

UNIVERSITY GRANTS COMMISSION
NEW DELHI 110002

Guidelines for implementing the
Scheme for providing One-time Catch-up Grant to Uncovered (Non-12B) State
Universities funded by the State Governments

1. Introduction:

The University Grants Commission (UGC) has laid down the criteria (under Section 12B of the UGC Act) pertaining to physical facilities and infrastructure for the universities to be eligible to receive UGC grants. However, among the state universities, a large number remain wanting in meeting these criteria, and therefore remain ineligible to receive development grants from the UGC. Thus, these universities get mired in a vicious cycle:

Low infrastructure ⇒ Preclusion from development grants ⇒ Non-development of infrastructure and consequent fall in the quality of education.

In the larger and long-term interests of a balanced and equitable development of higher education in the country, these universities need to be supported so that they can come up to a standard and eventually become eligible for regular UGC development grants.

Under the Eleventh Five Year Plan, the UGC has evolved a scheme to provide one-time catch-up grant to such state universities which have thus far faced preclusion because of insufficiency in infrastructure and quality. This scheme is called the Scheme for providing One-time Catch-up Grant to Uncovered (Non-12B) State Universities funded by the State Governments.

The Scheme is essentially to motivate the state universities to improve the infrastructure and quality so as to make them eligible for regular financial assistance under Section 12B of the UGC Act. With this in view, the UGC, conjointly with the State Government concerned, shall extend one-time catch-up financial support to these universities for meeting the expenditure of non-recurring nature, leading to improvement and modernization in infrastructure and functioning, provided the total financial requirements for such exercise to meet the 12B criteria in a university shall not exceed Rs. 10 crore, out of which the UGC shall provide up to 50%, and the remaining 50% is to be met by the State Government concerned. It is also expected that these universities shall adopt measures for mobilizing resources on their own.

2. Objectives:

The main objectives of the Scheme are:

- (i) To priorities state universities which are found wanting in infrastructure and other quality parameters, and which have thus far remained uncovered by UGC development grants;
- (ii) to extend support to such universities so that they are able to remove deficiencies and become eligible for regular development grants from the UGC by the end of the XI Plan period; and
- (iii) to enable these universities to bridge quality gaps in functioning, to become part of the mainstream and to contribute towards quality and excellence in higher education.

3. Eligibility conditions:

A state university seeking financial support from the UGC under this Scheme shall satisfy the following conditions:

- 3.1 The applicant state university shall be among the universities listed by the UGC under Section 2(f) of the UGC Act, but has not thus far received UGC development grants under Section 12B of the UGC Act.
- 3.2 The university shall, at the time of application, meet at least 50% of Section 12B criteria (academic and physical infrastructure, rounded to the nearest integer), and the total financial requirements for infrastructure development shall not exceed Rs. 10 crore.
- 3.3 The university shall already have all the necessary approvals for executing the developmental/ engineering works, and shall satisfy the UGC that the works were held up only for want of funds.
- 3.4 The university shall give an undertaking to complete all the works and satisfy Section 12B criteria fully by the end of the XI Plan.
- 3.5 The State Government concerned shall give an undertaking to provide matching grants up to 50% of the financial inputs required to enable the university to complete all the works by the end of the XI Plan period and be eligible for regular financial support from the UGC under Section 12B.

4. Preparation of Proposal:

- 4.1 The university shall assess the financial inputs required to improve its physical infrastructure and such facilities as library, classrooms, laboratory, etc., in order to enable it to be listed under Section 12B by the end of the XI Plan period. Accordingly, it shall develop a detailed project report (DPR) incorporating details of works needed to be completed in order to overcome deficiencies, cost estimates with justification in respect of each item and indicating the time frame for completion of all the works by the end of the XI Plan period. Among other details, the DPR shall delineate the measures the university proposes to mobilize resources on its own. The university shall submit the DPR, along with the particulars of the UGC Scheme, to the State Government concerned, for their approval/concurrence.
- 4.2 The university shall submit the DPR along with the approval/concurrence of the State Government to the UGC, together with basic information as per proforma at Annexure-I, proof of approval of all the developmental/engineering works, its undertaking and the undertaking from the State Government.

5. Nature of Assistance:

- 5.1 UGC assistance under the Scheme shall be limited to a maximum of Rs. Rs.5 crore per university for infrastructure development. The State Government concerned shall provide financial assistance towards the development of infrastructure and for meeting the recurring expenditure. All deficiencies shall be removed within one year of release of UGC grants.
- 5.2 The financial assistance under the Scheme shall be available only up to the end of the XI Plan period.
- 5.3 The university may use the UGC assistance for the construction/ extension of academic buildings, library, administrative block, staff quarters, hostels, guest house, canteen building, auditorium, health centre, sports facility and others, and not for any recurring expenditure including faculty positions. The fund may also be used for campus development including development of land, construction of fencing/ boundary wall, laying water, electricity, sewerage lines and their augmentation, construction and augmentation of water works, electricity sub-station/ transformers and construction of roads within the campus. The university shall follow the UGC Guidelines for the Construction of Buildings as part of the Guidelines for General Development Assistance to Central, Deemed and State Universities during XI Plan.

