



सत्यमेव जयते

विश्वविद्यालय अनुदान आयोग  
**University Grants Commission**

(मानव संसाधन विकास मंत्रालय, भारत सरकार)

(Ministry of Human Resource Development, Govt. of India)

बहादुरशाह ज़फ़र मार्ग, नई दिल्ली-110002

Bahadur Shah Zafar Marg, New Delhi-110002

Ph.: 011-23239337, 23236288,

Fax : 011-23238858, email : jssandhu.ugc@nic.in

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2<sup>nd</sup> June, 2017

**PUBLIC NOTICE**

University Grants Commission (UGC) has drafted the following sets of Regulations/Guidelines after consultation with experts and stakeholders:

- (i) UGC (Categorization of Universities for Grant of Graded Autonomy) Regulations, 2017 (**Annexure-I**).
- (ii) University Grants Commission (Promotion and Maintenance of Standards of Academic Collaboration between Indian and Foreign Educational Institutions) Regulations, 2017 (**Annexure-II**).
- (iii) UGC [Institutions Deemed to be Universities] Regulations, 2017 (**Annexure-III**).
- (iv) Guidelines for Grant of Graded Autonomy to Central and State Public Universities (**Annexure-IV**).
- (v) University Grants Commission [Minimum Standards and Procedure for Awards of M.Phil/ Ph.D Degree] (1<sup>st</sup> Amendment) Regulations, 2017 (**Annexure-V**).

The above Regulations/Guidelines/Amendment are attached alongwith for seeking feedback/comments from general public/stakeholders. It is requested to send your feedback/comments on the above draft documents to UGC by email on [feedback2ugc@gmail.com](mailto:feedback2ugc@gmail.com) on or before **15<sup>th</sup> June, 2017**.

(Jaspal S. Sandhu)  
Secretary



[To be published in the Gazette of India, Part III, Section 4 (Extraordinary)]

(UNIVERSITY GRANTS COMMISSION)  
**UNIVERSITY GRANTS COMMISSION ( CATEGORISATION OF  
UNIVERSITIES FOR GRANT OF GRADED AUTONOMY) REGULATIONS  
– 2017**

**NOTIFICATION**

**May 2017**

**Preamble**

*Whereas* University Grants Commission (UGC) is mandated to coordinate and determine the standards of higher education in institutions of higher education;

*Whereas* UGC recognizes the importance of granting autonomy to institutions of higher education as a way of promoting and institutionalizing excellence;

*Whereas* pursuit of excellence for institutions of higher education is an incremental process and without a well-intentioned framework of regulations and systemic checkpoints, these institutions cannot scale the next level of quality and excellence;

*Whereas* the complementary relationship between regulatory environment and degree of autonomy has to be mediated by the relative principle of excellence in institutions of higher education;

*Therefore*, in exercise of the powers conferred by clauses (f) and (g) of sub-section (1) of Section 26 of the University Grants Commission Act, 1956, the University Grants Commission hereby makes the following regulations:-

**1. Short title, application and commencement –**

- (1) These regulations shall be called the University Grants Commission (Categorization of Universities for Grant of Graded Autonomy) Regulations, 2017.
- (2) They shall apply to all universities established or incorporated by or under a Central Act, a Provincial Act, or a State Act and Institution Deemed to be a University under Section 3 of UGC Act, 1956.
- (3) They shall come into force from the date of their notification in the Official Gazette of India.

## **2. Definitions -**

In these regulations, unless the context otherwise requires—

- (a) “Accreditation” with its grammatical variations means the process of quality control in higher education, whereby, as a result of evaluation or assessment or by any other scientific method followed by accreditation agencies, a higher educational institution or any programme conducted therein is recognised by it as conforming to parameters of academic quality and benchmarking of such academic quality determined by the appropriate statutory regulatory authority;
- (b) “Assessment” means the process involved in ascertaining or verifying the capabilities of a Higher Educational Institutions in terms of its physical infrastructure, human resources (including faculty), administration, course curricula, admission and student evaluation procedures and governance structure prior to the commencement of its academic programmes;
- (c) “Commission” means the University Grants Commission as defined in the University Grants Commission Act 1956;
- (d) “Higher Educational Institution” means an institution of learning including a university, an institution deemed to be university, a college which is imparting higher education beyond twelve years of schooling leading to the award of a degree
- (e) “National Assessment and Accreditation Council (NAAC)” means the body established by the Commission to assess and accredit institutions of higher education in the country.
- (f) “National Institutional Ranking Framework (NIRF)” means the Ranking Framework supported by the Ministry of Human Resources Development for ranking of Higher Educational Institutions in the country.
- (g) “University” means a university established or incorporated by or under a Central Act, a Provincial Act or a State Act, and includes an institution deemed to be university
- (h) Words and expressions used and not defined in these regulations but defined in the University Grants Commission Act, 1956 and not inconsistent with these regulations shall have the meanings respectively assigned to them in that Act.

## **3. Framework for Categorization of Universities for Grant of Graded Autonomy**

3.1 The Commission shall categorize Universities into following three categories Category I, Category II and Category III based on the parameters as laid down in sub-clauses (i), (ii) and (iii) below.

### **(i) Category I University:**

An University would be in Category I if

- a. it has been accredited by NAAC with score of 3.5 or above or
- b. if it has achieved a ranking in the top 50 institutions of the NIRF ranking in the category of universities for 2 years continuously.

**(ii) Category II University:**

A University would be in Category II if

- a. it has been accredited by NAAC with score between 3.01 and 3.49 or
- b. if it has achieved a ranking from 51 to 100 in the NIRF ranking in the category of universities for 2 years continuously

**(iii) Category III University:**

A University would be in Category III if it does not come either under the Category I or Category II.

3.2 Whenever NAAC revises its scale or pattern of assigning accreditation scores or whenever NIRF revises its categories for Ranking Higher Educational Institutions, then Clause 3.1 can be amended through notification to be issued by the Commission with the approval of the Central Government.

**4. Graded Autonomy for Universities of different categories**

- 4.1 The Commission may have different provisions for different categories of Institutions as defined in Clause 3.1 with the objective of giving higher levels of autonomy to Institutions under Category I compared to institutions under Categories II or III, and to institutions under Category II compared to institutions under Category III.
- 4.2 While framing any Regulation, the Commission may also sub-categorize any of the Categories in that Regulation to give a differentiated autonomy under that specific Regulation to institutions within that category.

