

GUIDELINES FOR DEVELOPMENT ASSISTANCE TO COLLEGES DURING THE XTH PLAN PERIOD (2002-2007) 2003

1. Introduction

1. Development of colleges, which are responsible in a major way for undergraduate education and to a great extent even for post-graduate education is an important area in higher education from the point of view of maintenance of proper standards, ensuring optimum utilization of facilities, promoting innovation and change, linking education to emerging career patterns, viability and equalisation of educational opportunities for weaker sections of society, particularly the scheduled castes/scheduled tribes, and those belonging to the educationally backward areas.
2. The financial resources for higher education during the 10th Plan being limited, the developmental needs of the colleges will have to be carefully identified so that the resources are mainly utilised for such programmes which can make an appreciable impact on the improvement of standards through modernisation and rationalisation as well as the diversification of undergraduate courses in the Humanities and Social Sciences, Sciences, Commerce etc. in the colleges, especially to relate them to career opportunities
3. The first degree level is likely to be terminal for a majority of the students taking higher education. It is, therefore, necessary that the degree courses offered should be adequately strengthened and related to career opportunities to make them worthwhile to the students by developing appropriate skills which are significant, not only to the students, but also to the local, regional and national needs and to resources which would improve the employment opportunities for the students. With this end in view, the courses should be restructured to include basic as well emerging interdisciplinary and application-oriented areas, and.
4. Sufficient freedom should be allowed to the students to choose the courses best suited to their interest and capability.
5. A large number of non-viable colleges with low enrolment and inadequate facilities have come into existence in the past. Establishment of such non-viable colleges should be discouraged and instead the emphasis should be on the expansion and consolidation of facilities in the existing institutions.

In exceptional cases, new colleges could be set up in educationally backward areas where facilities for higher education do not exist. State Government must try to bring such non-viable colleges into one conglomeration so that their developmental needs can be addressed by the Commission

6. The Commission's policy, therefore, for development of undergraduate and post-graduate education in the colleges, during the 10th Plan period will have four main aims, viz.,
 - a. Improvement of standards and quality of education,
 - b. Removal of social disparities and regional imbalances in higher educational facilities,
 - c. Restructuring of courses including developing career thrust in the courses and
 - d. Grant of autonomous status to qualifying colleges

The thrusts of the Tenth Plan are documented in the X Plan document of University Grants Commission

2. Objectives

- a. To provide grants to the colleges for strengthening basic infrastructure and meet their basic needs like Books & Journals including Book Banks, Scientific Equipment, staff, campus development, teaching aids, which are needed for proper instruction.
- b. To provide assistance for extension/ renovation of existing Buildings and construction of new Buildings.
- c. To provide assistance to the Colleges catering to the needs of the Scheduled Castes and Scheduled Tribe Students.
- d. Development of Colleges situated in backward/rural/border/Hill areas with a view to removing disparities and regional imbalances.
- e. To provide special remedial coaching to academically poor performers so that they graduate as confident men and women.
- f. To encourage outreach activities, adult and continuing education in the neighbouring areas so that the society as a whole, where the colleges is located, is benefited The assistance under this scheme will be provided to only those colleges which have been declared eligible to receive Central assistance under Section 12 B of the UGC Act, 1956 and fulfill the eligibility conditions as given hereunder.

3. Eligibility Conditions

A. Assistance for Development of Undergraduate Education

- a. The Commission will provide assistance for development of undergraduate education only to such colleges which fulfill the conditions as indicated below:-
- b. The College (except single faculty colleges) must have at least four teaching departments with a minimum number of permanent teachers (or teachers appointed on regular basis in case of Government colleges) excluding the Principal, the Physical Training Instructor/Director of Physical Education and the Librarian, as indicated below for various categories of colleges
- c. Except single faculty colleges, the College must have at least 250 students in degree classes and above (beyond the +2 stage), relaxable to 100 in the case of women's colleges, colleges located in backward/rural/tribal/border areas and the colleges catering to the needs of Scheduled Caste and Scheduled Tribe students, where at least 50% are belonging to this category, or, those specifically set up by the mission of the sponsoring organisation, where their number is not less than 50% of the total enrollment. The ceiling of assistance for the colleges will be as follows:-

I. General Category

a. Arts Colleges/Commerce Colleges

The college should have a minimum of 7 (seven) permanent teachers (or teachers appointed on regular basis in case of Government colleges), at the lowest end of the scale with a progressive increase in staff as the number of students and class divisions increase.