6. Procedure for Approval and Release of Grant:

- 6.1 An Expert Committee constituted by the UGC shall evaluate the DPR and assess the justification for seeking financial assistance from the Commission in respect of each item proposed by the university and shall submit its recommendations to the Commission regarding approval of the project and the quantum of grant accordingly. The decision of the Commission in this regard shall be final and binding.
- 6.2 If the project is approved, the UGC shall release 50% of the quantum of grant allocated by it as the first installment.
- 6.3 The second installment of 35% of the allocation shall be released only after the State Government concerned releases 50% of its committed share of non- recurring expenditure, and the university submits the Utilization Certificate in respect of the first installment of grant released by the Commission.
- 6.4 A Visiting Committee appointed by the Commission shall visit the university to make a mid-term review of the progress made and submit its recommendations, including those relating to the release of further installments, to the Commission.
- 6.5 The third installment of 10% of the allocation shall be released on the recommendations of the Visiting Committee and on receipt of the Utilization Certificate in respect of the second installment.
- 6.6 The final installment will be released on reimbursement basis after

completion documents of the entire project are submitted to the Commission.

7. Monitoring:

The UGC shall monitor the implementation of this Scheme by the state university concerned through the Visiting Committee. For this purpose the university shall submit Annual Progress Reports to the Commission.

8. Consequences of non-compliance:

If on the basis of the report(s) submitted by the Visiting Committee, or on the basis of any inspection caused by the UGC otherwise, of the university buildings, laboratories and other infrastructure, or arising out of the Annual Progress Reports submitted by the university, the UGC is convinced that:

- (a) the university has not fully or properly utilized the funds released to it under the Scheme, and/or
- (b) the university has not completed the project as scheduled, and/or
- (c) the university has failed to meet the Section 12B criteria by the end of the XI Plan period, and/or
- (d) the university has failed to comply with any of the conditions for financial assistance under the Scheme,

The UGC may take appropriate action which may include any one or a combination of the following:

- (a) withholding further installment(s), if any,
- (b) recovering the entire allocation or any part thereof,
- (c) declaring the university ineligible for consideration under Section 12B for a specified period,
- (d) declaring the university ineligible for financial support from the UGC under any other scheme for a specified period,
- (e) declaring that the university does not have the required quality of education and informing the stakeholders through public notice and by posting on the UGC website,
- (f) taking such other action as it may deem fit and proper.

UNIVERSITY GRANTS COMMISSION

Prescribed format for submitting the proposal under “One-time Catch-up Grant to Uncovered (Non-12B) State Universities funded by the respective State Governments”.

1. Name of the University : _____

2. Address of the University : _____

Phone No. _____ Fax No. _____

E-mail _____

3. Whether it comes under rural/
metropolitan/urban/semi-urban
category : _____

4. Date of establishment of the
University (with documentary proof): _____

5. Whether included under Section 2(f)
of the UGC Act : (Yes/No) _____

6. If yes, the date of inclusion
under Section 2(f) of the UGC Act : _____
(a copy of UGC approval letter be attached)

7. Details of students and teachers:

	Men	Percentage	Women	Percentage	Total
Student Enrolment					
Number of Teachers					

Please give the current status:

	SC	ST	OBC (non-creamy layer)	Minority	Gener al	Total
Student Enrolment						
Numbers of Teachers						

Please give the current status:

8. Department-wise status:

Name of Department	Posts sanctioned			In position on permanent basis		
	P	R	L	P	R	L

P: Professor

R: Reader

L: Lecturer

9. Physical infrastructure available

Campus area (in acres)

- (a) Main campus :
 (b) Satellite campus (if any) :
 (c) Present value : Rs. _____

Building

Sl. No.	Type of Building	Area (sq. ft.)	Year of construction	Present value (Rs.)
I.	Academic building			
II.	Administrative building			
III.	Library			
IV.	Hostel (boys, girls)			
V.	Staff Quarters			
VI.	Faculty Club			
VII.	Guest House			
VIII.	Canteen			
IX.	Auditorium			
X.	Gymnasium			
XI.	Others (please specify)			

10. Details of the items to be supported under the scheme (attach separate sheets giving justification along with approval of all the developmental/ engineering works): _____

(Signature of Registrar with seal)

- Please note that the UGC norms and conditions for buildings (infrastructural projects) will apply. All required documents are to be enclosed with the proposal in respect of building projects to be undertaken under this scheme.
- This Annexure may be accompanied by (i) DPR (ii) Approval/ Concurrence of the State Government. (iii) Undertaking by the State Government (iv) Undertaking by the applicant university, as given in the Guidelines.