**5. Change in Category of a University for non-maintenance of NAAC score or NIRF ranking**

5.1 Universities under Category I and Category II shall continue to be in their respective categories as long as they maintain the required parameters under NAAC or NIRF, as the case may be, for that category.

Provided that whenever an Institution fails to maintain the accreditation or ranking applicable to its existing category, then it shall mandatorily inform the Commission of the same within 30 days of the change in its status.

5.2 If any University under Category I either drops its NIRF ranking for two continuous years or its NAAC score to an extent so as to fall into Category III or if an University under Category II drops its NIRF ranking below 150 for two consecutive years or its NAAC score falls below 2.5, then it shall be cautioned by the Commission at the first instance to improve its performance.

5.3 If a University after getting cautioned under clause 5.2 does not improve its status and regain the prescribed parameters applicable for its category within next 5 years, then it shall be moved to the lower category to which it is eligible as per its parameters.

5.4 In case a University is moved to another Category under clause 5.3, it shall be governed by the regulations applicable to the new Category, and it shall not be eligible to avail the additional autonomy available to it under the higher category. However, any privilege which it might have got by virtue of being in higher category shall not be withdrawn retrospectively.

## **6. Procedure for Categorization of Universities**

6.1 The Commission shall fix dates (at least two times in a year, preferably 1<sup>st</sup> of June and 1<sup>st</sup> of December) by which a University may make a request in prescribed format for fixing or re-fixing, as the case may be, the category of the University under these Regulations. As far as possible the dates so fixed may be the same every year and announced at least six months before the date so laid down.

6.2 All such applications shall be scrutinized by the Commission and orders on Categorization passed within thirty days of the date fixed as the last date for receipt of such applications. During this period, the Commission shall also publish such requests on its website.

**Jaspal S. Sandhu**  
(Secretary)

**UNIVERSITY GRANTS COMMISSION  
NOTIFICATION**

New Delhi, the     May, 2017

**F. No. 1-1/2012(CPP-II).**—In exercise of the powers conferred by clauses (f) and (g) of sub-section (1) of section 26 read with clause (j) of Section 12 of the University Grants Commission Act, 1956, the University Grants Commission hereby makes the following regulations, namely:-

**1) Short title, application and commencement:-**

- (i) These regulations may be called the University Grants Commission (Promotion and Maintenance of Standards of Academic Collaboration between Indian and Foreign Educational Institutions) Regulations, 2017 (hereafter referred to as the Regulations). The University Grants Commission (Promotion and Maintenance of Standards of Academic Collaboration between Indian and Foreign Educational Institutions) Regulations, 2016 shall hereby stand repealed.
- (ii) These regulations shall apply to-
  - (a) All Foreign Educational Institutions operating in India through collaboration with Indian Educational Institutions, other than Technical Institutions, prior to the coming into force of these regulations, or intending to operate through collaboration, for offering their programmes leading to award of degrees;  
and
  - (b) Indian Educational Institutions, other than Technical Institutions, already collaborating prior to the coming into force of these regulations, or intending to collaborate with Foreign Educational Institutions for offering programme(s) of study leading to award of degrees.
- (iii) Any Indian Educational Institution or Foreign Educational Institution already having a collaborative arrangement shall comply with these regulations within a period of six months from the date of their coming into force.
- (iv) These regulations shall come into force on the date of their publication in the Official Gazette.

**2) Definitions:-**

- (a) “Act” means the University Grants Commission Act, 1956 as amended from time to time;
- (b) “Assessment and Accreditation Agency”, in respect of Indian Educational Institutions means an agency recognized under the University Grants

Commission (Recognition and monitoring of Assessment and Accreditation Agencies) Regulations, 2014.

- (c) “Assessment and Accreditation Agency”, in respect of a Foreign Educational Institution, means an agency or body approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions;
- (d) “Category I, Category II and Category III” means the category of university as laid down under UGC (Categorization of Universities for Grant of Graded Autonomy) Regulations, 2017
- (e) “Collaboration”, for the purposes of these regulations, means an arrangement between an Indian Educational Institution and a Foreign Educational Institution, put into place through an instrument of written Agreement for the purposes of twinning leading to the award of degree(s);
- (f) “Commission” means the University Grants Commission established under section 4 of the Act;
- (g) “Degree” means a degree awarded by an Indian Educational Institution in accordance with the provisions of the section 22 of the UGC Act;
- (h) “Franchise” means and includes the offering of degree programmes, formally or informally, by any person or institution or organization, other than the Higher Education Institution recognized under these regulations, on behalf of or in the name of the recognized Higher Education Institution, and the term ‘franchisee’ shall be construed accordingly
- (i) “Foreign Educational Institution” means—(i) an institution duly established or incorporated in its home country and offering educational programmes at the undergraduate and higher levels in its home country and (ii) which offers or proposes to offer programme(s) of study leading to the award of degree(s) through conventional face-to-face mode, but excluding distance mode, in a twinning arrangement with any Indian Educational Institution;
- (j) “Indian Educational Institution” means a university or college or institution, whether known as such or by any other name, (public and private), other than Technical Institution, recognized as such by the relevant Statutory Body for imparting education at undergraduate and higher levels;
- (k) “Joint Degree”, for the purposes of these regulations, means a single degree jointly awarded by the Indian Educational Institution and the collaborating Foreign Educational Institution.
- (l) “Statutory Body” means a body established or incorporated by or under a Central Act to regulate, coordinate, determine and maintain standards of teaching, examination and research in universities or programme(s) of study, including professional programme(s) leading to the award of degree(s);
- (m) “Technical Institution” means an institution as defined under clause (h) of section 2 of the All India Council for Technical Education Act, 1987 but excluding Technical Universities and Universities offering technical programmes;
- (n) “Twinning Programme” means a programme of study whereby students enrolled with an Indian Educational Institution may complete their programme of study partly in India, complying with relevant UGC regulations, and partly in the main

campus of a Foreign Educational Institution in its home country in which it is primarily established or incorporated.

