

INDIA

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**GUIDELINES FOR DEVELOPMENT
ASSISTANCE TO CENTRAL, DEEMED
AND STATE UNIVERSITIES DURING
THE IXTH PLAN**



**UNIVERSITY GRANTS COMMISSION
BAHADURSHAH ZAFAR MARG
NEW DELHI-110 002.**

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GUIDELINES FOR DEVELOPMENT ASSISTANCE TO CENTRAL, DEEMED AND STATE UNIVERTIES DURING THE IXTH PLAN

1. INTRODUCTION

The Ninth Five Year Plan is being launched in the 50th year of Independence when the country is in the process of major economic and technological changes based on the policy of liberalisation and privatisation and at the same time, emphasis in policies is being laid on rural development and the reduction of poverty in the IXth Plan of the country. In the changed scenario, the educated human resource, having the latest knowledge and skill will be in greater demand for participation in the social and economic development of the country. This, in turn, will build up pressure on the universities and colleges for providing trained human resource by introducing career oriented courses and ensuring the quality and relevance of education. Information technology is further contributing to this change and will have a major impact on the structure, management and mode of delivery of the education system. In spite of these advances and the desire for the country to be in the forefront in competition among the nations of the world, we have a majority of the country living in rural areas, a large percentage in poverty, with little access to services. Gender and social issues further exacerbate the problems.

If we accept that our national goal is sustainable development with equity and social justice in a pluralistic and democratic social order, the context of education and its relevance must be derived from it and, in turn, education must become a very important area of national planning and facilitated to promote these goals. To the extent that education has the mandate, as we move to the twenty first century, we need to re-examine its relations with the social and economic order and its relationship to the immediate community in which it operates. It has to provide access to assure equity, at the same time, develop a qualitative education in which the products of the system develop knowledge, skills, appropriate values and attitudes, not only for immediate tasks as adults but the ability for flexibility and innovation as the new century will usher in developments not known to us today. Life long education will have to become a reality to enable the people to meet the constantly emerging newer demands.

- 1.2 To be able to perform their roles and functions, higher education institutions will have to reflect on their own current structures and their ability to function with efficiency and effectiveness as autonomous organisations. The institutional structures, their organisation as well as their management, must be addressed if the IXth Plan is to move higher education into the new era required by the twenty-first century with globalisation taking place in all the spheres of life - be it the economy, culture or education.
- 1.3 No less is the importance of funding, but the public increasingly requires accountability, both from the public and private educational institutions. Accountability has to be in terms of cost

efficiency; an education which is relevant and qualitative and prepares young adults for the world of work, for responsibilities as spouses and parents, and also for social and civic responsibilities. They have to be trained to be citizens of a country capable of taking a leadership role in the international context. Social changes and transformation can only be brought about by people and not through technology alone which, itself, is a product of human endeavour. Hence, human resource development, at all levels, needs to be given priority and made a part of the nation's overall development strategy. Therefore, the priorities in the IXth Plan are :

1. Relevance and Quality of Education,
 2. Access and Equity,
 3. The University and Social Change :
 - a. Adult Continuing Education and Outreach,
 - b. Women's Studies,
 4. Management of Education,
 5. Finance.
- 1.4 In the IXth Plan, emphasis is being placed on reducing the disparities between urban/rural, forward/backward, by supporting weaker universities or universities located in backward areas. However, these supports have to be supplemented by the proper utilisation of scarce available resources in a planned manner and by maximising the co-operative use of resources.
- 1.5 There is also a need to be concerned about access and equity for groups which remain marginalised like women, SC/ST, backward and minority groups. Special attention needs to be given to them to bring about the desired social change and national integration.
- 1.6 In a number of universities, there is a serious gap in many respects, between their activities and the actual social and economic needs of the region and the country. A university does not use the information on the external demands of society and very often their autonomy isolates them from establishing closer links between the university and their contribution to the development of knowledge, skills and attitudes relevant to their immediate community or the society at large.
- 1.7 Majority of universities, although facing very serious problems in their development, have neither a reliable information base nor a mechanism for analysis. Many universities have a lack of information for planning and decision making process. Thus, major development and innovation are needed in the information system of most universities, if they have to provide an education which is relevant to students needs, the community, and the country for its development.
- 1.8 The Universities are facing acute financial crisis, as the financial resources available to them are not adequate to meet the escalating prices and increasing salaries of teaching and non-

teaching staff. University development is not possible without adequate finance. Ways and means have to be found for improving the financial position of the universities.

