

UNIVERSITY GRANTS COMMISSION
NEW DELHI 110002

Guidelines for implementing the Scheme for providing One-time Catch-up Grant to Uncovered (Non-12B) Colleges

1. Introduction:

There are nearly 8800 colleges, mainly undergraduate ones, affiliated to state universities which are technically under the purview of the UGC, but do not get development grants from the UGC as these colleges do not meet the minimum eligibility norms in terms of physical facilities and infrastructure. Therefore, these colleges are not included under Section 12B of the UGC Act. The colleges are caught in a vicious cycle:

Low infrastructure causing preclusion from development grants leading to non-development of infrastructure and consequent low quality of education.

In the larger and long-time interest of a balanced and equitable development of higher education in the country, these colleges need to be supported, so that these come up to a standard and eventually become eligible for regular UGC development grants which can lead to sustained growth.

Under the Eleventh Five Year Plan, the UGC has evolved a scheme to provide one-time catch-up grant to a large number of such colleges, especially in under-served areas, which have been thus far precluded from the UGC development grants on account of gaps in their infrastructure and quality. The scheme mainly aims to strengthen such colleges and enable them to fulfil the 12B criteria for regular UGC assistance by the end of the XI Plan period. The scheme shall be called the Scheme for providing One-time Catch-up Grant to Uncovered (Non-12B) Colleges.

The Scheme is essentially a motivational mechanism for colleges to uplift themselves in terms of infrastructure and quality so as to make them eligible for regular UGC development grants. With this in view, the UGC, conjointly with the State Government concerned, shall extend one-time catch-up financial support to these colleges for meeting the expenditure of non-recurring nature, leading to substantial improvement and modernisation in their infrastructure and facilities, provided that the total financial requirement for such exercise to fill up the gaps shall not exceed Rs. 2 crore. The total financial requirement shall be shared by the UGC, the State Government concerned and the Trust/Society (in case of Government –aided Private colleges), as indicated later in these Guidelines. It is also expected that these colleges shall adopt measures for mobilising resources internally.

2. Objectives:

The main objectives of the Scheme are –

- (i) To prioritize Government Colleges and Government-aided Private Colleges, which are found wanting in infrastructure and on other quality parameters and which have therefore remained uncovered by UGC development grants;
- (ii) to extend support to these colleges so that these are able to remove the infrastructure deficiencies and become eligible for UGC development grants by the end of the XI Plan period; and

- (iii) to enable these colleges to bridge quality gaps in their functioning, to become part of the mainstream, and to contribute to quality and excellence in higher education in the country.

3. Eligibility:

- 3.1 The applicant college shall be either a Government college or a Government-aided Private College established by a Trust or a Society, and included under Section 2(f) of the UGC Act, but has not thus far received UGC development grants under Section 12B.
- 3.2 The college shall, at the time of application, meet at least 50% of permanent affiliation criteria (academic and physical infrastructure, rounded to the nearest integer), as stipulated by the affiliating University. The total financial requirements to make it meet the Section 12B criteria fully shall not exceed Rs. 2 crore.
- 3.3 The college 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 college shall give an undertaking to complete all the works and satisfy the Section 12B criteria fully by the end of the XI Plan period.
- 3.5 The college shall already be receiving Plan and/or Non-Plan grant from the State and/or Central Government or State/ Central Government funded Bodies on a continuous basis.
- 3.6 The affiliating University has to be under Section 12B of the UGC Act. It shall submit an undertaking that the grant to the college shall be used exclusively to fill up the gaps to meet Section 12B requirements.
- 3.7 The State Government concerned as well as the Trust/Society (where applicable) shall submit an undertaking regarding cost-sharing as prescribed under these Guidelines.

4. Preparation of Proposal:

- 4.1 The college seeking assistance from the UGC under this Scheme 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 of the UGC Act 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 the 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 will also delineate the measures the college proposes to mobilise resources internally.

- 4.2 The college shall submit the DPR, along with the particulars of the UGC Scheme, to the State Government concerned through the affiliating University, for their approval/concurrence.