**3) Eligibility criteria and conditions for collaborations:-**

(1) A Foreign Educational Institution collaborating with an Indian Educational Institution shall satisfy the following criteria or conditions-

- (a) Be accredited, by an Assessment and Accreditation Agency, with the highest grade (in case of grade accreditation) or threshold level (in case of threshold accreditation), in their homeland.
- (b) Figure in top five hundred of any of the world renowned ranking frameworks (such as the Times Higher Education World University Rankings or QS or Shanghai's Jiao Tong University) or in top two hundred of its category under such world renowned ranking framework.
- (c) Have operative arrangements in India through Indian Educational Institution(s) by way of collaboration.
- (c) Abide by any other condition(s) prescribed by the Government of India and Statutory Regulatory Body(ies) from time to time.

(2) An Indian Educational Institution collaborating with Foreign Educational Institution(s) shall satisfy the following criteria or conditions-

- (a) At the time of Agreement for collaboration, the Indian Educational Institution shall have accreditation by an Assessment and Accreditation Agency with a grade not less than A or its equivalent grade (in case of grade accreditation) or threshold level (in case of threshold accreditation) with respect to the institution or programme whichever is applicable;
- (b) It shall have experience of at least six years or have at least two batches of students graduating, whichever is earlier, in offering educational programme(s) in India at the degree level;

Provided that the Indian Educational Institutions maintained by the Commission or Central/State/Union Territory Governments shall be exempt from the requirement of six years experience or at least two batches of students graduating, whichever is earlier, in offering educational programme(s) in India at the degree level.

Provided further that any Indian Educational Institution which has signed a collaboration agreement with Foreign Educational Institution prior to the date of coming into force of the Regulations and not having the desired accreditation on the date of notification of these regulations, shall be required to obtain the accreditation, by a recognized accreditation agency, with a grade not less than A or its equivalent within one year after completion of six years from the date of the commencement of



educational programme(s) or two batches of students graduating, whichever is earlier.

Provided further that within six months of notification of these regulations, the collaboration signed by an Institution which is not a Category I institution, shall be evaluated by a sub-committee of the Commission, which shall take into account a presentation by the Indian Higher Educational Institution. The sub-committee will include experts having experience in international jurisprudence; international academic background and also comprise representatives of Association of Indian Universities; All India Council of Technical Education, etc. In case of Category I Institution, it shall be sufficient if the Institution informs the Commission on such collaborations.

The Commission shall take a decision on the continuation or otherwise of the collaboration signed by an Institution which is not a Category I institution based on the recommendations of the sub-committee. In case of the decision of discontinuation of the collaboration, the Commission shall record the extenuating ground for its decision. The decision of the Commission shall be communicated to the institution.

- (c) Its academic infrastructure, including laboratory and workshop facilities and library shall meet the requirements of the relevant professional Statutory Councils/ Bodies.
- (d) The Indian Educational Institution, if it is an institution affiliated to a university, collaborating with Foreign Educational Institutions for conducting programme(s) of study leading to the degree(s) shall obtain prior approval from the affiliating university concerned.

Provided that colleges declared autonomous by the Commission, need not take approval of the affiliating University and it would be sufficient if they inform the University of the same.

- (3) All institutions (Indian or Foreign) involved in collaborative, twinning or other forms of partnership arrangements shall satisfy the following criteria and conditions:
  - (a) The academic requirements and other details of the programme(s) of study shall be made public by displaying prominently in the website, before the commencement of the programme, by the Indian Educational Institution concerned.
  - (b) No programme of study and/or research shall be offered which is against national security and territorial integrity of India.

- (c) The Educational Institution concerned shall also abide by any other condition(s) specified by the Government of India and Statutory Body (ies) from time to time.
- (d) Wherever foreign exchange is involved, the educational institution (Indian and/or foreign) shall abide by and comply with the relevant Regulations, Norms, Notifications and Instructions issued by the Reserve Bank of India from time to time.
- (e) Matters relating to the grievances of students including legal matters relating to the collaboration shall be addressed by the Indian Educational Institution entering into academic collaboration.

**4) Procedure for collaboration:-**

Any Indian Educational Institution collaborating with a Foreign Educational Institution(s) shall have to enter into a written Memorandum of Understanding or Agreement with the Foreign Educational Institution concerned:

Provided that no Memorandum of Understanding or Agreement shall be entered into by an Indian Educational Institution, which is not a Category I Institution, collaborating with a Foreign Educational Institution unless the Indian Educational Institution concerned has obtained prior approval of the Commission;

Provided further, that the Memorandum of Understanding or Agreement shall be signed by both the partnering institutions and a copy of such Memorandum of Understanding or Agreement shall be forwarded to the Commission and shall also be uploaded on its website by the Indian Educational Institution. However, such signing shall take place, in case of Institution which is not a Category I institution, only after approval of the Commission.

**5) Procedure for approval:-**

For approval, the following procedure is required to be fulfilled; namely-

- (a) The Indian Higher Educational Institution shall obtain the approval of its Board of Governors/Syndicate/ Executive Council for the academic collaboration with the foreign higher educational institution in accordance with the instructions of the Department of Higher Education, Government of India vide F.No. 6-2/2015-ICC dated 17th December, 2015 and its subsequent amendments, if any, issued from time to time.
- (aa) (i) The Indian Higher Educational Institution, which is a Category I Institution, shall inform at least forty days before starting the course online on the dedicated University Grants Commission portal and also upload along with a digitally certified copy of draft Memorandum of Understanding/ Agreement and details about the

Foreign Educational Institution including the infrastructure facilities, facilities available for instruction, faculty, specified fee, courses, curricula, requisite funds for operations for a minimum period of three years and other terms and conditions of collaboration, if any.

- (ii) On receipt of such information, the Commission shall examine the same and, if any deviation from these Regulations is seen, inform within thirty days the same to the Institution for rectification.

Provided if no such communication is received from the Commission within thirty days, it shall be presumed that the Commission has no comments to offer.

- (iii) The sub-clauses (b), (d), (e), (f) and (g) of this Clause shall not apply to Category I institutions.