S.No	Student Enrolment	Ceiling of Assistance
1.	250 to 500	Rs. 9 lakhs
2.	501 to 1000	Rs. 11 lakhs
3.	1001 to 2000	Rs. 12 lakhs
4.	2001 to 3000	Rs. 14 lakhs

5.	3001 and above	Rs. 15 lakhs
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b. Science Colleges/Multifaculty Colleges

The College should have a minimum of 10 (ten) permanent teachers (or teachers appointed on regular basis in case of Government colleges) at the lowest end of the scale with a progressive increase in staff as the number of students and class divisions increase.

S.No	Student Enrolment	Ceiling of Assistance
1.	250 to 500	Rs.12 lakhs
2.	501 to 1000	Rs. 14 lakhs
3.	1001 to 2000	Rs. 15 lakhs
4.	2001 to 3000	Rs. 16 lakhs
5.	3001 and above	Rs. 18 lakhs

II. Women's Colleges, Colleges located in backward/rural/tribal/border/Hill areas and colleges catering to the needs of SC/ST students.

a. Arts Colleges/Commerce Colleges

The college should have a minimum of 5 (five) permanent teachers (or teachers appointed on regular basis in case of Government colleges) at the lowest end of the scale with a progressive increase in staff as the number of students and class divisions increase.

S.No	Student Enrolment	Ceiling of Assistance
1.	100 to 249	Rs. 9 lakhs
2.	250 to 500	Rs. 11 lakhs

3.	501 to 1000	Rs. 12 lakhs
4.	1001 to 2000	Rs. 14 lakhs
5.	2001 to 3000	Rs. 15 lakhs
6.	3001 and above	Rs. 17 lakhs

b. Science Colleges/Multifaculty Colleges

The College should have a minimum of 6 (six) permanent teachers (or teachers appointed on regular basis in case of Government colleges) at the lowest end of the scale with a progressive increase in staff as the number of students and class divisions increase.

.No	Student Enrolment	Ceiling of Assistance
1.	100 to 249	Rs. 12 lakhs
2.	250 to 500	Rs. 14 lakhs
3.	501 to 1000	Rs. 15 lakhs
4.	1001 to 2000	Rs. 16 lakhs
5.	2001 to 3000	Rs. 18 lakhs
6.	3001 and above	Rs. 20 lakhs

III. Colleges with Professional Courses undergraduate which include field work.

If a college under any of the above categories is running professional undergraduate courses involving field work, it will receive Rs.1 lakh for each of these professional courses in addition to its entitlement as indicated above. This, however, will not apply to self-financing courses.

- IV. Single Faculty Colleges offering three year undergraduate courses like Law, Physical Education, Social Work, Management, Home Science, Music and Dance and Fine Arts, Sanskrit and Teacher Education.

The College should have a minimum of 5 (five) permanent teachers (or teachers appointed on regular basis in case of Government colleges), at the lowest end of the scale with a progressive increase in staff as the number of students and class divisions increase and the minimum number of students should not be less than 60.

S.No	Student Enrolment	Ceiling of Assistance
1.	60 to 79	Rs. 5 lakhs
2.	80 to 99	Rs. 6 lakhs
3.	100 to 129	Rs. 7 lakhs
4.	130 to 159	Rs. 9 lakhs
5.	160 to 199	Rs. 10 lakhs
6.	200 to 399	Rs. 12 lakhs
7.	400 to 599	Rs. 14 lakhs
8.	400 to 599	Rs. 15 lakhs

B. Assistance for Development of Postgraduate Education (Arts, Science, Commerce, Single Faculty and Multifaculty Colleges).