2. OBJECTIVES

- 2.1 The objective of development assistance is to improve the infrastructure and basic facilities in the university so as to achieve at least the threshold level for those who have not reached it, but also to develop excellence in those who are already ahead. Hence, development assistance has implications on the quality of education in the university and, therefore, this scheme is an important programme of the UGC for improving the standard of higher education in the country.
- 2.2 The UGC provides general development assistance to all eligible Central Universities, Deemed Universities, and State Universities which are included under section 2(f) and 12B of the UGC Act, within the framework of norms and broad outlays specified by the UGC.
- 2.3 The UGC has decided that general development assistance to the individual university would be available during the IXth Plan on the basis of the outlays determined and communicated to the universities. Two-thirds of the outlay would be released based on the procedure indicated in the subsequent paragraphs. **However, one-third of the outlay will be finally decided on the basis of performance of the individual university which would be evaluated on the basis of the performance appraisal proforma filled by the universities.** The outlays, determined and communicated to the university, shall be in operation for the period 1-4-1997 to 31-3-2002.
- 2.4 Development assistance may be utilised for the consolidation of existing infrastructure and for modernising teaching, research and administration as also for extension and field outreach activities to meet the changing needs of the universities to respond appropriately to the demands of the society.

3. NATURE OF ASSISTANCE

Under development assistance, the UGC will assist each university for the following items:-

- (i) Staff - Both teaching and technical staff. (This is only for appointments above the pay scale of Rs. 2200 - 4000).
- (ii) Equipment for laboratories, special office equipment (excluding furniture, fixtures and typewriters) and modern teaching aids, and for the repair of major equipment.
- (iii) Books and Journals
- (iv) Buildings - Construction of new buildings and major repairs/renovation of old buildings. The buildings may be academic building, administrative block, staff quarters, hostels, guest house, etc.
- (v) Campus development - for construction of roads, electricity, water and sewerage lines, plantation, and development of the land, etc.

- (iv) Health Centre - This should be in the nature of dispensary. It should have basic facilities but specialist facility should not be attempted in the centre.
 - (vii) Student amenities - such facility may include canteen, recreation room, counselling centres for student, etc.
 - (viii) Jubilee Grants (for completing 25, 50 75, 100 and 150 years).
 - (ix) Establishment of College Development Council.
 - (x) Programme Development.
- 3.2 Assistance for all these items from the UGC is on 100% basis but for buildings, the assistance is on a sharing basis of 75% from UGC with matching grant from University/State Government except for women's hostel and library building, where assistance is on 100% basis. For the centrally funded universities (Central and Deemed) assistance from the UGC for all building is on 100% basis. Among the deemed universities, assistance for buildings is 100% only for those which get 100% maintenance grant from the UGC. For other deemed universities, eligible for Plan grants, and State universities, 25% of the share has to be made available by them from their own resources or their sponsoring organisation, or State Government as the case may be, for all buildings except the women's hostel and library building for which the UGC gives 100% assistance. The Central Universities and deemed universities which receive 100% maintenance grant from the UGC are also eligible for share over the above 60% under the Special scheme for Women's Hostel and the remaining share of the Working Women's Hostel sanctioned directly by the Government of India. The UGC will provide 100% assistance for putting up the portion of the building completing it and making it operational, as per the approved plan in the case of the state and deemed universities in which matching grants to be provided by the State Government or sponsoring organisation. Hence the universities need not wait for the 25% share if it delays construction and leads to cost escalation.
- 3.3 The development assistance, approved and conveyed by the UGC to the universities as the outlay for the IXth Plan encompassing the time span 1-4-1997 to 31-3-2002, would include item Nos. (i) to (vii) Flexibility would be available to the Universities to reallocate the financial provision for different components, viz., equipments, books and journals, and building within the overall IXth Plan allocations with prior approval of the UGC. However, it is desirable to allocate proportionate amount to different components and all constituents of the university.
- 3.4 The VIIIth Plan grants, as payable after 31-3-1997 for the Universities for the following components, would be in addition to the IXth Plan outlay:
- (a) Remaining approved amount of on-going construction of buildings of the VIIIth Plan which remained incomplete on 31-3-1997.
 - (b) Eighth Plan Buildings for which designs / estimates and assurance for State Government

share (not applicable for centrally funded universities) where received in the UGC before 31-3-1997.

- (c) However, no claims for reimbursements on such on-going project will be accepted by the UGC or expenditure made after March, 1999, except in very exceptional circumstances.
- (d) Salary for the VIIIth Plan posts and other approved recurring expenditure upto 31-3-1999, or five years, whichever is earlier.

3.5 The assistance for items (viii) and (ix) and Counselling Centre for Students, would be available in addition to the IXth Plan outlay conveyed to the university.