- (b) The Indian Higher Educational Institution, which is not a Category I institution, shall, thereafter, apply online on the dedicated University Grants Commission portal and also upload along with the application a digitally certified copy of draft Memorandum of Understanding/ Agreement and details about the Foreign Educational Institution including the infrastructure facilities, facilities available for instruction, faculty, specified fee, courses, curricula, requisite funds for operations for a minimum period of three years and other terms and conditions of collaboration, if any.
- (c) The draft Memorandum of Understanding or Agreement should incorporate the provision that the credits, awarded by the Indian Higher Educational Institution under the degree programs covered in the collaboration, shall be accepted by the Foreign Higher Educational Institution not only for the collaboration but for all other purposes, including academic mobility. Further, the minimum duration of the program of study, covered under the collaboration, in the Foreign Educational Institution shall not be less than two semesters for undergraduate programs and one semester for the postgraduate programs.
- (d) The Commission, after receiving the online application along with draft Memorandum of Understanding or Agreement shall acknowledge online the receipt of the application. Deficiencies in the proposal, if any, shall be communicated and additional documents, if any required, shall be asked for within a period of 30 working days.
- (e) Once the Commission is satisfied that the proposal is complete in all respects, the proposal shall be placed before the sub-committee of the Commission, referred to in the third proviso to Regulation 3(2)(b), for examining such proposals. The recommendations of the sub-committee

shall be placed before the Commission which shall take the decision to issue a letter of approval, after considering various factors including quality of education, overall merit of the proposal, fees to be charged, credibility of the Foreign Educational Institution as well as Indian Educational Institution. In case the Commission does not approve the proposal, a letter of rejection shall be issued on the designated University Grants Commission portal by the Commission stipulating the reasons there for. All communications received from the applicants shall be responded to by the University Grants Commission within a period of 60 working days from the dates of their receipt.

- (f) The approval so granted shall be valid for two cycles of the minimum duration of the degree programmes covered under the collaboration or as specified otherwise.
- (g) The Indian Educational Institution shall apply, on the designated UGC portal, for renewal of approval, granted under these regulations, before six months of its expiration.

**6) Miscellaneous conditions:-**

The other conditions required to be fulfilled are -

- (a) A franchise arrangement, whether overtly or covertly, by whatever nomenclature used, between a Foreign Educational Institution and an Indian Educational Institution shall not be allowed under these regulations.
- (b) The University Grants Commission shall maintain an updated list of approved collaborating institutions on its website.
- (c) On commencement of these regulations, no Indian Educational Institution shall establish or operate its educational activity in India through collaboration with a Foreign Educational Institution leading to award of degree(s) without informing the Commission in case of category I Institution, and without the express permission or approval of the Commission in other cases.
- (d) Within the country the degree of the student graduating from Indian Educational Institution, in collaborative arrangement with Foreign Educational Institution, shall be awarded only by the Indian Educational Institution and not by Foreign Educational Institution whatsoever. Joint degrees are not permitted. The degree awarded by the Indian Educational Institution shall carry its logo, seal and name alone as the awarding institution. The degree may incorporate a para that it is being awarded in collaboration with the Foreign Educational Institution to make it amply clear that the primacy and the award of the degree is by the Indian Educational Institution and that the degree awarded is not to be construed as a Joint Degree. The transcripts of credits obtained at the Foreign Educational

Institution shall be issued by that Institution, and when jointly signed by the Indian Educational Institution, shall form part of the transcripts. The Foreign Educational Institution may also sign the transcript of credits earned in the Indian Educational Institution.

**7) Consequences of violation:-**

- (a) The Commission shall, *suo motu* or on the basis of any complaint from any quarter may cause an inquiry, including physical inspection, of the collaborative arrangements and after having satisfied itself that the collaborating institution(s)is/are not functioning in accordance with these regulations, may revoke the approval for collaboration and while issuing such directions, the Commission shall ensure that the students, who have already enrolled for such course or programme are permitted to continue till they obtain requisite qualification;

Provided that before revocation of approval, an opportunity of being heard shall be given to the Indian Educational Institution concerned.

- (b) If the institution concerned is found to have violated these regulations, the Commission shall take action as provided under section 14 of the Act and shall also notify on its website and also through media that the programme(s) offered or conducted through the said collaborative arrangements are not in conformity with these regulations.
- (c) In case the Commission finds any Deemed to be University violating any of the provisions of these regulations, in addition to provisions made under clauses (a) and (b) above, the Commission may also recommend to the Central Government for withdrawal of Deemed to be University status.
- (d) If an Indian Educational Institution issues an advertisement that it is offering a degree from a Foreign Educational Institution, and this collaboration has not been informed to the Commission in case of category I institutions or does not have the approval of the Commission in case of other institutions, the Commission shall conduct a preliminary inquiry and on finding prima-facie evidence of fraud inform the appropriate Central and State agencies, along with evidence, for initiating penal action.
- (e) The Commission may also take further action against Indian Educational Institution(s) for violating the regulations.

**8. Interpretation:-**

- (a) Any question as to the interpretation of these regulations shall be decided by the Commission and its decision shall be final and binding in the matter.
- (b) The Commission shall have the power to issue clarifications to remove any doubt, difficulty or anomaly which may arise in regard to the implementation of these regulations.
- (c) Any dispute arising in relation to collaborative arrangement between Indian Educational Institution(s) and Foreign Educational Institution(s) shall be governed by the Indian law.
- (d) Expenditure on foreign collaboration entered under these Regulations shall be met from own funds of the Institution and no responsibility shall lie on the Commission or the Government to give financial support to such a collaboration.

Dr. JASPAL SINGH SANDHU  
Secretary

**--UNIVERSITY GRANTS COMMISSION  
NEW DELHI**

**UGC [INSTITUTIONS DEEMED TO BE UNIVERSITIES] REGULATIONS, 2017**

**PREAMBLE**

To regulate, in an orderly manner, the process of declaration of institutions as deemed to be universities; preventing institutions of dubious quality from being so declared; and, further to maintain quality of higher education imparted by institutions deemed to be universities consistent with the ideals of the concept of a university; the University Grants Commission, in exercise of powers conferred under clauses [f] & [g] of sub-section [1] of Section 26 of the University Grants Commission Act, 1956, hereby, makes the following Regulations namely:-

**1.0 SHORT TITLE, APPLICATION AND COMMENCEMENT**

- 1.1 These Regulations may be called the UGC [Institutions Deemed to be Universities] Regulations, 2017.
- 1.2 These Regulations shall apply to every institution seeking declaration as an institution deemed to be university under the Act as also, albeit prospectively, to an institution which has been declared as an institution deemed to be university under Section 3 of the UGC Act, 1956.
- 1.3 They shall come into force with effect from the date of their notification in the Official Gazette.
- 1.4 These Regulations shall replace the UGC (Institutions Deemed to be Universities) Regulations, 2016.