1. The College which has post-graduate departments, and which satisfy the following conditions, will be considered for assistance for the development of post-graduate education:
 - a. A department coming under Humanities and Social Science, including Commerce (without field work), Mathematics, Statistics, Geography and Law must have at least 4 (four) teachers including 2(two) teachers holding the M.Phil/Ph.D. Degree. A department coming under Science, Commerce (with field work) and Professional subjects like

Social Work, Physical Education, Management, Home Science, Music and Dance and Fine Arts etc. must have at least 6(six) teachers, including 3(three) teachers holding the M.Phil/Ph.D. Degree.

- b. The department must subscribe to at least 4(four) standard academic journals in the subject.
 - c. The department should have at least one major research project or three minor research projects (funded by the UGC or some other agency) undertaken by faculty members or at least six publications (or papers accepted for publication) by faculty members in some standard journals during the last three years preceding the date of submission of the proposals, or published a professional journal.
 - d. The department must be running both first year and second year of the post-graduate course and the minimum strength of full-time students should be twenty.
2. The ceiling of assistance for various Post-graduate departments would be as under:-

S.No.	Post-graduate departments	Ceiling of Assistance
1.	Department imparting instruction in subjects without practicals/field work.	Rs. 2.5 lakh for each department
2.	Department imparting instruction in subjects with practicals/field work.	Rs. 4 lakh for each department

C. Preparation of Development Proposal by the Colleges.

Types of grant to be sought

The College will formulate composite proposal for development during the 10th Plan period for improving the standards of teaching and research at various levels. For this purpose, the College may include proposal for:

- a. Books and journals including setting up of book bank and/or strengthening of the existing books banks in order to augment the facilities and improve reading habits among the students. **It is advisable to constitute a Library Committee for the procurements of books and journals. The library grant can 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 amount up to 10% under this item may be utilised for stacking purposes.

- b.** Equipment which include laboratory equipment, fax, audio-visual equipment and teaching aids, computer, generator, and reprographic facilities, networking and internet connection. (It will not include typewriters, furniture or fixtures). It is advisable to constitute a Committee involving beneficiary department to plan and purchase equipment. Any equipment other than the mentioned in this para needs adequate justification and may be procured only after getting specific approval of the Commission for the purpose. The amount up to 5% under this item may be utilised for storage purpose.
- c.** Field work.
- d.** Remedial courses for weaker students including those of SC/ST categories with the help of senior students and part-time staff.
- e.** Extension activities for the benefit of the weaker sections of society in the form of specific programmes.
- f.** Examination reform with a view to improving the reliability, validity and objectivity of evaluation and bringing about a closer integration of teaching, learning and evaluation.
- g.** Educational Innovation.
- h.** Participation of teachers in academic conferences/workshops/ seminars in India (PTAC). (Rs.10,000/- for every permanent teacher or teacher appointed on regular basis in case of a Government college, subject to a maximum of Rs.50,000/-).
- i.** Construction/extension/renovation of various types of building such as library, laboratory, classrooms, workshop shed, animal house, men's hostel, women's hostel, staff quarters, teachers hostel (transit/temporary), canteen building, non-resident student centre building and health centre building. (An evening college will receive assistance for building projects provided it has land of its own and does not function in a day college building) and
- j.** Improvement of facilities in the existing hostels.

Planning Board

The College should set up a Planning Board to formulate its development proposal after identifying its needs and deciding on its priorities. It is not necessary that a college should seek assistance for all the items indicated above.

Basis of Grant

- I.** The pattern of assistance for all approved items, will be 100% within the ceiling of assistance/allocation made for each item.
- II.** Assistance from the Commission for all the building projects will, **in no case, exceed 50% of the total allocation.**
- III.** While making a proposal for the construction of the hostel for students, the College should keep in view the need for reserving seats for students belonging to the Scheduled Caste and Scheduled Tribe, 15% and 7.5% respectively, in centrally supported institutions, or the required percentage at the State level, which could be given to other students only if the requisite number of SC/ST students is not available.
- IV.** The 10th Plan proposal should give details of the proposal construction of a particular building or extension of an existing building indicating the extent to which the present building is being utilised. The proposal for construction/extension/renovation of building during the 10th Plan, once accepted, may be followed by sketch plans and detailed estimated cost indicating the period required for completion of the building. The College need not send plans and detailed estimates for various building projects at the time of sending the initial proposal. Certified detailed estimates may be prepared, as per the guidelines, only after the proposal is accepted "in principle" by the Commission. (Guidelines are issued separately). **Proposals for construction/ extension/renovation of building during the last year of the Plan period will not be considered.**
- V.** Each proposal will be considered by the Commission on its own merit and assistance will be approved for various items and programmes keeping in view the needs of the college and its viability. It is not obligatory for the Commission to accept all items and the amount proposed for each item.
- VI.** Grants against the allocation to be made for each approved item, during the 10th Plan period, will be released only after the receipt of audited accounts and utilisation certificates against the grants paid for these items during the 9th Plan period and earlier Plan periods.
- VII.** The colleges seeking assistance for development during the 10th Plan period should prepare an integrated plan for all departments and general amenities within the ceilings prescribed, and send the same,

