



विश्वविद्यालय अनुदान आयोग  
**University Grants Commission**  
quality higher education for all

# **Guidelines for Block Grant to Colleges (2018)**

**University Grants Commission**

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## INTRODUCTION

1. The development of Colleges in the previous plan periods was profoundly influenced by three objectives viz. Access, Equity and Expansion. The scheme *General Development Assistance* has supported in a major way to sustain and scale-up the capacity of undergraduate and postgraduate education in all eligible colleges.

Against this backdrop and subsequent to rationalization of schemes, the Commission has decided to give a fresh impetus to General Development Assistance by merging and regrouping different schemes. The scheme is titled as **Block Grant to Colleges (BGC)**.

The following four components constitute **Block Grant to Colleges**:

- I. **Component I (Basic Assistance)**
- II. **Component II (Quality Initiatives)**
- III. **Component III (Sports Infrastructure Development)**
- IV. **Component IV (Faculty Development Programme)**

## Funding Pattern:

For Component I funding will be provided to all eligible colleges. However, funding for component II, III and IV will be based on performance parameters.

## General Eligibility Conditions for Components I, II, III & IV

- The assistance under this scheme will be provided to only Government and Government aided private colleges included under Section 2(f) and declared eligible to receive central assistance under Section 12B of the UGC Act, 1956 and fulfill the eligibility conditions as given below:
  - (a) It shall be mandatory for every college to get accredited by NAAC, after passing out of two batches or six years of establishment, whichever is earlier.

- (b) The colleges whose Institutional Information for Quality Assessment” (IIQA) is accepted by NAAC will also be considered eligible for assistance.
- (c) It is mandatory for Colleges, to register in the PFMS portal. (Unregistered colleges may fill the proforma at Annexure I and submit to the regional office concerned for registration).
- (d) Colleges should have registered with the E-schemes Portal of UGC (eschemesugc.gov.in) for submitting online application.

## **General Financial Rules (Components I, II, III & IV)**

- Grants released under capital assets and/or non-recurring grants should be utilized within the period prescribed under various components. Any grant not utilized during the prescribed period is liable to be refunded along with the interest at the prescribed rate.
- Interest earned against Grants-in-aid released should be mandatorily remitted to UGC account and should not be treated as additional funds over and above the allocation.
- Allocation under various components is subject to availability of funds and may not be treated as committed liability of the UGC.
- Expenditure on non-recurring items must be as per the provisions of General Financial Rules, 2017 and no deviation thereof is allowed.
- Colleges should submit statement of accounts from the bank in which the grants are being received through PFMS, at the end of every financial year.
- Colleges should ensure purchases from GeM portal of Government of India

## **Auditing of Accounts:**

For private colleges a certified Chartered Accountant/CA empanelled by CAG appointed by the Governing Body/Planning Board shall conduct the audit. For Government Colleges, State Accountant General (AG) or CA empanelled by CAG shall conduct the audit.

## **I COMPONENT I (BASIC ASSISTANCE)**

Colleges share the maximum responsibility of teaching at the undergraduate level, and to a great extent for postgraduate teaching as well. Development of Colleges teaching courses in Humanities, Social Sciences, Sciences, Commerce etc., therefore, is an

important area in higher education from the point of view of maintenance of proper standards.

To address the multiple responsibility of maintaining the educational standards, to encourage growth in student number, to equalize educational opportunities for the weaker sections of the society particularly the Scheduled Castes/Scheduled Tribes and those belonging to the educationally backward areas and to promote innovations, UGC has identified 13 heads under component I (Basic Assistance) where financial assistance will be provided to all eligible colleges, every year.

## A. Objectives

1. To provide grants to the colleges for strengthening basic infrastructure and meet their basic needs like books & journals including book banks, scientific equipment, campus development, teaching aids and sports facilities.
2. To provide assistance for construction/extension/ renovation of existing buildings and construction of new buildings.
3. To provide assistance to the colleges catering to the needs of the students belonging to the SC, ST, OBC (non-creamy layer)/ Minority communities as well as Physically Challenged and economically deprived students coming from families below Poverty Line (BPL) as per definition adopted by the State Government/ Union Territory /Central Government.
4. To encourage outreach activities, adult and continuing education in the neighboring areas where the college is located so that the society as a whole is benefited.
5. To provide facilities like rest rooms, wash room, toilets, incinerators etc. for women.
6. To support capacity building initiatives and promote multicultural activities in colleges, especially for teachers/students.
7. To initiate experiment and document innovations in the areas of teaching, learning, research, evaluation and outreach activities leading to academic excellence and societal growth.
8. To establish Internal Quality Assurance Cell (IQAC).
9. To support Visually Challenged Teachers.

## B. Eligibility Conditions:

1. **Assistance for Development of undergraduate education in UG and PG colleges**  
The University Grants Commission will provide assistance for the development of undergraduate education only to such colleges which fulfill the conditions as indicated below. The college (except for single faculty colleges) must have at least **three** teaching departments in a faculty. The Colleges must have at least a **minimum**

number of sanctioned and filled full-time permanent/regular positions including the Principal as described below:

### 1.1 Arts/Commerce Colleges

The College should have at least 7(Seven) sanctioned and filled positions of full-time permanent / regular teaching positions.

### 1.2 Science/Multi-faculty Colleges

The College should have at least 11(Eleven) sanctioned and filled positions of full-time permanent / regular teaching positions.

### 1.3 Single Faculty colleges offering undergraduate courses leading to Bachelor's degree like Law, Physical Education, Social work, Management, Home Science, Music and Dance, Fine Arts, Sanskrit, Teacher Education etc.

The College should have at least 5(Five) sanctioned and filled positions of full-time permanent / regular teaching positions.

### 1.4 College of Education offering B.Ed./M.Ed./ B.P.Ed./M.P.Ed. courses (General / Special)

The College should have at least 5(Five) sanctioned and filled positions of full-time permanent / regular teaching positions.

**The approval of concerned regulatory, professional council, wherever applicable, is mandatory for the courses under their purview.**

## 2. Additional Assistance for Development of Postgraduate Education

The colleges recognized by UGC for offering instruction up to PG level and satisfying the following conditions will be *eligible* for additional assistance for the development of postgraduate departments:

- 2.1 Humanities and Social Science departments must have sanctioned and filled positions of a minimum of 4 (four) teachers in each department.
- 2.2 Science departments and departments with Practical/Field work must have sanctioned and filled positions of a minimum of 5 (five) teachers in each department.
- 2.3 The department must have access to at least 8 standard academic/refereed journals in the subject.
- 2.4 The department should have shown sufficient potential for research in the five preceding years which may be assessed by at least one of the following or a combination thereof:
  - At least one Major Research Project
  - At least three Minor Research Projects
  - At least five Research Papers published or accepted for publication in standard academic journals/refereed journals

- 2.5 Besides, professional journals published by the department, if any, number of students who have cleared NET/SET, different competitive exams and potential for innovation may be given due consideration by the UGC while finalizing allocation for the department.