3.6 ITEMS FOR WHICH ASSISTANCE IS AVAILABLE

3.6.1. Staff

(a) Teaching Staff

Under this item, sanction would be given for the creation of posts of Professors, Readers and Lecturers during the IXth Plan in various subject areas. However, during the Plan period, if found essential, it is permissible for the university to review and seek the approval of the UGC for giving up any post in one subject area and creating post(s) within the allocation in another subject area. UGC assistance for the posts created under this item would be available only for the plan period of 5 years and not beyond 31-3-2002 irrespective of the date of appointment. Therefore, in order to claim assistance from the UGC for the plan period, the university should ensure the creation of the post, and filling up of the post, in the first year of the IXth Plan period. However, it is necessary condition for the release of UGC assistance for any post that the university must furnish to the UGC a copy of the concurrence accorded by the State Government for taking over the liability for continuation of the post after the UGC assistance ceases. Such concurrence is not necessary for Central Universities and Deemed Universities for which the UGC gives 100% maintenance grant.

(b) Technical Posts

Assistance for creating technical posts, in the pay scale not below the scale of lecturer is available on the same conditions as for teaching posts, i.e., the assistance will be available for 5 years but not beyond 31-3-2002 and UGC assistance will be available only after the university is able to furnish to the UGC the concurrence of the State Government for maintaining the posts after the UGC assistance ceases.

3.6.2. Equipment

Under this item, assistance is available for procuring equipment in the library/laboratories, for teaching aids, and for office work. Assistance from the UGC for equipment need not mention the item-wise details of the equipment but, while seeking fresh assistance, utilisation certificate should be submitted by the University for the UGC grant used for procurement of equipment. It is advisable that a Committee

be constituted, involving beneficiary departments, to plan and purchase equipment. A logbook must be maintained for the utilisation of the equipment costing more than rupees five lakhs. The logbook must be made available for the mid-term or subsequent reviews. Equipment grant may also be used for the repairs of the existing equipment.

3.6.3. Books and Journals

Under this item, assistance from the UGC is available for procuring books and journals in the library. Assistance from the UGC for books and journals need not mention the individual books and journals but, while seeking fresh assistance, utilisation certificate should be submitted by the university for the UGC grant for procurement of books and journals. It is advisable to constitute a Library Committee for the procurement of books and journals. The library grant may be utilised equitably over the plan period to procure the latest publications. Care may be taken not to purchase "Second hand" or remainder books. The library grant can be utilised for acquiring INFLIBNET or other networking facility, if not acquired earlier, or any other facility. The amount up to 10 per cent under this item may be utilised for providing stacking facilities including furniture and equipment in the library.

3.6.4 Construction of Buildings : Rationale for the change of guidelines

The construction of buildings takes 2 to 4 years and many universities were not able to draw full assistance from the UGC in the earlier plans, as per the outlays, because they started the construction late in the plan period. Some of the delays are caused by various factors in the university and some by the very process for construction required by the UGC. To complete all the building projects within the plan period, it is necessary to start construction of the new buildings in the first or second year of the plan period. The construction can be completed during the plan period and the universities can draw full assistance as available to them within the outlays for the IXth Plan. It is our experience, thus far, that building projects not only spill over to the next plan but there is tremendous cost escalation due to the delays. It is to avoid cost escalation, that there is a change in the procedure required by the UGC.

Most of the proposals for buildings and campus development, submitted to the UGC, are incomplete and this also delays sanction. The requirements need to be simplified keeping in view the factors which cause these delays and streamline the activity.

New Guidelines

The following guidelines have been laid down for the construction of the building projects to simplify the procedure during the IXth Plan.

- A. Guidelines for the approval of various building projects in the Universities/deemed to be Universities**

3.6.4.1 Building Committee and its composition and functions

- a. Each University should have a Building Committee consisting of the Vice-Chancellor or his/her nominee not below the rank of a Professor, representative of the CPWD or PWD or State of Central Government Public Sector Undertaking not below the rank of Executive Engineer, representative of the Planning Board, Registrar, Finance Officer, and the representative from the user Department. The Building Committee may also associate the Head, Department of Civil Engineering, (where it exists), Head, the Department of Electrical Engineering (where it exists), or The Principal of the Engineering College in the University (where it exists). If there is no Engineering Department or College of the University, it may associate a person from the nearby University, the University Engineer, or the University Architect or a Government Architect. The Registrar will act as the Member Secretary of the Building Committee.
- b. The composition of the Building Committee should be intimated to the University Grants Commission immediately after it is constituted.
- c. The Building Committee should be responsible for finalizing the plans and estimates of the various building projects proposed to the Commission and for ensuring the completion of the buildings in accordance with the accepted plans and estimates and proper utilisation of the funds received from the University Grants Commission, the Government, and from the University out of its own resources.

