

Policy Paper on Establishment of Faculties/Postgraduate Institutes in Universities (New Faculties/Upgrading to a Faculty)

Preamble

The committee appointed by the Commission to revise the application process of establishing a new Faculty/Postgraduate Institutes met on 09th Sep 2021 and discussed the following issues identified in the Concept Paper (Commission Memo No. UGC/1058/6.6 dated 08th July 2021) submitted to the Commission.

1. Total capital and recurrent budget required for establishment of the new faculty (after demonstrating the maximum utilization of existing resources). A new format will be introduced by the Finance Department for this purpose, including information on whether the capital requirements of existing faculties in the university have been fulfilled.
2. Five-year financial plan in line with the public investment program drawn up by the National Planning Department on capital expenditure of the University.
3. Availability of resources in the University to establish a new Faculty needs to be justified with increase in student numbers who could be readily employed upon their graduation.
4. Land and location identified for establishment of the new faculty.
5. Cost benefit ratio in terms of increase in student intake who can be readily employable upon their graduation.
6. Outcome of a survey on Industry demand or an evidence-based needs analysis for the program to be offered by the proposed faculty
7. Already established faculties require additional funding for completing or extending their infrastructure and equipment. In order to fund for such requirements, it has to be justified with an increase in student numbers, who could be readily employed upon their graduation.

Current practise has been to review the proposal by the QAC and the respective Subject Standing Committee of the UGC. Then the recommendations are given to the Commission individually for Concept Paper for the establishment of new faculty. To support decision making a summary report is prepared by the QAC. Considering the issues indicted in the Concept Paper and the current practises following suggestion were made to revise the application process.

Suggested application process

The suggested process to establish a new Faculty/ Postgraduate Institute is described as follows;

Step	Action	Description	Responsibility
1	<i>Concept Proposal</i>	As the first step, submission of Concept Proposal to the Commission with the recommendation of the relevant subject Standing Committee. Please refer to the Annex A for the suggested format for the Initial Proposal	Proposed University/ Institute
2	<i>Commission Decision</i>	The Commission, based on the national need and the demand of the new subject areas will decide whether to decline at the Initial Proposal level or request to develop a Comprehensive Proposal. Therefore, the Concept Proposal should consist of a detailed cost benefit analysis where a decision can be taken easily based on the investment and the demand of the proposed programmes.	Secretary/ UGC
3	<i>Comprehensive Proposal</i>	Once the consent is given by the Commission to develop a Comprehensive Proposal, the proponent is requested to compile information according to the format given in Annex B.	Proposed University/ Institute
4	<i>Submission of Comprehensive Proposal</i>	The Comprehensive Proposal should be submitted to the Director QAC with the Commission decision given for the Initial Proposal	Proposed University/ Institute
5	<i>Scrutinising the proposal</i>	The Comprehensive Proposal will be scrutinised by the QAC and if any additional information is needed such will be communicated with the proponent through the Director/CQA of the University.	QAC and Director/CQA
6	<i>Final Version of the Comprehensive Proposal</i>	Once the necessary amendments are done as suggested by QAC, the proponent of the proposal will be requested to submit the updated Comprehensive Proposal in hard and soft forms	QAC
7	<i>Summary Report</i>	Based on the key information, a Summary Report will be prepared by QAC	QAC
8	<i>Recommendation s/ Observations of the Subject</i>	Final copy of the Comprehensive Proposal and Summary Report will be sent to the Secretary/UGC to table at the relevant	Secretary/UGC Secretary/ SC

	<i>Standing Committee:</i>	Subject Standing Committee for their observations/ recommendations. Accordingly necessary amendments will be made	
9	<i>Amendments</i>	Necessary amendments will be incorporated to the proposal based on the Recommendations/ Observations of the Subject Standing Committee.	Secretary /SC
10	<i>Commission Approval</i>	The final proposal will be tabled at the Commission through the Management Committee for a decision and the decision will be conveyed to the proponent.	Secretary/UGC

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