## C. Planning Board

Planning Board headed by the Principal is responsible for preparing proposal and estimates, based on the needs of various departments, in consonance with UGC guidelines in the prescribed proforma (**Annexure II**) to oversee the utilization of funds and submitting audited accounts to UGC. Besides the Principal, Coordinator IQAC, and senior teachers, Librarian, the Bursar or a senior person from the Accounts Department and University representative comprise Planning Board.

Heads/items earmarked for financial assistance under the scheme for improving the standards of teaching and research at various levels are given below. The object head i.e. Grant-in-Aid General „31“ and Capital Assets „35“ under which the expenditure may be booked is given against each of the item given below.

Percentage of allocation under the heads viz. Grant-in-Aid General (31) and Capital Assets (35) under component I will be in the ratio of 20:80. Planning board may earmark funds as per requirement within the Component I allocated by UGC without altering allocation under 31 and 35.

Major heads for which expenditure can be incurred by colleges under component I are as below:

a) **Books & Journals** **Capital Assets 35**

Books & journals (including e journals), CDs, Microfilms, including setting up of book bank and / or strengthening of the existing book banks in order to augment the facilities and improve reading habits among the students. The library grant may be utilized to procure the latest publications. Care may be taken not to purchase “second hand” or “remainder” books. The amount up to 15% under this item may be utilized for stacking purposes. This will be within the amount allocated under this head.

b) **Equipment** **Capital Assets 35**

Equipment which may include, among others, laboratory equipment including refrigerator, water purifier, fax, audio-visual equipment including digital camera, LCD/TV and other teaching aids, computer and accessories, software (including that for automation of Office and Library), CCTV, generator/inverter and reprographic facilities, public address system, networking and internet connection. It will not include typewriters, office furniture or fixtures. Any equipment other than those mentioned in this para needs adequate justification and may be procured only after getting specific approval of the Commission. The amount up to 15% under this item

may be utilized for purchase of racks and furniture for computer (computer table and chair). This will be within the amount allocated under this head.

The UGC will not insist on a permission letter from the State Government when Government colleges purchase Equipment/Books under any scheme of the UGC, provided that the purchase is strictly as per laid-down norms of State Govt. /UGC and do not violate standard financial rules. Colleges should submit list of equipments and books purchased from UGC funds to UGC office and the State Government at the end of financial year.

**c) Instrumentation Maintenance Facility**

**General 31 & Capital 35**

The Colleges, under Equipment grant, build up a sizeable pool of instruments and modern electronic hardware, which increase with time need proper maintenance. Instrumentation and maintenance facility may also include curriculum related support facilities for workshops, maker spaces and tinkering labs. To this end expenditure may be incurred towards:

- Essential spares, components for instrument (**Capital Assets 35**)
- Contingencies for instrument repair and maintenance (**General 31**)
- Training for teachers, technicians and students of concerned departments in the use, maintenance, repair of instruments (**General 31**)
- Annual Maintenance Contract (**General 31**)
- Remuneration to technical staff hired (**General 31**)

**d) Construction/Extension/Renovation of building**

**Capital Assets 35**

College can extend / renovate various types of building such as library, laboratory, class rooms, workshop shed, animal house, men's hostel, women's hostel, staff quarters, teachers hostel (transit/temporary), seminar hall, committee room, counseling cell, auditorium, tutorial room, canteen building, non-resident students' centre, health centre, sports facility and others. While making a proposal for the construction/extension/renovation of hostel for students, the college should keep in view the need for reserving seats for students belonging to the Scheduled Caste, Scheduled Tribe and OBC (non-creamy layer), 15%, 7.5% and 27.5% 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.

Building grant will be available on 100% basis. However, expenditure on construction/ extension and renovation of building should not exceed 50% of the total grant allocated under „Component I“. Colleges may use fund from other sources in addition to the grant received from UGC for the building projects. Colleges need not submit any proposal to the UGC for its approval. Instead, a Building Committee, with members as given in the Guidelines for the construction of building (2018) must be formed and the Committee will be responsible for the execution of the project in accordance with the provisions given in the Guidelines for the Construction of Building and in adherence to the rules of the State Government. The Building Committee will also be responsible for the utilization of funds received under this head.

e) **Improvement of existing premises**

**Capital Assets 35**

Expenditure may be incurred on minor repairs and maintenance. Grant may be used for improving common room and toilet facility for women, tapping alternative energy sources (including installation of solar energy systems, rainwater harvesting facility), tree plantation, electrification and sanitary work, acquiring facilities such as aqua-guard, cooking gas and other kitchen amenities, fitting/amenities for washrooms/toilets, simple items of furniture standby lighting arrangements etc.

f) **Capacity building initiatives in colleges**

**General 31**

Special competence is needed to be built and nurtured among staff and students. Expenditure may be incurred on activities related to capacity building such as:

- Motivating teachers for acquiring classroom skills
- Developing administrative skills for the Principal, Heads of Departments and Office staff
- Technology enabled teaching-learning and evaluation
- Promotion of skill development and learning of soft skills, viz. methodology of studying/research/ use of library facilities/ persuasive writing/confidence building/ personal and group interviews/ leadership skills/entrepreneurship/ organizing students" seminars and sports and cultural activities (for students)
- Participation in workshop/Training programmes (at other Institutions within India) for Students, the Principal and other Faculty Members, Librarians, Physical Education Instructors and Office staff
- Workshop/Training programmes for multi-tasking staff
- Recurring expenditure such as TA/DA etc. as per Govt. /University rules for participating teachers as well as resource persons is permissible.

**General 31 & Capital Assets 35**



The Career and Counseling cell in a college has to be a resource centre of information, guidance and counseling with free accessibility, internet based global connectivity and exchange of information on professional placements. A coordinator may be identified by the Head of the Institution.

**l) ICT in Education**

**General 31 & Capital Assets 35**

Grant may be utilized for the purchase /up-gradation of computers (with accessories and software), internet connectivity, Wi-Fi router and LAN/WAN connections which have direct impact on student outcome and learning experience.

The grant may be used for purchasing computers, UPS, software, printer, photocopier and Scanner. It may also be used for internet facility, hiring charges, TA/DA for the services of a Counselor and other Resource Persons, payment of honorarium to Counselor, Resource Persons and Coordinator, reading material and contingency. Expenditure on equipment may be booked under **Capital Assets (35)**. Other items like honorarium and hiring charges may be booked under **General (31)**.

**m) Establishment & Monitoring of the IQACs in colleges**

**General 31**

For continuous improvements in the standards of education in the colleges, besides accreditation, an effective internal mechanism for assurance, enhancement and sustenance of the quality education is required. Therefore, it is essential to have Internal Quality Assurance Cell (IQACs) with the following composition:

- a) The Principal of the College (The Chairperson)
- b) Five senior teachers, representing at least three departments (Members)
- c) One senior administrative Officer (Member)
- d) Coordinator (Member Secretary)
- e) Two external experts on Quality Management/Industry/ Local community

The Principal of the college shall nominate the members from (b) to (e). The membership of such nominated members shall be for the period of two years. The IQAC meeting should be held at least once in a quarter. The quorum of meeting shall be at least two-third of the total number of members. The minutes, agenda and the action taken are to be documented with the official signatures and Annual Quality

Assurance Report be submitted in the format prescribed by NAAC. The coordinator may be paid an honorarium of Rs. 2000/- p.m.