3.6.4.2 Procedure for preparation of plans and estimates for various building projects.

The specification for various types of buildings, circulated to the universities by the UGC in 1986, have become outdated and these norms do not fulfill the requirement of different areas of the country. Hence, the following norms and procedures are suggested.

- a. The estimates of the building projects should conform to the norms laid down by the PWD, or CPWD or the local municipal authority, or similar construction agencies recognised by the Government. Provision for ramps and toilets on the ground floor may be made in the buildings, wherever necessary, to enable the use of the building for the differently abled (physically handicapped) persons.
- b. Provision for services, (internal water supply and sanitary installation, internal electrification and external services), contingency, Architect fees Structural Engineer/Consultant fees, may be made in the estimates as per the norms laid down by the PWD or CPWD or the Council of Architecture for the various types of buildings.
- c. While sending the proposal for the building project, the institution should give a certificate that the plans and estimates are in conformity with the norms as suggested by the Commission in para II(1) above.

- d. Where new construction is undertaken a certificate is required that the land on which construction is proposed to be done is under undisputed ownership and possession of the University. In such cases where the building is proposed to be constructed on an existing building, a certificate may be enclosed from the Structural Engineer/Consultant that the structure on which the construction is proposed to be done is structurally sound to bear the load of the proposed construction.
- e. The University may adopt one of the following alternatives, for undertaking the building projects approval by the Commission including their planning, architectural design, structural design, preparation of estimates and construction work, but it may be ensured that not more than two agencies are involved in the planning and execution of the work:-
- i) The work relating to planning, architectural design, structural design, preparation of estimates and execution of construction work may be assigned to the CPWD or the State PWD as the case may be in toto as deposit work.

OR

- ii) The architects may prepare the architectural design and the rest of the work, viz., structural design, preparation of estimates and execution of the work may be entrusted in the CPWD or the State PWD or a State or Central Public Sector Undertaking or the work may be undertaken at department level by the University.

OR

- iii) The work relating to planning, architectural design, structural design and preparation of estimates may be entrusted to a firm of architects, or other government or semi-government agencies, and the execution of work may be entrusted to the University department. The services of a firm of architects or other Government or Semi-Government agencies may be utilised for planning architectural design, structural design, preparation of estimates and supervision of the construction work.
- f. It may be noted that the Architect engaged by the University should be registered with the Council of Architecture.
- g. While preparing the estimates, the Architect/Engineer should see that these are based on the specifications and schedule of the rates of the CPWD or PWD. Estimates should indicate the relevant item number in the CPWD or PWD schedule on the basis of which the estimates have been prepared and the registered Architect/Engineer who prepared the estimates should certify that they are in accordance with the schedule of rates of the CPWD or PWD concerned.
- h. The plans and estimates for a construction project should be approved by the Building Committee of the institution and, in the meeting of the Building Committee at least two members with Engineering and Architectural background should invariably be present.

3.6.4.3 Procedure for approval by the UGC

- a. The university should send the following documents to the UGC with its proposals for the construction of the building, duly countersigned by the Vice Chancellor or Registrar or Finance Officer.
 - (i) A copy of detailed estimates duly signed by the Engineer/Architect and approved by the Building Committee.
 - (ii) A certificate from the Vice Chancellor or Registrar to the effect that the plan of the building has been approved by the Building Committee.
 - (iii) A copy of the Building Committee resolution indicating the covered area in sq. meters, cost per sq. meter, basis of estimates on the latest schedule of rates, period for the completion of the project and the likely date of starting the construction. (Building plans are not required).
 - (iv) Land ownership certificate
- b. On the basis of the above documents, the University Grants Commission will process the proposal and convey its approval or otherwise, to the institution.
- c. On the receipt of the approval from the University Grants Commission, the University may invite tenders on item-rate basis. The tender information may be sent to the Commission within six month of the award of the work for record and it should contain the following:
 - a) Value of the estimates put to tender
 - b) Number of tenders received
 - c) Value of the lowest tender
 - d) Value of the tender accepted and
 - e) Specific reasons if the lowest tender has not been accepted

This information is not required in case the construction work is undertaken by the CPWD or PWD as deposit work. The detailed estimates and the acceptance of tender may be finalised with the approval of the Building Committee in the meeting where at least two representatives with Engineering background should invariably be present. This should also be certified by the Head of the concerned institution.