- 4.3 Subsequently, the college shall submit the DPR along with the approval/ concurrence of the affiliating University as well as that of the State Government, to the UGC.
- 4.4 The DPR may be submitted together with basic information as per the proforma at Annexure-I, proof of approval of all developmental/engineering works, the undertakings of the college itself, the affiliating University, the Trust/Society (where applicable) and the State Government.

5. Nature of Assistance:

- 5.1 The UGC assistance under the scheme shall be limited to a maximum of Rs.2.00 crore for infrastructure development. The State Government/Trust/Society shall also provide financial assistance to remove the deficiencies. All deficiencies shall be removed within one year of receipt of UGC grants.
- 5.2 The UGC assistance under the Scheme (50 % or 60 %, as the case may be) shall be limited to a maximum of Rs.1.00 crore (Rs.1.20 crore for the North East).
- 5.3 The financial assistance from the UGC under the Scheme shall be available only up to the end of the XI Plan period.
- 5.4 The college shall utilise the funds given under the Scheme only to construct/extend various types of buildings such as library, laboratory, classrooms, workshop shed, animal house, men's hostel, women's hostel, staff quarters, teachers' hostel (transit), seminar hall, committee room, counseling cell, auditorium, tutorial room, canteen building, non-resident students' centre, health centre, sports facility and others, and not for any recurring expenditure including faculty positions. The college shall follow the UGC Guidelines for the Construction of Buildings.

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 college and accordingly submit its recommendations to the Commission regarding approval of the project and the quantum of grant. 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 allocation approved by the Commission as the first instalment.
- 6.3 The second instalment of 35% of the allocation shall be released only after the State Government concerned releases 50% of its committed share towards non-recurring expenditure, and the college submits the Utilisation Certificate in respect of the first instalment of grant released by the UGC.
- 6.4 The third instalment of 10% of the allocation shall be released on receipt of the Utilisation Certificate in respect of the second installment.
- 6.5 The final instalment shall be released on reimbursement basis after completion documents of the building project are submitted to the UGC.

7. Monitoring:

The UGC shall monitor the implementation of this Scheme as a centrally sponsored programme through the affiliating University concerned. For this purpose the college shall submit Annual Progress Reports to the Commission through the affiliating University.

8. Consequences of non-compliance:

If on the basis of the Annual Progress Report(s), or on the basis of any inspection caused by the UGC otherwise, of the college buildings, laboratories and other infrastructure, the UGC is convinced that:

- a) the college has not fully or properly utilised the funds released to it under the Scheme, and/or
- b) the college has not completed the project as scheduled, and/or
- c) the college has failed to meet the Section 12B criteria by the end of the XI Plan period, and/or
- d) the college 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 instalment(s), if any,
- b) recovering the entire allocation or any part thereof,
- c) declaring the college ineligible for consideration under Section 12B for a specified period,
- d) declaring the college ineligible for financial support from the UGC under any other scheme for a specified period,
- e) declaring that the college 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

Proposal of the College for assistance from the University Grants
Commission under Catch-up Grant to Uncovered (Non-12B) Colleges

(Please read the Guidelines carefully before filling in the proposal form)

Section 1.

Basic information to determine the Eligibility of a College.

(Please indicate the enclosure number against the relevant column in all such cases where the required information has been given on a separate sheet of paper).