**n) Financial assistance to visually challenged teachers**

**General 31**

To help visually challenged permanent teachers to pursue teaching and research with the help of a reader and by using teaching and learning aids. Allowance to visually challenged teachers will be Rs. 36,000/- per annum for following purposes:

- Payment to reader
- Purchase of Braille books/materials
- Any other related/required materials/equipment for research, teaching and learning

## Financial Assistance

Annual financial assistance for the items mentioned under Component I for UG colleges is as follows:

### Annual Financial Assistance for Single Faculty Colleges

Student strength	(Rs. in lakhs)
50 to 200	5.00
201 – 400	6.00
401 – 600	7.00
601 and above	8.00

### Annual Financial Assistance for Arts/Commerce/Science/Multi faculty Colleges

Student strength	Ceiling of assistance (Rs. in lakhs)	
	Arts/Commerce	Science/ Multi-faculty
200 to 400	6.00	8.00
401 – 1000	7.00	9.00
1001 – 1500	8.00	10.00
1501 – 2000	9.00	11.00
2001 – 2500	10.00	12.00
2501 – 3000	11.00	13.00

3001 and above	12.00	14.00
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### Annual Financial Assistance for PG Departments

Subjects	Ceiling of Assistance (Rupees in lakhs)
Science	3.00
Social Sciences, Humanities	2.00

#### D. Basis of Grant

The pattern of assistance will be 100% on annual basis. Grants released under all heads are to be utilized within one year. All eligible colleges will be provided with financial assistance under component I, in accordance to the ceiling of assistance.

#### E. Procedure for release of grant

Grants will be released under two object heads, Grant-in-Aid General „31“ (20% of BGC) and Capital Assets „35“ (80% of BGC). Capital Assets (35) include expenditure on Books & Journals, Equipment, Furniture, Fixtures, Software, Construction/Renovation/extension of Building. All other items will come under Grant-in-Aid General (31). 75% of the grants will be released to the colleges in the beginning of a financial year. The remaining grant would be released on receipt of utilization certificate and statement of expenditure for at least 50% of allocated amount. On the basis of utilization certificate and statement of expenditure signed by the Principal and Coordinator (Planning Board), proposal from colleges for the subsequent year will be considered. However, after the completion of two financial years, proposal from a college will be considered only on receipt of audited utilization certificate (**Annexure III**) and audited statement of expenditure (**Annexure IV**) for the grants of the year preceding the last.

## II COMPONENT II (QUALITY INITIATIVES)

In recent times, the attention paid to efficiency, effectiveness and quality has increased and funding too has increasingly been linked to performance of colleges. As a quality initiative, the Commission has decided to follow performance based funding as a means to reward well performing colleges. Colleges on the basis of either NIRF rank in the respective category or CGPA score of NAAC will get a certain percentage of allocation under component I as additional funds based on performance formula given below. Ceiling under component II, for colleges having both NIRF rank and NAAC score, will be fixed based on better score.

No.	NIRF Ranking in the respective category	CGPA score (NAAC)	Quantum of additional assistance
1	Top 50	3.51 and above	50% of Component I
2	51-100	3.26 – 3.50	40% of Component I
3	101 – 150	3.01 – 3.25	30% of Component I
4	151 – 200	2.76 – 3.00	20% of Component I
5	>200	≤ 2.75	No additional grant

The objective of component II is to support colleges for the following purposes with the freedom to operate with increased flexibility.

1. To support Minor Research Projects
2. To organize Seminars/Conference/Symposia/Workshop
3. To support Travel Grant to the college teachers for presenting papers in national / international conferences/seminars/symposia

Colleges should select research projects, identify departments to organize seminar/conference and finalize deserving teachers to travel abroad and within country to present papers in seminars/conferences/symposia, as per the guidelines given below:

## A) Minor Research Project (MRP) to college teachers

### 1. Eligibility Conditions

- 1.1. A regular & permanent teacher can apply under the scheme.
- 1.2. A teacher can get only one project (Minor/Teacher Fellowship) of the UGC at any given time. The Planning Board is responsible to ensure this condition.
- 1.3. The Principal Investigator should publish at least two papers, duly acknowledging the financial assistance received from the UGC, in a reputed/refereed journal from the said project.
- 1.4. Submission of copies of research publications and a one year gap after settlement of accounts of the previous MRP are mandatory to submit minor research project proposals, subsequently.
- 1.5. The teaching faculty of Library Science and Physical Education are also eligible.

### 2. Ceiling of assistance and tenure

- 2.1. The ceiling of assistance for a Minor Research Project in Science subjects including Engineering and Technology, Medical, Pharmacy, Agriculture etc. is Rs. 3.00 lakhs.
- 2.2. For Humanities, Social Science, Languages, Literature, Arts, Law and Allied disciplines the ceiling of assistance is Rs. 2.00 lakhs.
- 2.3. Duration of Minor Research Project is two years. The effective starting date of implementation of the project will be the date of release of grant to the Principal of the college who shall ensure that the funds are released to the concerned Principal Investigator within a month.

*Note - Funds may be given under the following heads*

- Non-Recurring (Capital assets 35)** items are equipment, book and journals (After the completion of the project, these will become the assets of the College)
- Recurring items (Grant-in-aid General 31)** include Hiring Services, Contingency, Special needs, Chemicals and Consumables, Travel and Field Work

## B) Seminars, Workshops and Conferences

General 31

The UGC will provide financial assistance to colleges for organizing seminars/symposium/conference.

The Research Assessment Committee (as provided for in these guidelines) based on the merit of the proposal, may assign funds to departments without exceeding the category-wise ceiling given below:

Sl. No.	Categories	Ceiling of Assistance (Rs. in lakhs)
1	State level Seminar/Conference/Workshop	1.00
2	National level Seminar/Conference/Workshop	1.50
3	International level Seminar/Conference/Workshop	2.00

### 1. Conditions

- 1.1 The college should call for papers and delegate participation through advertisements in academic journals and/or through college website.
- 1.2 A College may support five state/national level activities in a financial year, but not more than one activity to a department in a year.
- 1.3 For State/National level activities, the participants may be provided free boarding and lodging by the host Institution, wherever it is possible. Participants may be charged registration fees. Travelling allowances for outstation participants" may be limited as per college rules where the activity is being organized.
- 1.4 International Conference may be organized , once in two years, with prior approval from Ministry of External Affairs, Govt. of India. Post Graduate Departments, eligible for financial assistance under Block Grant to Colleges are only eligible to organize international seminar/conference. The Participation of foreign delegates is a must. However, payment for travel outside India is not permissible under the scheme.
- 1.5 Grant will be available for TA, honorarium for resource persons, paper presenters, pre-conference printing, publication of proceedings and local hospitality.