- d The final instalment, equal to 10% of the approved grant as share of the University Grants Commission will be released only after :
 - (i) The building has been completed in all respects checked and approved.
 - (ii) On receipt of an exact statement of final cost

- (iii) A completion certificate in the required format duly signed by the agency which prepared the plans and estimates and supervised the construction work, or the CPWD or PWD or Public Sector undertakings, as the case may be, duly countersigned by the Vice Chancellor or Registrar or Finance Officer. (These rules apply also to the deposit work of the CPWD or PWD)

e. Format of the Certificate

Certified that the building approved by the Commission has been constructed in accordance with the specifications and estimates accepted by the University Grants Commission on the design and cost recommendations of the Building Committee of the University, and found completed. The site has also been duly cleared.

The above certificate should also indicate the total completion cost of the building. This would be subject to adjustment of the funds already received, if over the actual costs, if any, on receipt of statement of accounts duly audited indicating details of expenditure on each item, viz, civil cost, services, architect fees, etc. along with the utilisation certificate for the total expenditure from the statutory auditors of the University in the prescribed form.

- f. The University must complete the approved building in accordance with the plans accepted by the Building Committee and within the period stipulated in the estimates. In case the expenditure on the completion of the building exceeds the amount approved by the Commission, the excess expenditure will have to be met by the University from their own resources, or re-appropriation from item(s) approved to the University by the Commission, or as first charge on the next plan. Increases in costs will be absorbed only in the above manner.
- g. In case the construction of the project is not started within the stipulated period, or within six months from the date of approval by the UGC, whichever is later, the matter may again be placed before the Building Committee for extension.

3.6.4.4 Procedure for release of funds by the University Grants Commission

- a. On sanction of the proposal by the UGC as above, the UGC will release funds as per the schedule mentioned below :
 - (i) 50% while sanctioning the construction.
 - (ii) 40% when 85% of the first instalment is utilized and progress report of the expenditure submitted.
 - (iii) Remaining 10% when the revised estimates and the completion documents have been received. Completion documents would mean receiving the following documents.
 - (a) Revised estimates reflecting the final cost.
 - (b) Utilization certificate for the total cost.

- (c) Assets certificate.
- (d) Completion certificate signed by the Vice Chancellor or Registrar or Finance Officer and University Engineer and/or Architect.

3.6.5 Campus Development

Campus development includes Development of land construction of fencing/boundary wall, laying of water, electricity, sewerage lines and their augmentation, construction and augmentation of water works, electricity sub-station/transformers, construction of roads, plantation and landscaping etc. Any other item, which the university can justify on the basis of expert opinion, can also be considered under campus development. UGC assistance would be available for such work of campus development. However, any individual item of campus development would be considered by the UGC and sanctioned only on the basis of expert opinion and a copy of the estimates (itemwise)

The rules for building projects would also be applicable for Campus Development Projects where construction is involved such as boundary wall.

3.6.6. Health Centre

The assistance under this item is available for construction/building for the Health Centre and for purchase of non-expendable equipment. No assistance for any post is permissible under this item, and the university has to make arrangements under maintenance grant or from the user or some other source, for purchase of medicines and expendable equipment. The procedure for sanction and disbursement of assistance under this item would be the same as for items under campus development.

3.6.7. Student Amenities

- a) Student amenities include constructing and equipping (including furniture and utensils) of canteen as well as recreation rooms and outdoor recreation amenities or any other amenity as per the felt needs of the students on the campus. The procedure for sanction and for disbursement of UGC assistance under this item, would be the same as for items under the construction of building or campus development.
- b) Counsellors for Educational, Vocational and Personal Counselling in the Universities/Colleges.

With changes taking place, students find it difficult to decide the course of studies they should take, any various options available Moreover, with increased academic pressures and a competitive environment, increased social complexities affecting family relationships, and newly emerging relationship in an educational institutions which is normal at that age, it is very necessary to establish student Counselling Centres with a variety of functions:

- i. Educational and vocational counsellors : Their role will be to assist students in selecting courses, referring them for aptitude test or administering such tests, if trained for them, developing information on vocational courses and job opportunity. and running a Placement Cell with the help of students and other faculty members.

- ii. Personal Counsellors : Their role would be to provide individual and group counselling for problems, and undertake such activities as organising personality development workshop, programmes for family life education, raising awareness on issues such as drugs and AIDS and such other activities for the social and personal development of the student community. Universities having affiliated college will be provided Rs. 2.00 lakhs per annum while universities and deemed universities having no affiliated colleges will be provided Rs. 1 lakh per annum which they can utilise for hiring services of full-time or part-time counsellors. Space and infrastructure is to be provided by the university concerned. After five years, the salaries will have to be borne on the maintenance budgets of the universities for which concurrence of the funding body will be required.