1. (a) Name of the College, with complete address, Pin Code and State _____ Tel. No. with STD code _____; Fax No. _____; Telex No. _____; e-mail Id _____
(b) Name of the District where the College is located:
(c) Name of the Trust/ Society:
2. College Bank Name, Address & Account Number (under which UGC funds are to be transacted):
3. University to which affiliated _____
4. (i) Date of establishment _____
(ii) Date of affiliation _____
(iii) If temporary, date up to which affiliation is granted _____
(iv) Whether included under Section 2(f) of the UGC Act: Yes/No
(v) If yes, date of inclusion under Section 2(f) of the UGC Act: _____
5. Nature of management: Government/Government –aided Private.
6. Location
(i) Whether situated in urban/ small town/ rural/ remote/ hill/ border/tribal area (Please attach certificate from BDO/ SDO/ SDM)
(ii) Whether located in district where minority population is 25% and above (Please attach certificate from BDO/ SDO/ SDM)

7. Whether the College is aided, i.e., receiving salary grant from the State/ Central Government (Yes/No) _____
8. Whether the College is receiving Plan or Non-Plan grant from the State/ Central Government or State/Central Government funded Bodies (Yes/No) _____

(Please give details in a separate sheet)

9. Courses for which affiliation has been granted by the University at undergraduate and postgraduate levels (indicate if field/laboratory work involved). Letter of affiliation may be attached.

Programme	Name of Course	Field/Laboratory	Intake Capacity	Students enrolled *	Number of
Undergraduate					
Postgraduate					
Total :					

* Give the current enrolment status.

10. (a) Total number of permanent teachers (or teachers appointed on regular basis in case of Government Colleges) and temporary/ ad-hoc (full-time) teachers, part-time/guest/visiting teachers.
 Permanent _____
 Temporary/ Ad-hoc (full-time) _____
 Part-time/Guest/Visiting _____
 Total : _____
- (b) Number of teachers from SC/ST and other categories required to be reserved and their percentage in the total number of teachers.

Sl. No.	Category	Number required to be reserved	Number in position	% of total
1.				
2.				
3.				
4.				

11. 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.)
	Construction/extension of building :			
1.	Classrooms			
2.	Laboratory			
3.	Library Building			
4.	Workshop shed			
5.	Animal House			
6.	Men's Hostel			
7.	Women's Hostel			
8.	Staff Quarters/ Teachers' Hostel			
9.	Seminar hall			
10.	Committee room			
11.	Counseling Cell			
12.	Auditorium			
13.	Tutorial room			
14.	Canteen Building			
15.	Non-resident Students' Centre			
16.	Health Centre			
17.	Gymnasium/ Sports facility			
18.	Others (specify)			

Section 2.

Proposal for financial assistance.

Item	Amount proposed by the College	Detailed Justification (Please attach enclosures)
Construction/extension of building : Classrooms Laboratory Library Building Workshop shed Animal House Men's Hostel Women's Hostel Staff Quarters/ Teachers' Hostel Seminar hall Committee room Counseling Cell Auditorium Tutorial room		

N.B. The College should give details and justification in support of each item on a separate sheet of paper. The college should indicate the total estimated cost including services viz. Electrification, Sanitary fittings, Architect's Fee, Contingency etc.

Certificate as required by the Commission.

It is certified that the _____ College is temporarily/
permanently affiliated to the University of _____.
The College undertakes to utilise the grant for the purpose for which it
is sanctioned and would furnish all necessary documents as required in
the conditions of grant laid down by the UGC.

Signature _____

Principal

Seal

Date _____

Signature _____

Registrar

Seal

Date _____

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 affiliating University (v) Undertaking by the Trust/ Society (where applicable), as spelt out in the Guidelines.

The proforma for Undertaking by the State Government is given at Annexure-II. The Undertaking by the Trust/ Society (where applicable) may follow the same pattern.

Annexure-II
UNDERTAKING BY THE STATE GOVERNMENT

I,, Government of
..... (Name) (Designation)*
....., duly authorized by
....., (Name of State)
..... (Authority)
do hereby commit and undertake on behalf of the Government of
.....,
..... (Name)
that 50%** of the expenditure towards the development of infrastructure for
.....
....., with reference to the UGC Scheme for
providing One-time (Name of College)
Catch-up Grant to Uncovered (Non-12B) Colleges, shall be borne by the State
Government,
namely,
(Name of the State Govt.)

Signature
Seal:
Date:

* Secretary or Officer of equivalent position in the State Government.
** 40% or 30%, as applicable, according to Section 5.1.