## C) Travel Grant to college teachers

General 31

The UGC will provide financial assistance to colleges for organizing seminars/symposium/conference.

The Research Assessment Committee (as provided for in these guidelines) based on the merit of the proposal, may assign funds to departments without exceeding the category-wise ceiling given below:

Sl. No.	Categories	Ceiling of Assistance (Rs. in lakhs)
1	State level Seminar/Conference/Workshop	1.00
2	National level Seminar/Conference/Workshop	1.50
3	International level Seminar/Conference/Workshop	2.00

### 1. Conditions

- 1.1 The college should call for papers and delegate participation through advertisements in academic journals and/or through college website.
- 1.2 A College may support five state/national level activities in a financial year, but not more than one activity to a department in a year.
- 1.3 For State/National level activities, the participants may be provided free boarding and lodging by the host Institution, wherever it is possible. Participants may be charged registration fees. Travelling allowances for outstation participants" may be limited as per college rules where the activity is being organized.
- 1.4 International Conference may be organized , once in two years, with prior approval from Ministry of External Affairs, Govt. of India. Post Graduate Departments, eligible for financial assistance under Block Grant to Colleges are only eligible to organize international seminar/conference. The Participation of foreign delegates is a must. However, payment for travel outside India is not permissible under the scheme.
- 1.5 Grant will be available for TA, honorarium for resource persons, paper presenters, pre-conference printing, publication of proceedings and local hospitality.

## C) Travel Grant to college teachers

General 31

To encourage college teachers to present research papers in national / international conference colleges may consider providing travel grant to eligible teachers. A teacher can avail assistance once in three years on 100% basis for the expenditure on fare component only by entitled class (in air travel by economy class only) by Air India if it operates on the sector as per Govt. of India rules. SC/ST/OBC (non-creamy layer)/Physically Handicapped Teachers will be provided financial assistance once in two years on 100% basis.

#### **Terms & Conditions for providing assistance to attend conference abroad:**

- a) College teachers working on permanent basis are eligible for financial assistance once in three years. SC/ST/OBC (non-creamy layer) / physically challenged teachers will be eligible to avail assistance once in two years.
- b) The assistance towards expenditure on visits abroad to present paper at an international conference would be limited to 100% of the admissible expenditure on fare component only. Colleges may re-imburse admissible expenditure on production of receipts with the claim.
- c) Persons selected for participation should travel by the cheapest excursion air ticket, in sectors where Air India is not operating. Actual fare not exceeding AC-II class train fare will be admissible from the College headquarters / residence to the nearest air port and back. If the journey is performed by taxi/own car, the fare should be restricted to AC-II class train fare/road mileage according to distance. The air tickets shall be procured from authorized websites of airlines or through Govt. approved travel agents.
- d) Actual train/bus fare from the airport abroad to the town where the conference is held and back will be provided. The Principal should submit, separately for each travel grant awardee, a certificate as per the proforma. Principal should ensure that travel grant paid is fully in accordance to the terms and condition as given in guidelines.
- e) In case, the travel grant facility is to be availed by the Principal, the proposal should be assessed by the Board of Governance.

#### **Participation of Teachers in Academic Conference (PTAC) within the Country:**

- a) Permanent / regular teacher whose paper has been accepted for presentation in a seminar/conference/symposium may avail assistance once in three years. Poster presentation is not permitted for assistance.
- b) TA/DA, as per rules of the concerned university, and registration fee will be reimbursed.

#### **Mode of Selection (for Minor Research Project, Seminar and Travel Grant):**



1.1 The College shall have a Research Assessment Committee (RAC) for selection and evaluation of Minor Research Projects, Seminar/conference/workshop and travel grant. The Committee shall include the Principal, two department heads, two subject experts including one from outside the college (to be nominated by the Principal) and one local practitioner/industry expert (to be nominated by the Principal). The College may meet the expenditure for such meeting from the Block Grant for component I up to a maximum of Rs, 50,000/-.

1.2 Any grievance related to MRP, Seminar, Travel Grant shall firstly be dealt with by the Principal of the College and then UGC- Regional Office.

## 1. **Basis of Grant**

Grants under component II will be allocated on the basis of the performance formula on 100% basis, annually. The allocation is subject to availability of funds and may not be treated as committed liability of the UGC.

## 2. **Procedure for release of grant**

75% of allocated amount as per the performance formula given above will be released lump-sum (General 80% and Capital Assets 20%) to the college. The remaining grant would be released on receipt of utilization certificate and statement of expenditure for at least 50% of allocated amount. On the basis of utilization certificate and statement of expenditure signed by the Principal and Coordinator, proposal from the college for the subsequent year will be considered. However, after the completion of two financial years, grant to a college will be considered only on receipt of audited utilization certificate (**Annexure III**) and audited statement of expenditure (**Annexure IV**) of the year preceding the last and beneficiary analysis (**Annexure V**)

**NOTE: The colleges which are not found eligible for getting additional grant under Component II due to not being able to meet quality benchmark, may use up to 10% of the grant allocated under Component I for the activities listed under Component II.**

### III COMPONENT III

#### (INFRASTRUCTURE DEVELOPMENT)

Capital Assets35

##### a) Development of sports infrastructure and equipment in colleges

To enhance the capacity building in various colleges for promotion of sports with an idea that broad base of the sporting pyramid would ultimately produce sports persons to participate and win in international events. Keeping in view, it has been decided to support colleges to develop sports infrastructure facilities gradually starting from the basic to the optimal keeping in view the participation of students in particular games. UGC may allocate fund to the college to acquire basic facilities for football, basketball, cricket pitch, hockey, volley ball, etc. along with purchase of sports equipment. The college should have necessary staff required in the form of sports coaches/Directors of Physical Education (DPE"s) etc., and adequate land in its name to develop the facilities. Assistance can be availed for any two of following items:

##### 1. Basis of Grant

No	Type	Ceiling of Assistance (Rs.in lakhs)
1	Composite football/Cricket play field with pitch without running track	8.00
2	Composite football/Cricket play field with pitch with 6 lanes running track	9.00
3	Composite football/Cricket play field with pitch with 8 lanes running track	10.00
4	Play field standard size hockey grass field without running track	5.0
5	Play field Standard size concrete basketball court with upright post and synthetic back boards	5.0
6	Cricket pitch for training	1.00
7	Flood lighting for volleyball and basket ball	4.00
8.	Tennis court (one concrete court)	5.0
9	Tennis court (one morrum court)	3.00
10	Indoor sports equipment	10.00

Grants under component III will be finalized and approved by the competent authority of the UGC on the basis of recommendations by an expert committee, appointed by the Chairman, UGC.

## 2. Duration

Facilities sanctioned under component should be completed/purchased within a period of three years.

## 3. Procedure for release of grant

The grants will be released under **Capital Assets (35)** in three installments. 50% of allocated amount will be released as 1<sup>st</sup> installment. Release of 40% of allocated amount as 2<sup>nd</sup> installment will be subject to the submission of audited utilization certificate (**Annexure- III**) and audited statement of expenditure (**Annexure- IV**). Final installment will be reimbursed on submission of audited utilization certificate (**Annexure- III**), completion certificate (**Annexure- VI**) and asset certificate (**Annexure- VII**).

