared as a World Class Institution is free to choose its path to become a World Class Institution, it should compulsorily satisfy the following criteria within a reasonable pre-determined time frame from the date of notification declaring it as a World Class Institution:

- 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.
- 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 not be less than 1:10 after three years of declaration as a World Class Institution.
- 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.
- xvii) It should have a student enrolment of at least twenty thousand students in a period of fifteen years.
- xviii) The Institution should be accredited by National Assessment and Accreditation Council (NAAC) or an alternative version of NAAC which conforms to UGC (World Class Institutions Deemed to be Universities) Regulations, 2016 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 or being declared as World Class Institution, and come in the top one hundred eventually over time.

4.2 The Institution giving an application to be declared as a World Class institution, 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 World Class Institutions:

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 World Class Institutions 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.

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 World Class Institutions, would be allowed for the following, subject to the same being compliant to the rules and regulations of their Professional Regulatory Councils:

- a. The World Class Institutions 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 World Class Institutions would be free to fix and charge fees from foreign students without restriction.
- c. The World Class Institutions 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 World Class Institutions 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 World Class Institutions shall have complete flexibility in fixing of curriculum and syllabus, with no UGC mandated curriculum structure.
- g. The World Class Institutions will have freedom to offer online courses as part of their programmes with the restriction that not more than thirty percent of the programme should be in online mode. However, this thirty 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 World Class Institutions 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 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 World Class Institutions shall be free to enter into academic collaborations with other Institutions within the country.
- l. The World Class Institution will have complete financial autonomy to spend the resources raised and allocated, subject to general restrictions of the Statutes and GFR.

6.2 Financial Assistance:

6.2.1 Financial Assistance would be provided to Government Institutions which have been declared World Class Institutions.

6.2.2 The assistance would be up to an amount of Rupees five hundred Crore to each Institution in a span of five years from 2016-17 to 2020-21.

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 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 World Class Institution:

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

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 twenty five of the ranking in their category under the National Institution Ranking Framework released on April 1st 2016.

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 World class Institutions:

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 World Class Institution.

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 forty five 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.

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 a World Class Institution 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 a World Class Institution 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 to about twenty thousand in fifteen years. 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) 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 formed under UGC (World Class Institutions Deemed to be Universities) Regulations, 2016.
- (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 a World Class Institution. 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.
- (d) 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.
- (e) 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 issue of the Government order, the strategic and implementation plans for each selected World Class Institution would be converted into a MoU that would guide and govern the development of the Institution. The notification for World Class Institution shall be made immediately after signing the MoU by the selected Institution with the Government.

6.5 Monitoring and Review:

6.5.1 The World Class Institutions 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 World Class Institutions 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 May 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 World Class Institution, within five years of the notification shall have to get accreditation in terms of Guideline 4.1 (xviii) above.

6.6.2 The World Class Institution 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 World Class Institution status and reverting it back to the original status which it was before getting the World Class Institution 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. 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.

[Policy on Establishment of World Class Institutions : Pages 2 to 3.](#)

[UGC \(Declaration of Government Educational Institutions as World Class Institutions\) Guidelines, 2016: Pages 4 to 12.](#)

[UGC \(World Class Institutions Deemed to be Universities\) Regulations, 2016: Pages 13 to 29.](#)