duly completed in all respect in the prescribed proforma, to their affiliating universities, who will examine their proposal thoroughly as per prescribed norms and will also give the necessary certificates as required at appropriate places in the prescribed proforma. The proposal received directly from a college will not be entertained. Only those colleges which have fulfilled all conditions of affiliation prescribed by the concerned university, and are included under Section 2(f) and also declared fit to receive central assistance in terms of the rules framed under Section 12 (B) of the UGC Act in case they have been set up on or after 17.06.1972, are eligible to send their proposals.

4. Procedure for Release of Grant

In order to provide regular flow of funds to colleges, it has been decided to simplify the existing procedure of releasing funds. After the proposal of the college is finalised, the grants will be released in five annual instalment for all items, except the buildings.

I. First year

The first instalment of grants would be released along with the allocation letter subject to the fulfillment of the eligibility conditions and on the basis of the Provisional utilisation certificates (certified by the Principal) in respect of the grants sanctioned released during the IX Plan period. However, Colleges are required to submit the audited statement of IX Plan grants latest by 31st March, 2003.

In case the IX Plan audited accounts are not submitted, as per the conditions specified in sanction letter latest by 31st March, 2003, the subsequent instalments will not be released. The release of subsequent instalments of grants will also be subject to the submission of Progress Report, utilisation certificate and statement of expenditure pertaining to the earlier grants and their clearance by the UGC.

A copy of the format of the progress report is enclosed as Annexure. The grant for the year would lapse, if accounts are not received in time.

5. Procedure for Monitoring the Progress of the Scheme

In order to ensure that the grants provided by the UGC are utilised properly and in accordance with the Guidelines of the scheme, the Commission will closely monitor the progress of the scheme. The Colleges are required to submit the Progress Report for each year in the proforma given in Annexure.

Note:

- a.** Those colleges which have been included in the UGC Section 2(f) and 12(B) list of colleges, as on March 31, 2002, will be entitled to receive assistance upto 100% of the ceiling.

- b.** Those colleges which were included in the said list after March 31, 2002, and on or before March 31, 2003, will be entitled to receive assistance upto 80% or the ceiling.
- c.** Those colleges which will be included in the said list after March 31, 2003, and on or before March 31, 2004, will be entitled to receive assistance upto 60% of the ceiling.
- d.** Those colleges which will be included in the said list after March 31, March, 2004 and on or before March 31, 2005 will be entitled to receive assistance upto 40% of the ceiling.
- e.** Those colleges which will be included in the said list after March 31, 2005 and on or before March 31, 2006 will be entitled to receive assistance upto 20% of the ceiling. Thereafter colleges will not be entitled to receive any grant for the 10th Plan.
- f.** Reappropriation upto 10% within the approved items (excluding building) is permissible, without reference to UGC.

ANNEXURE-I

PROFORMA - A

UNIVERSITY GRANTS COMMISSION

**Proposal of the College for assistance from the University Grants Commission for
general development of undergraduate education in the 10th Plan (2002-2007)**

(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. Name of the College, with complete address, Pin Code and State
_____ Tel.No. _____ Fax or Telex No. _____
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 (permanent) _____
(iii) if temporary, date up to which affiliation is granted _____
(iii) Date of inclusion under _____
(a) Section 2(f) of the UGC Act
(b) Section 12(B) of the UGC Act if established on or after 17 th June, 1972.
(Please attach copy).