**2.0 DEFINITIONS**

In these Regulations, unless the context otherwise requires:

- 2.01 "Act" means the University Grants Commission Act, 1956 [Act 3 of 1956].
- 2.02 "Campus" means Campus of the institution deemed to be university at its headquarters, wherein its major facilities, faculty, staff, students and its Academic Departments are located in a city /town /village in India. 'Off-Campus centre' means an approved (by the Central Government) centre of the institution deemed to be university beyond its Campus in the country. Headquarters includes all the campuses situated in the same city/town/village.
- 2.03 "Category I, Category II and Category III" means the category of university as laid down under UGC (Categorization of Universities for Grant of Graded Autonomy) Regulations, 2017.
- 2.04 "Commission" means the University Grants Commission (UGC) constituted under the Act or any other body empowered to regulate an institution deemed to be university under any law for the time being in force.
- 2.05 "Committee of Experts" means a Committee appointed by the Commission consisting of academics, researchers or other experts in the relevant fields of knowledge and notified under these Regulations for such purpose as it may

## UGC [Institutions Deemed to be Universities] Regulations, 2017

specify; and there may be as many Committees of Experts as the Commission may determine for different purposes.

- 2.06 “Constituent Institution” means an institution operating under the administrative, academic and financial control of the sponsoring body and declared as such under the Notification.
- 2.07 “Constituent Unit” means those units of the Institution which were existing at the time of submission of proposal to be declared as an Institution Deemed to be University.
- 2.08 “De-novo Institution” means an institution with the focus on teaching and research in unique and ‘emerging areas of knowledge’, so determined by peers of the academic community.
- 2.09 “Emerging area of knowledge” in the context of *De-Novo* Institutions means such areas which are considered desirable and useful but not currently taught in the country.
- 2.10 “Government” means the Central Government, unless the context so specifies.
- 2.11 “Institution” means an institution for higher education engaged in teaching and research at the undergraduate, post-graduate or higher levels.
- 2.12 “Institution deemed to be university” means an institution for higher education so declared, on the recommendation of the Commission, by the Central Government under Section 3 of the Act.
- 2.13 “Necessary Infrastructure” means infrastructure as required under the norms of concerned Statutory Body/Commission.
- 2.14 “Processing Fee” means the charges that have to be paid by the applicant institution to the Commission along with the application for processing such application. This amount shall take into account the expenditure to be incurred by the Commission for processing an application that shall include onsite visits of Expert Committees of the Commission. The Commission shall prescribe the processing fee and revise it from time to time.
- 2.15 “Notification” means a notification issued by the Central Government in the Official Gazette declaring an institution for higher education, as an institution deemed to be university u/s 3 of the Act.
- 2.16 “Sponsoring body” means a body being a charitable or a not-for-profit Society/Trust/Company under Section 8 of Companies Act 2013 making an application for declaring an institution under its administrative, academic and financial control as a deemed to be university.
- 2.17 “Statutory body/authority/council” means a body constituted under any law for the time being in force for determining or maintaining standards of quality in the relevant areas of higher education and bodies known as All India Council for Technical Education (AICTE), Medical Council of India (MCI), Dental Council of India (DCI), National Council for Teacher Education (NCTE), Bar



Council of India (BCI), Indian Nursing Council (INC), or any other such regulatory body established under an Act of Parliament, shall be the Statutory bodies for the purposes of these Regulations.

### **3.0 OBJECTIVES OF AN INSTITUTION DEEMED TO BE UNIVERSITY**

The objectives for which an institution is declared by the Government as an institution deemed to be university shall be:

- 3.1 To provide for higher education leading to excellence and innovations in such branches of knowledge as may be deemed fit primarily at post-graduate and research degree levels fully conforming to the concept of university, namely, University Education Report (1948) and the Report of the Committee on Renovation and Rejuvenation of Higher Education in India (2009) and the Report of the Review Committee for Deemed to be Universities (2009).
- 3.2 To engage in areas of specialization with proven ability to make distinctive contributions to the objectives of the higher education system.
- 3.3 To provide for high quality teaching and research and for the advancement of knowledge and its dissemination through various research programmes undertaken in- house by full time faculty / research scholars (PhDs and Post Doctoral) in diverse disciplines.
- 3.4 To enable creation of institutions deemed to be university under the 'de novo' category devoted to unique and emerging areas of knowledge, not being pursued by conventional or existing institutions - particularly in specific areas of study and research preferably sponsored by the Government of a State / UT or the Central Government regarded as important for strategic needs of the country or for the preservation of our cultural heritage, so determined by a well laid-out process of wide consultation with eminent peers of academic community.

### **4.0 ELIGIBILITY CRITERIA FOR AN INSTITUTION TO BE DECLARED AS AN INSTITUTION DEEMED TO BE UNIVERSITY**

An institution applying to be declared as an institution deemed to be university shall have to meet the following stipulations:-

(a) Eligibility criteria

- 4.1 Has been accredited with minimum A Grade by NAAC continuously for three cycles including the applicable cycle on the date of application or has been accredited by NBA continuously for three cycles (five year cycle) including the applicable cycle on the date of application. In case of NBA, such accreditation should be for all its eligible courses.

OR

Should have the accreditation of 'A' grade by NAAC, or should be accredited by NBA (five year cycle) at the time of application, and in the immediately previous NAAC/NBA cycle, and should be in top 100 of overall ranking of

## UGC [Institutions Deemed to be Universities] Regulations, 2017

National Institute Ranking Framework (NIRF) ranking of colleges at the time of application and in immediately previous two years. In case of NBA, such accreditation should be for all its eligible courses.