# IV COMPONENT IV (FACULTY DEVELOPMENT PROGRAMME)

General 31

## (a) Faculty Development Programme (FDP)

It is important for college teachers to have a quality educational background. Colleges can help eligible teachers earn M.Phil. /Ph.D. by offering Teacher Fellowships through component IV (Faculty Development Programme)

## (b) Eligibility conditions for Teacher Fellowship (TF)

1. Teachers working on permanent basis under aided category are eligible to apply for Teacher Fellowships to complete their research activities leading to the award of M.Phil/Ph.D degree.
2. The Teacher should not be more than 50 years of age (5 years relaxation for Women Teachers and Teachers belonging to SC/ST/Minority Communities).
3. The Teacher should have at least second class Master's degree with minimum 55% (50% for teachers from SC/ST/Minority Communities).
4. The Teacher should have at least 3 years of Teaching Experience at degree level on the date of Submission of application.
5. Preference may be given to those who had not availed any fellowship from UGC /any other agency earlier.

6. Teacher should have been registered for Ph.D. or should have already taken admission to M.Phil. programme in any Indian university. He/She has to submit the thesis submission Certificate within the tenure of the fellowship. However, further extension for the submission of thesis may be provided up to 1 year for Ph.D and six months for M.Phil, on case to case basis by the respective Regional Office of UGC on the recommendation of the supervisor and Principal.
7. Librarians not having teaching Experience are not eligible.
8. The teacher will continue to receive the full salary from the parent Institution during the period of Teacher Fellowship.
9. 10% of the Permanent teachers only are eligible to avail Teacher Fellowship at any given time. 15%, 7.5% and 27% out of the total Fellowships allocated to a College will be reserved for SC, ST and OBC (non-creamy layer) candidates, respectively. Until a teacher submits Ph.D thesis or completes M.Phil, the slot will remain occupied.

**(c) Mode of Selection**

The principal on the basis of the recommendations of the Planning Board will send the proposals for teacher fellowships, as per the limit indicated at clause IV(b) 9 above, to the UGC Regional Office concerned. The final selection will be done by respective Regional Office of UGC, based on the number of Teacher Fellowships recommended by the selection committee to be appointed by the Chairman, UGC and availability of funds.

**(d) Tenure, leave rules and financial assistance:**

1. The Teacher Fellow shall execute a bond on a non-judicial stamp paper accepting terms and conditions of FDP. Joining report should be submitted as per the proforma(**Annexure- VIII**) to the UGC immediately after joining the research centre.
2. The Teacher Fellowship for Ph.D programmes would be for a period of two years. Extension of one year can be granted for Ph.D. candidates based on the justification, recommendation by the Supervisor/Guide, and No Objection Certificate(NOC) from the parent institution. For M.Phil. the extension is permissible for a period of 6 months and remaining procedures are same as for Ph.D.
3. In the event of a Teacher Fellow not completing the M.Phil./Ph.D. within the time period or leaving in midway the Substitute Teacher's salary /Honorarium to Guest Faculty may be recovered from the Teacher Fellow with penal interest. Principal of the College and College Development Council of the University have to ensure timely completion of research and intimate the same to UGC.
4. The substitute teacher appointed in the place of teacher fellow is eligible to receive the minimum pay scale prescribed for an Assistant Professor (with no increments) by UGC if the appointment of substitute Teacher is in accordance with the relevant UGC Regulations and has the approval of the State Government. In case it is not possible

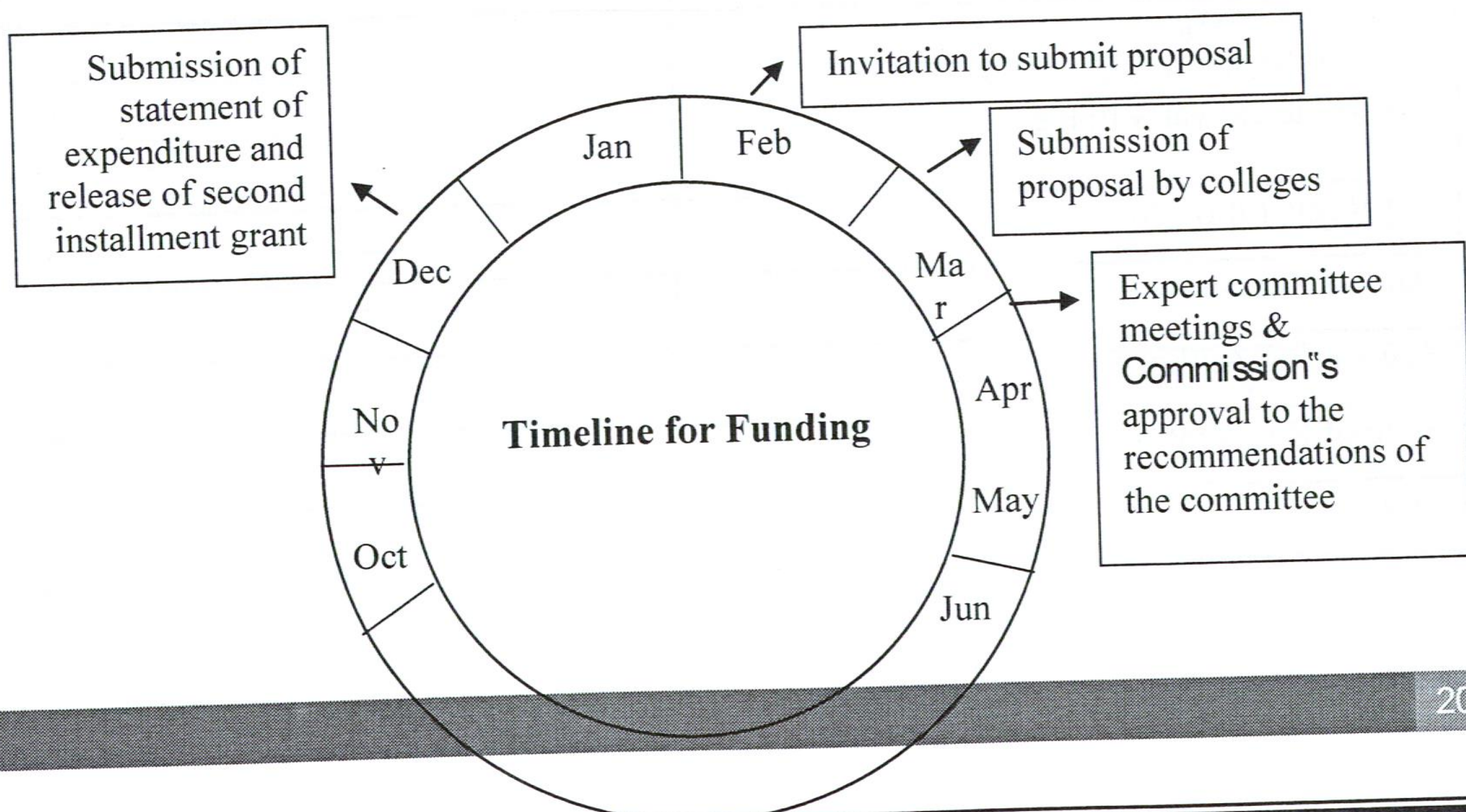
to appoint a Substitute Teacher on regular basis then part-time/guest lecturer may be arranged on the basis of Rs. 1000 per hour, not exceeding Rs. 25,000/- in a month.