3.6.8. Jubilee Grants

Universities which are completing anniversaries of 25, 50, 75, 100 and 150 years will be assisted for undertaking any activity requiring capital expenditure such as the renovation of their old buildings and construction of new buildings. The amount available will be as follows :

Quantum of Assistance

Sl. No.	Nature of Celebration	Level of Assistance
		(Rupees in lakhs)
1.	To celebrate 150 years	100.00
2.	To celebrate Centenary year (100 years)	75.00
3.	To celebrate Plantinum Jubilee (75 years)	50.00
4.	To celebrate Golden Jubilee (50 years)	25.00
5.	Silver Jubilee (25 years)	10.00

The Universities which are completing their 25, 50, 75, 100 and 150 years during the IXth Plan (i.e. 1st April, 1997 to 31st March, 2002), and are desirous of availing of the grant under the scheme, are required to submit a proposal to UGC with proof of the foundation day of the institution and the completion of their existence for the duration for which assistance is sought, along with the details

of plans and estimates for renovation/construction of buildings or other activities of a capital nature desired. The universities, which are eligible to receive jubilee grants during the IXth Plan period, may submit their proposal, along with the development proposal, for which additional grants over and above development grants outlay, will be made available. The date of establishment of deemed to be universities and date of passing the act in case of state universities be taken for this purpose. No grants will be given retrospectively.

3.6.9. College Development Council (CDC)

The objective of the College Development Council is to create a focal point in the university where the problems of the affiliated colleges can be looked into sympathetically and expeditiously. The UGC provides assistance for the college Development Council consisting of (a) Director - one (Professor or Reader grade), (b) One technical post at Lecturer's level, (c) Academic Assistant at the level of Lecturer and (d) Computer Assistant.

The College Development Council may consist of the Vice-Chancellor, Co-ordinator or Director or Dean of the Council, a few senior teachers of the University Teaching Departments, particularly those who have taken up COSIST/SAP etc., some senior principals of affiliated colleges, and a representative of the State Government. The total membership of the Council should not exceed 20. The Council should meet at least twice in an academic year.

Assistance is available from the UGC for the duration of Plan period from the date the first post is filled up after UGC sanction is provided and the State Govt. gives concurrence to take over the liability of such staff from April 1, 2002.

For CDC, the position of Director has to be filled up on a tenure basis for 5 years at a time. He/she should be full time. The Selection should be open and the committee should include one UGC nominee. It is a necessary condition that no person can occupy the post beyond the age of 60 years. In order to make these positions effective and to enable them to be conversant with the University policies and action, the university should provide in their relevant statutes/ordinances that Directors of the CDC should be members of the Board of Studies, Academic Council and of the Planning Board/ Forum.

3.6.10. Programme Development

The university can also incur expenditure on Programme Development which will include expenditure on various programmes like continuing education, introduction of the applied component in the courses, better management of institutions, career oriented courses, faculty development, short-term courses, publication, etc., which do not directly fall into the laid down schemes of the UGC. In addition, assistance will also be available under this head for "Quality Assurance" - to reimburse the National Assessment and Accreditation Council to have their universities/departments assessed by the NAAC for accreditation. For this purpose, the UGC will retain the amount required for payment to NAAC from the total grant and release the same to NAAC when the activity is undertaken by the University.

3.6.11 The list of schemes for which separate grants are available on a selective basis is given at Annexure-I.

4. IXTH PLAN DEVELOPMENT PROPOSAL

- 4.1 The universities, which are eligible to receive development assistance, will prepare proposals within the outlay indicated to individual university in two parts. In the first part, proposals within 2/3rd of the total outlay are included, as the remaining 1/3rd of the total outlay is based in the performance of the individual university. The proposals must be submitted within the allocated amount.
- 4.2 The IXth Plan development proposals may be formulated with the help of the Planning Board. It is advisable to involve all sections of the university community in the planning process. The proposals may be prepared keeping in view the IXth Plan approach paper and the guidelines. The proposal may be submitted as per the outline given in Annexure-II. The proposals should indicate the amount of first charge on the IXth Plan due to non-concurrence of the State Government to take over recurring liability which ought to have been taken over by the State Government, such as for USIC, Women's Studies and Adult Education.

5. PROCEDURE FOR DISCUSSION WITH THE UNIVERSITIES AND RELEASE OF GRANT

Procedure for discussion with the Universities :

- 5.1 The Proposals, submitted by the universities, will be discussed with the Vice-Chancellor and up to four or five others, as decided by the Vice Chancellor. The meeting will be held in the UGC office or State Capital (where possible in the case of State Universities) by a Committee which may be chaired, either by the Chairperson or Vice-chairperson, or Commission Member, or Secretary, along with the Convenor of the Visiting Committee and Bureau Heads/Senior UGC Officers, one or two members of the Visiting Committee, if needed, and Chairperson or Vice-Chairperson of the State Council of Higher Education wherever it exists. Participation of State Government representatives at the level of Education Secretary and Finance Secretary would be very useful for the State Universities. While the UGC will be writing to the Chief Secretary, the universities may also request the Education Secretary and Finance Secretary to participate in the meetings. In case State Governments show willingness to participate, discussion meeting will be held in the state Capital. All the universities in the same state will be invited as per the schedule, except those which do not submit their plan by the due date.