- 4.2 Has demonstrated the characteristics of a university through diverse curricular provisions, contribution to teaching; and, verifiable research output.
- 4.3 Has under graduate and at least five post graduate departments in existence for 3 years with research programmes.
- 4.4 Shall be engaged in research activity, publications and scholarly works and shall have doctoral / post-doctoral research programmes.
- 4.5 Shall have adequate number of full-time fully qualified faculty for teaching and research as per UGC/ concerned Statutory Council(s) norms.
- 4.6 Shall possess the necessary infrastructure for quality research and seamless access to modern information resources.
- 4.7 Shall have a record of extension services and societal engagement.
- 4.8 Each constituent unit included in the original proposal shall have minimum A Grade by NAAC continuously for three cycles including the applicable cycle on the date of application or has been accredited by NBA continuously for three cycles (five year cycle) including the applicable cycle on the date of application. In case of NBA, such accreditation should be for all its eligible courses.

(b) Conditions

- 4.9 The applicant institutions shall be a not-for-profit organization and shall not be engaged in commercialization of higher education.
- 4.10 The applicant institution shall not have violated any of the provisions of any of the statutes / guidelines of UGC/ any Statutory Authority in the period of five years preceding the date of submission of the application seeking status of an institution deemed to be university.

### 5.0 **GOVERNANCE SYSTEM FOR AN INSTITUTION TO BE DECLARED AS AN INSTITUTION DEEMED TO BE UNIVERSITY**

An institution to be declared as a deemed to be university shall adhere to the following criteria:

- 5.1 The proposed institution deemed to be university shall be registered as a not-for-profit Society under the Societies Registration Act, 1860 or as a not-for-profit Trust under the Public Trust Act, or as a not-for-profit company under section 8 of the Companies Act, 2013 (hereinafter referred to as the Managing Society/Trust/Company), which shall be owned by a not-for-profit Society registered under the Societies Registration Act, or a not-for-profit Trust registered under the Public Trust Act, or a not-for-profit company registered

under section 8 of the Companies Act, 2013 (hereinafter referred to as the Sponsoring Society/Trust/Company), or in case of a Government controlled deemed to be university, by the Government:

Provided that the members/trustees/promoters of a Managing Society/Trust/Company of a deemed to be a university, not being a Government Controlled deemed to be university, shall not be directly or indirectly connected with the members/trustees/promoters of the sponsoring Society/Trust/Company.

Provided further that in case the managing society of the proposed institution deemed to be university is registered as a stand alone not-for-profit Society registered under the Societies Registration Act, or a not-for-profit Trust registered under the Public Trust Act, or a not-for-profit company registered under section 8 of the Companies Act, 2013 and does not have a separate sponsoring society, then requirement of a separate sponsoring society may be waived by the Commission. For such a waiver, the managing society should be carrying out exclusively the activity of running the institution deemed to be University and shall not be involved in any other activity, including running other educational institutions or any other activity, whether charitable or otherwise. On getting such a waiver, the responsibility of the sponsoring society mentioned in these Regulations, would be carried out by the Managing Society itself.

- 5.2 Among the authorities of the deemed to be universities, there shall be a Chancellor who shall be appointed by the sponsoring Society/Trust/Company and shall be a distinguished public figure.
- 5.3 The Sponsoring body of deemed to be universities may also appoint a person as a Pro Chancellor, whose role would be limited to carrying out the tasks assigned to the Chancellor in these Regulations, when the latter is not available for carrying out the same.
- 5.4 The highest governing body of the deemed to be university shall be a Board of Management to be headed by the Vice Chancellor. This body shall consist of a minimum of ten members and a maximum of fifteen members.
- 5.5 The Board of Management of the institution shall be independent of the sponsoring Society/Trust/Company and managing Society/Trust/Company with full autonomy to perform its academic and administrative responsibilities. The number of representative(s)/ nominee(s) of the Sponsoring Society/Trust/Company on the Board of Management shall be limited to a maximum of four.
- 5.6 The Board of Management shall consist of eminent persons capable of contributing to and upholding university ideals and traditions.

5.7 There shall be a Board of Management consisting of the following: -

- i) Vice-Chancellor.....Chairperson
- ii) Pro Vice-Chancellor (wherever applicable)
- iii) Deans of Faculties not exceeding two (by rotation based on seniority)
- iv) Three eminent academics as nominated by the Chancellor, who shall have worked at the rank of professor and shall neither be from the Institution or the sponsoring body nor be their relatives.
- v) A representative of Government (respective Central Government Ministry/respective State Government) who shall be an eminent academic not below the rank of Professor, in case the institutions are controlled and managed by Government or receiving grants more than or equal to 50% of its expenditure (based on average of previous three year account) from the Government directly or through its agencies. There shall be no representative of Central Government or the Commission for Deemed to be Universities under Category I or Category II which are not controlled or managed by Government or are not receiving grants more than or equal to 50% of its expenditure. In all Deemed to be Universities under Category III, the Commission shall nominate a representative. The Commission will nominate its representative from a panel of names selected through a Search Committee. The Search Committee will be formed as per details & procedure as mentioned in Clause 5.0 of **Annexure I** of these Regulations for selecting the panel of names.
- vi) Two teachers (from Professors, Associate Professors) by rotation based on seniority
- vii) One teacher by rotation of the rank of Assistant Professor.
- viii) Maximum of four nominees of the sponsoring Society/trust/company
- ix) The Registrar, who shall be the Secretary

The term of membership of the Board of Management and its powers are as shown in **Annexure 1**.

- 5.8 The Vice Chancellor shall be an eminent academic and shall be appointed in the manner laid down under clause 6.2 in **Annexure 2**.
- 5.9 All other authorities of the deemed to be university shall be as described in **Annexure 2**.
- 5.10 Notwithstanding anything contained in these Regulations, the governance system and management structure of a Government Controlled institution Deemed to be University may be in accordance with the decision of the Central Government or the State Government, as the case may be.

## **6.0 ADMISSIONS AND FEES STRUCTURE**

6.1 No institution deemed to be university shall, for admission in respect of any course or programme of study conducted in such institution, accept payment towards admission fee and other fees and charges,-

- (a) which is a capitation fee or donation in whatever nomenclature or form
- (b) other than such fee or charges for such admission, which has been declared by it in the prospectus for admission against any such seat, and on the website of the institution,

Provided if there are any fees prescribed in accordance with the Fee Regulations framed by the Government or by the Commission from time to time, then the fees or other charges for admission shall not exceed the same.

- (c) without a proper receipt in writing issued for such payment to the concerned student admitted in such institution.