5. Nature of management Government/Private/University
6. Whether receiving grant from the State Government (Yes/No) _____
If yes, Amount of Plan Grant received from State Govt. _____
Amount of Non-Plan (Maintenance) Grant received from State Govt. _____
Percentage of expenditure reimbursed _____

7. Resources generated by the college through
Fees _____
Other internal sources _____
External sources _____
(apart from Govt./UGC)
Total : _____

Plan Grant received from the State Government in the Ninth Plan (Capital expenditure, new posts, books, equipment)

S.No.	Item	Amount
1.		
2.		
3.		
	Total :	

Plan Grants received from the UGC, during IX Plan.

	Item	Amount Approved	Amount Received	Expenditure submitted till March 31 st , 2002	Spill over of IX Plan
1.					
2.					
3.					
4.					
	Total				

Section 2. Proposals for Development of Undergraduate Education.

1. Ceiling of assistance for which the College _____ is eligible as per the 10th Plan guidelines.
2. Proposals for assistance required during the 10th Plan for development of undergraduate education.

S.No.	Item	Amount proposed by the College	Detailed Justification (Please attach enclosures)
1.	Books & Journals		
2.	Equipment		
3.	Remedial Courses		
4.	Extension activities		
5.	Construction/Extension/ Renovation of Building:		
6.	a. Classrooms		
	b. Laboratory		
	c. Library Building		
	d. Workshop shed		
	e. Animal House		
	f. Men's Hostel		
	g. Women's Hostel		
	h. Staff Quarters/ Teachers' Hostel		
	i. Canteen Building		
	j. Non-resident Student Centre building		
	k. Health Centre building		
7.	Improvement of facilities in the existing hostels		
8.	Staff		
9.	Campus Development		
10.	Any other programme		
	Total :		

N.B. The College should give details and justification in support of each item on a separate

sheet of paper. The facilities available at present, the extent to which they are being put to use, and the specific reasons for proposing further expansion may be indicated. For building proposals, the College should indicate the total estimated cost including services viz. Electrification, Sanitary fittings, Architect Fee, Contingency etc. of building would be considered only if the present accommodation is being put to optimum use.

CERTIFICATE

It is certified that the proposals for development of undergraduate education have been formulated by the Planning Board of the College in which faculty members have been associated. The College has the necessary financial resources and managerial ability to meet the matching share as required and to complete the projects approved by the Commission within the 10th Plan period in accordance with the terms and conditions prescribed for the purpose and submit necessary statement of accounts and other documents including Utilisation Certificate as required by the Commission. The assistance sought from the Commission is not for purpose of fulfilling the conditions of affiliation laid down by the University:

It is also certified that the _____
_____ College is affiliated to the University of _____
_____ and is included under Section 2(f)
and 12 (B) of the UGC Act and fulfills the eligibility conditions as laid down by UGC norms and the College undertakes to utilise the grants for the purposes for which they are sanctioned and would furnish all necessary documents as required in the conditions of grants laid down by UGC. Signature _____

Date _____

Principal

Seal

Signature _____

(Registrar/Director College Development Council)

Seal

CERTIFICATE

(Only for colleges catering to the needs of SC/ST Students)

It is certified that _____ College is catering to the needs of Scheduled Cast and Scheduled Tribe students and has the required number of students belonging to SC/ST in the degree classes and fulfills the conditions laid down for receiving the UGC assistance under this programme. The educational developments proposed by the College are such as would help the SC/ST students in their higher education. The College has the necessary motivation and managerial ability to successfully implement the development programmes, as per conditions laid down and submit all necessary accounts, documents etc. as may be required by UGC.

Place : Principal _____

Date : Registrar _____

Director (CDC)

Seal



ANNEXURE-II

PROFORMA - B

UNIVERSITY GRANTS COMMISSION

Proposal for Assistance Development of Post-Graduate Courses in the College in 10th Plan period (2002-2007)

(Please read the Guidelines carefully before filling in the proposal form. Proposals should be made only in respect of departments eligible, as per norms indicated).

Section 1.