RELEASE OF GRANT

- 5.2 In order to provide regular flow of UGC funds to universities, it has been decided to simplify the existing procedure of releasing funds. After the proposal of the university is finalised the grants will be released in 20 equal quarterly instalments.

5.3 FIRST YEAR

The first three instalments would be released along with the allocation letter in September-October, 1997.

5.4

Universities are required to submit their unaudited expenditure statement for the 8th Plan grant latest by 15th November, 1997. The 4th instalment would be sanctioned in the month of January-February, 1998 only if the statement of expenditure is received by the UGC by the specified date. Universities are required to submit the audited statement of 8th Plan grant latest by 31st March, 1998.

In case the 8th Plan audited accounts are not submitted as per the conditions specified in sanction letter latest by 31st March, 1998 the subsequent 5th and 6th instalments for the year 1998-99 will not be released.

5.5 SUBSEQUENT YEARS

The first and second instalments would be released in the month of October-November on receipt of un-audited accounts and progress report of the previous year by 30th September. The third and fourth Instalment would be released in the month of January-February on receipt of audited accounts by 31st December. A copy of the format of the Progress Report is enclosed as Annexure III. The grant for the year would lapse if accounts are not received in time.

5.6 MID-TERM REVIEW

A mid-term Review Committee, consisting of 2 or 3 members, may be sent to all the universities in the year 1999-2000, to evaluate the performance.

**SCHEMES OTHER THAN DEVELOPMENT ASSISTANCE FOR UNIVERSITIES
DURING THE IX PLAN**

1. Career orientation of courses
 - a. Vocationalization of courses
 - b. New courses to be introduced by university
 - c. Restructuring of present courses
 - d. Community colleges
2. Incentive schemes for implementing reforms.
 - a. Examination Reforms
 - b. Implementation of CDC reports
 - c. Integration of N.S.S. Into courses
 - d. Implementation of Academic Calendar
3. Emerging areas and innovative programmes
4. Physical Education and sports
 - a. Creation of Sports infrastructure
 - b. Promotion of adventure sports
 - c. promotion of Yoga Education and practice
 - d. Three year degree course in B. Ed., Health Education & Sports.
5. Academic Staff Colleges
6. Special studies
 - a. Buddhist studies
 - b. Gandhian studies
 - c. Nehru studies
 - d. Ambedkar studies
7. Production of university level books
8. Special Assistance Programme in Humanities & Social Sciences
 - a. D.R.S.
 - b. D.S.A.
 - c. C.A.S.

9. Major Research Projects
(In Humanities & Social Sciences)
10. Minor Research Projects
(In Humanities & Social Sciences)
11. Unassigned grants
12. Seminar and Conferences
13. Research Awards
 - a. J.R.F. (New)
 - b. Career Awards
 - c. National Fellows
 - d. Emeritus Fellows
14. Utilization of services of Retired
Teacher/Educational Administrators.
15. Cultural Exchange Programme
 - a. Area studies
 - b. Exchange programme
16. Networking of Universities
17. Modernization of teaching
18. Teacher Fellowship
19. Schemes for Women
 - a. Woman's Hostel
 - b. Day Care Centre
 - c. Infrastructure for women
students/Teachers
 - d. Scholarship for Women In
Professional courses
 - e. Women Study Centres
 - f. Gender sensitivity
programme in universities
and colleges
 - g. Data base on Women
20. Schemes for SC/STs
 - a. SC/ST Cells
 - b. Remedial Coaching
 - c. Coaching for NET
 - d. Coaching class for
entry in service

21. Facilities for dis-advantaged group and differently abled persons
 - a. Remedial Coaching classes for dis-advantaged minority groups.
 - b. Facilities for defferently abled persons.
 - c. Visiting teachers from Kashmir/N.E. Region
 22. Adult and Continuing Education
 23. Population Education
UNFPA-UGC Project
 24. Bharat Bhawan Hostel complexes
 25. Correspondence courses Institutes
 26. Special Scheme for Univ./Colleges in North-Eastern Region and Kashmir
 27. Resource Mobilisation (25% U.G.C. share)
 28. Training of Administrators
 29. COSIST
 30. SAP in Science
 - a. D.R.S. in Science
 - b. D.S.A. in Science
 - c. C.A.S. in Science
 31. Major Research Projects in Science
 32. Removal of obsoloscence
 33. Science teachers training
 34. Emerging Areas (Special)
 35. USIC
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**UNIVERSITY GRANTS COMMISSION
IXTH PLAN**

OUTLINE FOR IXTH PLAN SUBMISSIONS BY THE UNIVERSITIES

Name of the University

Name of the Vice-Chancellor

Name of the Registrar

Name of person in-charge of planning if other than Vice-Chancellor or Registrar

Address

Tel. No.