6.2 (1) No institution deemed to be university shall charge any fee for an admission test other than an amount representing the reasonable cost incurred by it in conducting such test:

Provided further that an institution deemed to be university shall not engage in commercialization of education in any manner whatsoever, and shall provide for equity and access to all deserving students.

(2) In case an admitted student does not join the institution within 7 days of opening of the Institution, the Institution shall refund:

- a) In case the student informs of his intention not to join the institution at least 7 days before the start of the academic session, then 100% of the fees collected minus the processing charges, which shall not be more than Rs 10000, or any other amount fixed by UGC. The same shall be refunded within 15 days of receipt of information from the student.
- b) In case no such information is given by the student but the Institution is able to fill up the seat so vacated, then 100% of the fees collected minus the processing charges, which shall not be more than Rs 10000, or any other amount fixed by UGC. The same shall be refunded within 15 days of request of refund from the student or the expiry of 30 days after opening of academic session, whichever is later.
- c) In case no such information is given by the student and the Institution is not able to fill up the seat even by the end of 30 days after the opening of academic session, then 50% of the fees collected minus the processing charges, which shall not be more than Rs 10000, or any other amount fixed by UGC. The same shall be refunded within 15 days of request of refund from the student or the expiry of 30 days after opening of academic session, whichever is later.

(3) If a student joins the Institution, and then leaves it in mid-session then the entire fees collected shall be forfeited.

6.3 Admission of students to an institution deemed to be university, public or private, shall be made in the following manner:

- (i) In case the appropriate statutory authority has specified the process of selection for admission to any course, or programme of study in any institution which includes conducting competitive admission test for ascertaining the competence of any person to pursue such course or programme of study, in that case, no person shall be admitted to such course or programme of study in such institution, except through an admission test conducted by a recognized body or such institution or a group of institutions if such institution or group of institutions have been so authorised by the Central Government or a State Government or any statutory authority.
- (ii) In case the process of selection for admission to any course or programme of study in any institution including conducting competitive admission test has not been specified under sub-clause (i), in that case, no person shall be eligible for admission to such course or programme of study in such institution except through inter se merit to be specified in the prospectus of each institution and the inter se merit so arrived at shall be published on the website of the institution, along with the scores attained by all individuals in each of the parameters taken into reckoning for arriving at such inter-se list :

Provided that admission of Non-Resident Indians (NRI)/Persons of Indian Origin (PIO)/Foreign students to institutions deemed to be universities shall be governed by the Guidelines/Regulations framed by the Commission in this behalf from time to time

6.4 Every institution deemed to be university shall –

- (a) maintain the records of the entire process of selection of candidates, and preserve such records for a minimum period of five years;
- (b) exhibit such records on its website; and
- (c) be liable to produce such record, whenever called upon to do so by any statutory authority or by the Government under any law for the time being in force.

6.5 Every institution deemed to be university shall publish, before expiry of sixty days prior to the date of the commencement of admission to any of its courses or programmes of study, a prospectus containing the following for the purposes of informing those persons intending to seek admission to such institution and the general public, namely :-

- (i) each component of the fee, deposits and other charges payable by the students admitted to such institution for pursuing a course or a programme of study, and the other terms and conditions of such payment;
- (ii) the percentage of tuition fee and other charges refundable to a student admitted in such institution in case such student withdraws from such institution before or after completion of course or

- programme of study and the time within, and the manner in, which such refund shall be made to the student;
- (iii) the number of seats approved in respect of each course or programme of study for the academic year for which admission is proposed to be made;
  - (iv) the conditions of eligibility including the minimum and maximum age limit of persons for admission as a student in a particular course or programme of study, where so specified by the institution;
  - (v) the educational qualifications specified by the relevant statutory authority/body, or by the institution, where no such qualifying standards have been specified by any statutory authority;
  - (vi) the process of admission and selection of eligible candidates applying for such admission, including all relevant information in regard to the details of test or examination for selecting such candidates for admission to each course or programme of study and the amount of fee to be paid for the admission test;
  - (vii) details of the teaching faculty, including therein the educational qualifications and teaching experience of every member of its teaching faculty and also indicating therein whether such member is on regular basis or visiting basis;
  - (viii) the minimum pay and other emoluments payable for each category of teachers and other employees;
  - (ix) the ranking of the Institution under National Institutional Ranking Framework for the last three years (if available) as well as current status of NAAC accreditation.
  - (x) information in regard to physical and academic infrastructure and other facilities including hostel accommodation, library, hospital or industry wherein the practical training to be imparted to the students and in particular the facilities accessible by students on being admitted to the institution;
  - (xi) broad outline of the syllabus specified by the appropriate statutory body or by institution, as the case may be, for every course or programme of study, including the teaching hours, practical sessions and other assignments;
  - (xii) all relevant instructions in regard to maintaining the discipline by students within or outside the campus of the institution, and, in particular, such discipline relating to prohibition of ragging of any student or students and the consequences thereof and for violating the provisions of any regulation in this behalf made under the University Grants Commission Act, 1956 or any other law for the time being in force.

Provided that the institution deemed to be university shall publish information referred to in items (i) to (xi) of this clause on its website, and the attention of the prospective students and the general public shall be drawn to such publication on the website through advertisements displayed prominently in the different newspapers and through other media;

Provided further that the institution deemed to be university may publish prospectus in accordance with this clause at any time before the expiry of sixty days specified under this clause.