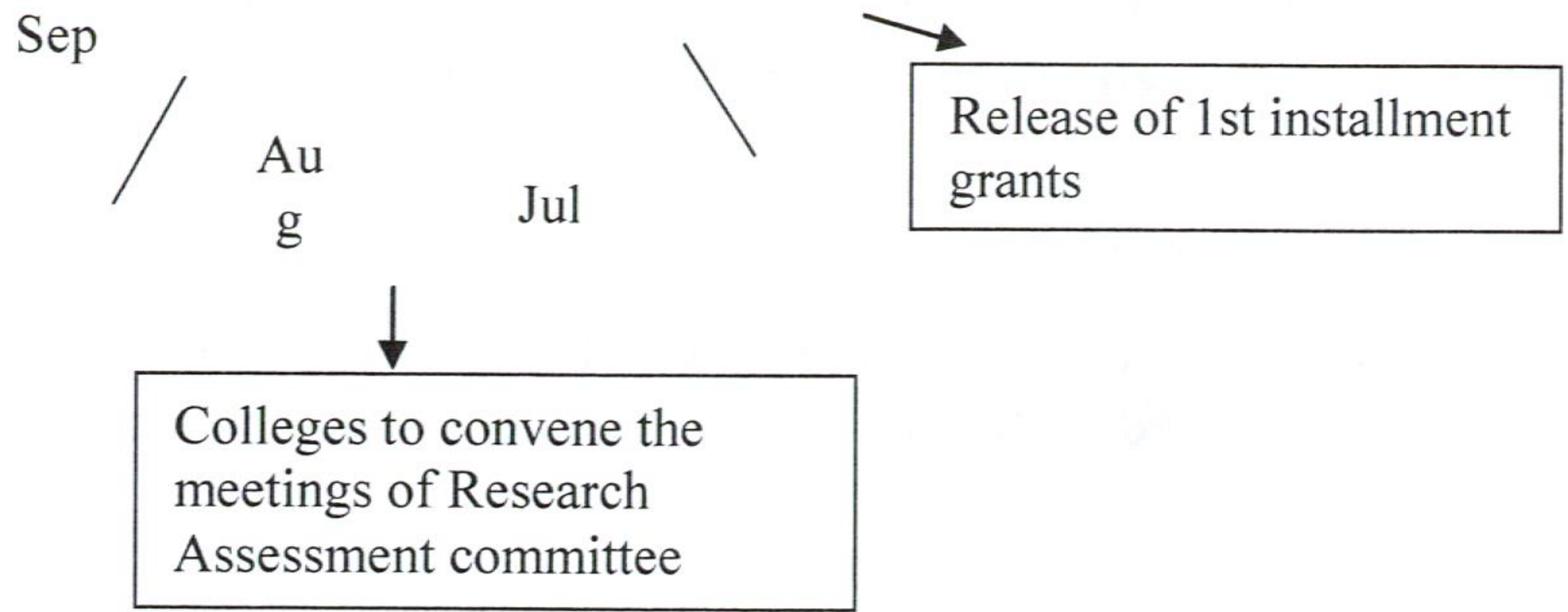
**(e) Basis of Grant**

Grants under component IV will be approved and released by the Competent Authority of UGC based on the number of Teacher Fellowships and availability of funds.

**(f) Procedure for release of grant**

1. The grants will be released under **General (31)** annually. Bills of salary or honorarium shall be processed at the College level itself and shall be sent to UGC. Colleges should submit utilization certificates (**Annexure- III**) at the end of financial year.





**ANNEXURE-I**

**UGC Fund Transfer through Public Financial Management System (PFMS)**

**Details of the college**

PFMS unique code (if available)	
Agency Name (Name of College as in 2(f)/12 B letter issued by UGC Head Office)	
Agency Type	
Hierarchy of Agency (Central/State/District/Block/ Tehsil/Panchayat/Village)	
Act/Registration No.	
Date of Registration	
Registering Authority	
State of Registration	
TIN No.	

TAN No.	
Block No/Building/Village/Name of premises	
Road/Street/Post Office	
Area/Locality	
City	
State	
District	
Pin Code	
Contact Person	
Designation	
Phone	
Alternate Phone/Mobil No.	
Email	

Scheme	
Funding Agency (a) Will receive funds directly from central government (b) Will receive funds from this agency	
Bank Name	
Branch Address	
Pin Code	
Branch Name	
IFSC Code	
MICR Code	
Bank Account No.	
BSR Code	
Agency Name as per Bank Account	

**If already registered in PFMS, the following data shall also be included.**

Unique ID (Automatically generated by the PFMS portal during the registration process and which is delivered to the email ID given during the registration process)	
Whether the College has submitted the Bank Mandate Form for account transfer via RTGS/NEFT	

**ANNEXURE-II**

**Proforma For Submitting Proposal Under COMPONENT (I, II, III & IV)**

(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 with pin code

1.	Name of college : Locality : Town / City : District : State : Pincode :	
	e-mail Id	
	Website	

2.	<b>Contact details of Principal and Coordinator</b>
----	---



		Principal	Coordinator
	Name		
	Telephone		
	Fax		
	Mobile		
	Email		

3.	Other details	
	Date of Establishment	
	Name of Trust / Society (if any)	
	Name of university to which affiliated	
	Date of Affiliation (Permanent)	
	Date of inclusion under section 2 (f) of UGC ACT 1956*	
	Date of inclusion under section 12 B of UGC ACT 1956*	

(\*Please upload copy of letter from UGC Head Office)

4.	Status of the College		
	Government	Private (Aided)	Constituent College

5. Please tick (✓) for the type of college under which it falls:

- Arts/ Commerce Colleges ( )
- Science/ Multi-faculty Colleges ( )
- Single faculty UG Colleges ( )
- Single faculty PG College ( )
- Colleges of Education offering B.Ed./M.Ed/B.P.Ed./M.P.Ed. Courses ( )
- (General/Special) ( )

6.	Recognitions received from UGC		
	1	Autonomous College	Yes No
	2	College with Potential for Excellence	Yes No

7. Accreditation / Ranking details

a) National Assessment and Accreditation Council (NAAC)

	Year	Grade / Level	Score	Attached accreditation certificate (Yes/No)
1st Cycle				
2nd Cycle				
3rd Cycle				
4th Cycle				

b) National Institution Ranking Frame work (NIRF)

Year	Rank (in the respective category)

8. Total grants received from the UGC, during 12<sup>th</sup> Plan.

Year	Grant received	Grant Utilized	Unspent balance
<b>Total Sum</b>			

Please upload letter stating settlement of XI Plan accounts issued by regional office