Fax No.

E. Mail :

A. UNIVERSITY

1. Brief introduction of the university
 - (a) Overall areas of academic strength of the University.
 - (b) Academic areas which need strengthening.
 - II. Focus and thrust in the VIIIth Plan.
 - III. Projects completed in the VIIIth Plan.
 - IV. Projects not completed and reasons.
 - V. Focus and thrust in the IXth Plan.
 - VI. Proposals for the IXth Plan and justification or linkages between the thrusts areas of the UGC in the IXth Plan and the Policy Thrust of the University.
1. Academic development including career oriented courses, emerging areas and interdisciplinary programmes (e.g. restructuring of courses - new courses, new grouping of courses, options)
2. Field experience/hands-on experience built into the academic programmes for students.

3. Development of areas of excellence.
4. Plans for the contribution of the University to National Development including Extension Education and Field Action Programmes.
5. (a) Short-term Courses and Continuing Education Programmes proposed by the university.
(b) Proposals for short term courses/continuing education for upgradation/development of the faculty as well as administrative staff.
6. Proposals for development of the management structure of the universities.
 - The proposals for automation and modernisation of university management.
 - Feasibility for implementation
 - Time-frame for implementation
 - Human resource requirement
 - Cost estimate
7. Development of teaching materials, audio-visuals.
8. Publications
9. Library
10. Equipment
 - Repair of old equipment
 - Acquisition of new equipment
 - Annual Maintenance charges
 - Number of students likely to be benefitted
 - Research projects/performance likely to benefit
 - Human resource requirements for utilisation or equipment, if any.
 - Availability of equipment within the country or outside the country.
 - Method of cost-recovery for replacement or annual maintenance charges.
 - Examination Reforms
11. (a) Department of Adult/Continuing Education, Extension and Field Outreach
(b) Population Education
(c) Women's Studies
(d) Curriculum Development Centre
(e) Area studies
(f) Any other.

- | | | | |
|---|---------------|----------|--|
| 12. Physical Education and Sports | | | |
| 13. Quality Assurance Cell | | | |
| 14. Application to the National Assessment and Accreditation Council | | | |
| 15. New Positions requested | | | |
| 16. Construction requested | | | |
| 17. Any other requests | | | |
| 18. Summary of items and amounts requested | | | |
| VII. Feasibility of Implementation of the proposals during the period. | | | |
| VIII State Government rules and procedures for approval/continuation of the staff beyond the plan period. | | | |
| IX. Present fee structure and proposed, if any. | | | |
| 1. Course | Fee Structure | | |
| | Present | proposed | |
| 2. Other Fees | | | |
| 3. Hostels | | | |
| 4. Mess | | | |
| 5. Any other | | | |
| B. Affiliated Colleges | | | |
| 1. Total number of colleges. | | | |
| 2. Total number of autonomous colleges. | | | |
| 3. Total number of students | | | |
| (a) Undergraduate | | | |
| (b) Master's | | | |
| (c) Doctoral | | | |
| 4. College Development Council | | | |
| 5. Plans for extension of the number of autonomous colleges. | | | |
| 6. Development activities undertaken by the university for colleges | | | |
| (a) Programmes for Principals | | | |
| (b) Programmes for Teachers | | | |
| (c) Any other. | | | |

PROGRESS REPORT TO BE SUBMITTED FOR EACH QUARTER

Year.....Quarter NoPeriod.....

Item	Grant Received	Grant Utilised	Unspent Balance	Remarks & justification for balance
1. Buildings				
2. Staff				
3. Equipment				
4. Books and Journals				
5. Campus Dev.				
6. Health Centres				
7. Student Amenities				
8. Counselling				
9. Jubilee Grants				
10. C.D.C.				
11. Any other				

It is certified that all of the above grants have been utilised as per the terms and conditions of the grant in conformity with the IXth plan guidelines.

Auditor/CA

LIBRARY & DOCUMENTATION CENTRE

National Institute of Educational
Planning and Administration.17-B, Sri Aurobindo Marg,
New Delhi-110016

DOC. No

Date

Finance Officer

Registrar

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NIEPA DC



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