1.	Name of the College	
	complete address	
	Pin Code	
	State	
	Tel.No.	
	Fax or Telex No.	

2. College Bank Name

Address

Account Number

(Under which UGC funds to be transacted)

3. University to which affiliated

4. Date of establishment

5. Nature of management Government/Private/University

6. Has the College fulfilled the prescribed conditions of affiliation of post-graduate course?

7. Names of those departments in the College offering Post-graduate courses which satisfy the eligibility conditions as laid down in the Guidelines.

SECTION - 2

**Information relating to the department for which development assistance is proposed.
Separate sheet is to be given for each such department.**

1. Name of the Department
2. Year from which post-graduate courses were started.
3. Total number of students in 2 years of M.A./M.Sc./M.Com. as on 15th October 1997 or on 15th October of the year preceding the date of inclusion of college under section 2(f) and As on (Please indicate the date).

	Enrolment
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4. Total number of teachers in the department. Year

number of teachers
5. Number of journals subscribed with titles and amount of subscription per annum.

5. Number of journals subscribed with titles and amount of subscription per annum.
6. Details of major research projects and minor research projects undertaken by faculty members in the department in the past three years giving details, such as sponsoring agency, funds, duration etc.
7. Details of research publications by the staff in the past three years giving details such as titles of the research papers, journals in which published/accepted for publication, year of publication etc.

SECTION - 3

Proposals for assistance required for development of postgraduate education during the 10th Plan period.

Item	Amount proposed by the College	Detailed Justification (please attach encl.)
Total :		

SECTION - 4

CERTIFICATE

It is certified that the _____ College is affiliated to the University of _____ and is included under Section 2(f) and 12(B) of the UGC Act and fulfills the eligibility conditions as laid down by the UGC in its Guidelines and is, therefore, eligible to receive financial assistance for development of post-graduate courses as per the UGC norms and the college undertakes to utilise the grants for the purposes for which they are sanctioned and would furnish all necessary documents as required in the conditions of grants by UGC.

It is also certified that the College has the necessary resources and managerial ability to implement the programme to be approved by UGC in accordance with the conditions prescribed. The development programme would help in the improvements of standards of post-graduate education in the College.

Place and Date :

Head of Department

Principal of the College

Director CDC/Registrar of the University



ANNEXURE-III
PROGRESS REPORT TO BE SUBMITTED FOR EACH YEAR

For the period ending

	Item	Grant Received	Grant Utilised	Unspent Balance	Remarks and Justification for balance
1.	Books				
2.	Equipment				
3.	Field Work				
4.	Remedial courses				
5.	Extension activities				
6.	Examination reform				
7.	Educational innovative				
8.	Participation of teacher in academic conference				
9.	Construction of building				
10.	Improvement of facilities in existing hostels				
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 10th Plan guidelines.

Auditor/CA

Principal



ANNEXURE-IV

X PLAN PROJECTIONS

(Please give your projections for the development of the colleges during x Plan. This may be under general development scheme as well as under the separate schemes of UGC. Detailed proposals under different schemes may be submitted separately according to the guidelines for the respective schemes. Here the indications may be given about your overall plans).

1. Building Construction

Item	Proposed area of new construction (Square meter)	Estimated Cost	Source of Funds		Expected time for completion of project	Justification
			UGC Share	Other (specify source)		

2. Books and Journals

Item	Proposed purchase/subscription	Estimated Cost	Source of Funds		Reason for of project
			UGC Share	Other (specify source)	

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3. Equipment

Department/ No. of students	Equipment Required	Reason for Demand	Estimated Cost	Source of Funds		Cost of upkeep of Existing Equipment
				UGC Share	Other (specify source)	

4. Facilities

Name of proposed item	Reason for Demand	Estimated Cost	Source of Funds	
			UGC Share	Other (specify source)

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5. Teachers Participation

Item	Proposed number/percentage of teachers for participation	Remarks
Conference, etc.		
Refresher Courses		
Orientation Courses		
Faculty Improvement Programme		
(M.Phil./Ph.D. - specify)		

6. New Courses

Item	No. Proposed	Name of Subject	No. of Students to be benefited	Remarks
Job Oriented Courses				
Restructuring of Courses				

7. Vocational Courses

Courses proposed to be introduced in the X Plan	Reasons for Demand