9. Total grants received from Government sources (Other than UGC) in the last 5 years

Year	Funding Agency	Amount	
		Revenue	Capital

Total Sum			

**10. Resource Generation:**

<b>Resources generated by the college in the last 5 years</b>			
	<b>Year</b>	<b>Internal resources (Fee etc.,)</b>	<b>External resources (Consultancy, Research etc.,)</b>
	<b>Total Sum</b>		

**11. Sports infrastructure development:**

a. Details of existing sports infrastructure available in the college

<b>Sl. no</b>	<b>Name of Infrastructure facility</b>

b. Details of financial assistance received for development of sports infrastructure in the earlier plans

<b>Sl. no</b>	<b>Name of Facility</b>	<b>Amount Received</b>

c. Participation of College in sports during last three years

Sl. no	Sport	Year	Total Number of Students participated

d. Medal tally of College in inter-college events and above for last three years

Year	Sports	Level of Participation	Medals

e. Human Resource available in the College

Designation	Number	Date of joining
Director		
Deputy Director		
Assistant Director		
Coaches		

f. Details of land available

Land Area (in Sq. Mts.)	Purpose for which it is to be used	Ownership Deed

12. Details of departments and number of teaching posts sanctioned:

Programme	Name of Departments	Number of Teaching position	
		Sanctioned	Filled

Undergraduate			
Postgraduate			

13. Number of teachers\*

Category As per serial No. 5	Permanent	Temporary/ Ad-hoc (full-time)	Part-time/guest/visiting	On contract basis	Total Number

\*Details indicating the name, designation, qualifications, date of appointment and date of confirmation, (for permanent teachers only) of each teacher to be given in a separate sheet for permanent, temporary/ad-hoc(full-timers) and part-time/ guest/ visiting teachers)

14. Number of teachers under reserved category (SC/ST/OBC/PH)

Sl. no.	Category	Number of reserved post as per government reservation policy	Number in position	Remarks, If not filled
1				
2				
3				
4				

15. Profile of Student enrolment in degree classes and above as on 31st March, 2017

Enrolment																	
S.No.	Name of the courses	Men	Women	Total	SC		ST		OBC (non creamy layer)		Minorities		Economically weak*		Physically Challenged		Total
					Men	Women	Men	Women	Men	Women	Men	Women	Men	Women	Men	Women	
1																	

\* Students coming from families with income below the poverty line (as guided by the State/UT/Central Government)

### 16. Details about Post graduate departments

No.	Name of Department*	No. sanctioned & filled teaching position	No. of Journals	No. of Papers (in last 3 yrs.)	No. of MRPs (in last 3 yrs.)	No. of Major Projects (in last 3 years)
1						
2						
3						

\*Only Aided departments are eligible

Details of teachers, research publications, research projects, journals subscribed etc. are to be uploaded.

### 17. Summary of Financial Requirement (Component I, II, III & IV)

Annual Funds required by the College for the financial year \_\_\_\_\_

(Please give the requirement as per the ceiling indicated in the guidelines)

#### 1. Component I (Basic Assistance)

Level of Teaching	Capital (35)	General (31)	Total
Undergraduate Assistance			
a) <u>Capital</u> a) Books and Journals b) Equipment c) Instrumentation Maintenance Facility d) Extension/renovation/construction of building e) Improvement of facility in existing premises f) Educational Innovation g) Establishment of Day Care Centre in Colleges h) Career and Counselling i) ICT in Education j) Internal Quality Assurance Cell			

b) <u>General</u> a) Instrumentation Maintenance Facility b) Capacity building initiatives in Colleges c) Educational Innovation d) Field Work/Study Tours e) Extension Activities f) Career and Counselling Cell g) Internal Quality Assurance Cell h) Establishment of Day Care Centre in Colleges i) ICT in Education j) Assistance for visually challenged teachers			
Aided Postgraduate Assistance (indicate the names of the Arts departments) maximum of ₹ .2.00 lacs p.a, per department (Please indicate the items for which expenditure is proposed )  a) b)			
Aided Postgraduate Assistance (indicate the names of the Science departments) maximum of ₹ .3.00 lacs p.a, per department (Please indicate the items for which expenditure is proposed )  a) b)			
Grand Total			

## II. Component II (Quality Initiatives)

(Please give the requirement as per the ceiling indicated in the guidelines)

Purpose	Capital (35)	General (31)	Total
Minor Research Project			
Seminar/Conference/ Symposia/workshop			
Travel Grant			

## III Component III (Sports Infrastructure Development)

Sl No.	Purpose	Details	Justification	Funds required
1				

2				
---	--	--	--	--

#### IV Component IV (Faculty Development Programme)

No of teachers in the college	No of teacher		No of teachers who proposed to pursue P.hD / M.phil	Total funds required
	With M.phil / P.hD	Without M.phil / P.hD		

I here by certify the facts given above are correct

**Principial**  
(Signature with seal)

#### Certificate to be given by Planning Board

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 . It is certified that the proposal of the College for development of undergraduate education has been finalized by the Planning Board of the college. The college has the necessary financial resources and managerial ability to meet the expenditure over and above the UGC grant, if required, to complete the projects within the period in accordance with the terms and conditions prescribed for the purpose and submit necessary statement of accounts and other documents including Utilization Certificate as required by the Commission. The assistance sought from the Commission is not for the purpose of fulfilling the conditions of affiliation laid down by the University.

Further the college fulfills the eligibility conditions as laid down by UGC in its guidelines for Post Graduate department"s and is, therefore, eligible to receive financial assistance for development of Post Graduate courses.

The college undertakes to utilize the grants for the purpose for which they are sanctioned and would furnish all necessary documents as required in the conditions of grants laid down by the UGC.



Signature of Chairman and Members of Planning Board \_\_\_\_\_

Seal

Date \_\_\_\_\_

Signature \_\_\_\_\_

Registrar/ Coordinator/ Director, College Development Council

Seal

Date \_\_\_\_\_

ANNEXURE III

UNIVERSITY GRANTS COMMISSION  
UTILIZATION CERTIFICATE

UTILIZATION CERTIFICATE FOR THE YEAR..... in  
respect of recurring/non-recurring

GRANTS-IN-AID/SALARIES/CREATION OF CAPITAL ASSETS

- i. Name of the Scheme.....
- ii. Whether recurring or non-recurring grants.....
- iii. Grants position at the beginning of the Financial year
  - i. Cash in Hand/Bank
  - ii. Unadjusted advances
  - iii. Total

iv. Details of grants received, expenditure incurred and closing balances: (Actuals)

Unspent Balances of Grants Received Years [figure as at Sl. No. (iii) above]	Interest Earned thereon	Interest deposited back to the Government	Grant received during the year			Total Available funds (1+2-3+4)	Expenditure incurred	Closing Balances (5-6)
			Sanction No. (i)	Date (ii)	Amount (iii)			
1	2	3	4			5	6	7

Component-wise utilization of grants:

Components	Grant-in-aid- General	Grant-in-aid- Salary	Grant-in-aid-creation of capital assets	Total

I				
II				
III				
IV				

Details of grants position at the end of the year

i. Cash in Hand/Bank

ii. Unadjusted Advances

iii. Total

Certified that I have satisfied myself that the conditions on which grants were sanctioned have been duly fulfilled/are being fulfilled and that I have exercised following checks to see that the money has been actually utilized for the purpose for which it was sanctioned:

- i. The main accounts and other subsidiary accounts and registers (including assets registers) are maintained as prescribed in the relevant Act/Rules/Standing instructions (mention the Act/Rules) and have been duly audited by designated auditors. The figures depicted above tally with the audited figures mentioned in financial statements/accounts.
- ii. There exist internal controls for safeguarding public funds/assets, watching outcomes and achievements of physical targets against the financial inputs, ensuring quality in asset creation etc. & the periodic evaluation of internal controls is exercised to ensure their effectiveness.
- iii. To the best of our knowledge and belief, no transactions have been entered that are in violation of relevant Act/Rules/standing instructions and scheme guidelines.
- iv. The responsibilities among the key functionaries for execution of the scheme have been assigned in clear terms and are not general in nature.
- v. The benefits were extended to the intended beneficiaries and only such areas/districts were covered where the scheme was intended to operate.
- vi. The expenditure on various components of the scheme was in the proportions authorized as per the scheme guidelines and terms and conditions of the grants-in-aid.
- vii. It has been ensured that the physical and financial performance under..... (name of the scheme) has been according to the requirements, as prescribed in the guidelines issued by UGC.

Date:

Place:

Signature

Signature

Name.....

Name.....

Govt. Auditor/Chartered Accountant

Head of the Organization

(Strike out inapplicable terms)

**N.B. The Utilization Certificate should be accompanied by audited statement of accounts indicating expenditure on various items.**

**ANNEXURE IV**

**STATEMENT OF INCOME AND EXPENDITURE (Component-I, II, III & IV)**

<b><u>Component</u></b>	<b><u>Grant received</u></b>	<b><u>Expenditure incurred</u></b>	<b><u>Unspent balance</u></b>	<b><u>Remarks</u></b>
<b><u>Component I (Basic Assistance)</u></b>				
a) Capital				
a. Books and Journals				
b. Equipment				
c. Instrumentation Maintenance Facility				
d. Extension/renovation/construction of building				
e. Improvement of facility in existing premises				
f. Educational Innovation				
g. Establishment of Day Care Centre in Colleges				
h. Career and Counselling cell				
i. ICT in Education				
j. Internal Quality Assurance Cell				
b) General				

<ul style="list-style-type: none"> <li>a. Instrumentation Maintenance Facility</li> <li>b. Capacity building initiatives in Colleges</li> <li>c. Educational Innovation</li> <li>d. Field Work/Study Tours</li> <li>e. Extension Activities</li> <li>f. Career and Counselling Cell</li> <li>g. Internal Quality Assurance Cell</li> <li>h. Establishment of Day Care Centre in Colleges</li> <li>i. ICT in Education</li> <li>j. Assistance for visually challenged teachers</li> </ul> <p>Postgraduate (Arts)</p> <ul style="list-style-type: none"> <li>a.</li> <li>b.</li> </ul> <p>Postgraduate (Science)</p> <ul style="list-style-type: none"> <li>a.</li> <li>b.</li> </ul>				
<p><b><u>Component II (Quality Initiatives)</u></b></p> <ul style="list-style-type: none"> <li>a. Minor Research Project</li> <li>b. Seminar/Conference/ Symposia/workshop</li> <li>c. Travel Grant</li> </ul>				
<p><b><u>Component III (Sport infrastructure development)</u></b></p> <ul style="list-style-type: none"> <li>a.</li> <li>b.</li> <li>c.</li> </ul>				
<p><b><u>Component IV (Faculty development programme)</u></b></p>				

Signature \_\_\_\_\_

Principal (with seal)

Signature \_\_\_\_\_

Chartered Accountant/  
Government Auditor(with seal)

**BENEFICIARY ANALYSIS FOR COMPONENT II**

<b>Heads</b>	<b>Number of Beneficiaries</b>	<b>Amount Paid</b>	<b>Amount Utilized</b>	<b>Unspent balance</b>
Minor Research Project				
Seminar/Workshop/Conference				
Travel Grant				

**Details of Minor Research Project**

<b>Sl. no</b>	<b>Title of project</b>	<b>Name of Principal Investigator</b>	<b>No. of papers published</b>	<b>Amount Paid</b>	<b>Amount Utilized</b>	<b>Unspent balance</b>

**Details of Seminar/Workshop/Conference**

<b>Sl. no</b>	<b>Title of seminar</b>	<b>Name of the organizing Department</b>	<b>Category (International/ National / State)</b>	<b>Amount Paid</b>	<b>Amount Utilized</b>	<b>Unspent balance</b>

--	--	--	--	--	--

**Travel Grant**

Category	Name of Candidate	Name of the conference / Country	Amount Paid	Amount Utilized	Unspent balance
National					
International					

**Principal**  
(Signature with seal)

**ANNEXURE VI**

**COMPLETION CERTIFICATE (In Case of Buildings)**

It is certified that the construction of ..... approved by the University Grants Commission vide its letter No .F..... dated ..... has been completed on ..... at a cost of Rs.....in accordance with plans approved by the University Grants Commission. The site has been properly cleared.

Signature of the Principal  
(seal of the College)

Signature of Qualified Engineer/Registered Architect

**ANNEXURE VII**

**ASSET CERTIFICATE**

It is certified that inventories of permanent of semi-permanent assets created/acquired wholly or mainly out of the grant given by the University Grants Commission are being maintained in the prescribed form and are being kept up-to-date.

Signature of the Principal  
(seal of the College)

Signature of Govt. Auditor/Chartered Accountant



**COMPONENT IV**  
**FACULTY DEVELOPMENT PROGRAMME**

**Joining Report**

**Faculty Development Programme – Teacher Fellowship**

This is to certify that Mr./Ms. \_\_\_\_\_ who has been working as a Teacher (specify designation) in College joined the Department of \_\_\_\_\_ at on \_\_\_\_\_ (F.N./A.N.) and is working for his/her research under the guidance of \_\_\_\_\_. He/She has been admitted to M. Phil. course/registered for Ph. D. on \_\_\_\_\_.

Signature of Research Guide (SEAL)

Signature of  
Principal  
(Parent Institution) (SEAL)



शिवाजी विद्यापीठ, कोल्हापूर - ४१६००४ महाराष्ट्र  
महाविद्यालय व विद्यापीठ विकास विभाग  
दुरध्वनी (ईपीएबीएक्स): २६०९०००, २६०९१४५

Ref No.: SU/C.&U.D.Section/ 1090

Date: 26 MAR 2018

Copy f.w.c'

- The Principal / Director of all Affiliated Colleges to Shivaji University, Kolhapur.  
for information and necessary action.

Assistant Registrar

01/03/18

26/3/18