- 6.6 Every institution deemed to be university shall fix the price of each printed copy of the prospectus, being not more than reasonable cost of its publication and distribution and no profit be made out of this publication, distribution or sale of prospectus.
- 6.7 No institution deemed to be university shall, directly or indirectly, demand or charge or accept, capitation fee or demand any donation, by way of consideration for admission to any seat or seats in a course or programme of study conducted by it.
- 6.8 No person shall, directly or indirectly, offer or pay capitation fee or give any donation, by way of consideration either in cash or kind or otherwise, for obtaining admission to any seat or seats in a course or programme of study in any institution deemed to be university.
- 6.9 No institution shall ask any student to deposit any certificates of degree, diploma or any other award or other document. In case the degree/diploma/award is available on National Academic Depository, the institution should verify the same on the depository. In case the degree is not available on the depository then the student seeking admission may be asked to give self attested copies of the degrees which can be verified with the originals at the time of admission or counseling. Under no circumstances original degrees should be retained by the institutions.
- 6.10 No institution deemed to be university shall, issue or publish-
- (a) any advertisement for inducing students for taking admission in the institution, claiming to be recognized by the appropriate statutory authority where it is not so recognized; or
  - (b) any information, through advertisement or otherwise in respect of its infrastructure or its academic facilities or of its faculty or standard of instruction or academic or research performance, which the institution, or person authorized to issue such advertisement on behalf of the institution knows to be false or not based on facts or to be misleading.
- 6.11 On being declared an institution deemed to be university, an institution shall admit students to its approved academic programme, under its enrolment, only from the academic session that follows the Notification issued by the Central Government:
- Provided that enrolment of students to the institution, for any reason whatsoever, in anticipation of the declaration as an institution deemed to be university or inclusion of the institution under the ambit of an institution deemed to be university, shall render the application invalid:
- Provided further that the students already on the rolls of the institution prior to the date of application for declaration as an institution deemed to be university or its inclusion under the ambit of an institution deemed to be university shall continue to be students, for all purposes, of the affiliating university with whom they have already been enrolled, and shall also be awarded degree only by that affiliating university.



## **7.0 INFRASTRUCTURE AND OTHER FACILITIES**

7.1 It shall have the necessary financial and infrastructural viability for administering and maintaining the institution as an institution deemed to be university and the management capable of contributing to the university ideals and traditions and enhancing the quality of teaching, research and extension activities.

7.2 It shall have the following minimum infrastructure and other facilities:

### **7.2.1 Land and Buildings:-**

- i) Administrative Building of at least 1,000 sq. meters.
- ii) Academic Building, including library, lecture theatres and laboratories, of at least 15,000 sq. meters, of which the central library alone being of about 2000 sq. meters.
- iii) Some residential accommodation for teachers, guest house and hostel accommodation for students shall be in existence at the time of applying for declaration as an institution deemed to be university. Hostel accommodation shall be gradually increased to at least 25% of the students within 3 years of existence of institution deemed to be university. The floor area for hostel facilities shall be 10 sq. mts. per student proposed to reside.

Provided that if the Institution is proposed to be set up in metropolitan area/ urban area and if the proposed Institution has space constraints, the hostel facilities for students and residential facilities for academic and non-academic staff can be established at a place within 5 km radius from the main campus.

- iv) The minimum requirement for open space shall be 40% of the total area of the Institution.
- v) The minimum area for playground having multi sports facilities shall be 25,000 sq. mts, which can be included as part of 40% laid down in sub-clause (iv) above.
- vi) The Institution shall have adequate health care facility within the campus for students, faculties, staff or any other members.
- vii) The Institute shall have barrier free approach and appropriate safety measures (fire fighting, etc.).
- viii) Equipment, Books, Journals and other infrastructural facilities:

Equipment, Books and Journals of the institution shall be commensurate with the size and activities of the institution and shall satisfy the requirements of the Statutory/Regulatory body concerned. The institution shall also have Broadband Connectivity of appropriate level in order to cater to the needs of self learning / virtual experiments / hands on techniques as well as provide electronic access to journals, books and other learning materials.

- ix) In case of multi-disciplinary Institution, the aggregate land requirement shall be the sum of the land area prescribed by various Statutory

Councils for all courses. In case the institution is engaged in conducting professional programmes of study, the prevailing norms and standards of the respective Statutory Body for building infrastructure shall be applicable, in addition to the above.

- x) The infrastructure requirement shall be evaluated taking into consideration the future expansion proposed in the application along with requirement of land for hostel and allied facilities for the student. The infrastructure requirement shall be ensured before starting new courses/ programme/ department / school / centre in the existing campus.

### 7.3 Academic Programmes

- 7.3.1 (i) Academic program shall offer sufficient scope for interdisciplinary learning and research
- (ii) Shall be supported by adequate qualified faculty as per the norms of UGC/concerned Statutory Council(s).

7.3.2 It shall have under graduate and at least five postgraduate academic Departments in existence for at least 3 years with every Department having in position a minimum permanent faculty of one Professor, two Associate Professors and four Assistant Professors for general courses and in case of courses in other disciplines such as Engineering & Technology, Medicine, Dental, Nursing, Pharmacy, Physiotherapy etc. the faculty shall be as per the norms and guidelines of the respective Statutory Council having the qualifications and pay scales prescribed by the Commission / respective Statutory Council together with the necessary supporting technical and ministerial staff as per the norms and standards laid down by the respective Statutory body.

Provided that for the first three years after notification as a deemed university, instead of a Professor, the Institution may appoint an Associate Professor or Assistant Professor, keeping the overall number of faculty as a minimum of seven per Department.

- 7.3.3 It shall have counselling facilities for weaker students and for students with different abilities and special teaching learning assistance programmes for such students.

### 7.4 Financial Viability:

The financial viability of the institution shall be verifiable by the audited statements of accounts of the institution for the previous five years immediately preceding the date of application for declaration as deemed to be university

### 7.5 Corpus Fund:

- 7.5.1 In the case of Institutions not maintained or financed by the Government, the following Corpus Fund shall be created and maintained permanently in the name of the proposed institution deemed to be university by way of

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irrevocable Government Securities or other forms approved by the Commission:

- a. For institutions conducting professional programmes, such as Engineering & Technology, Medicine – Rs. 15.00 crore
- b. For institutions conducting programmes, such as Management, Law, Education – Rs.8.00 crore
- c. For institutions conducting other programmes – Rs.7.00 crore
- d. For institutions conducting both professional and other programmes – Rs. 18.00 crore
- e. For institutions under *de novo* category – Rs. 40 crore

7.5.2 The Corpus fund shall not be liquidated without prior permission of the Commission

7.5.3 The Commission shall have the power to direct any upward revision of the Corpus Fund from time to time. The extent of corpus fund shall be reviewed by the Commission every five years and any upward revision so ordered shall not exceed the rate of inflation (measured through Wholesale Price Index) for that period.

7.5.4 The interest accrued on the Corpus Fund may be used only for the purpose of development of the institution deemed to be university.

7.5.5 In the event of withdrawal of declaration of 'deemed to be university' status or dissolution of the Managing Society/Trust/Company of the institution deemed to be university, the Corpus Fund shall stand transferred to the Commission for meeting the liabilities, if any :

Provided that in case of a public funded deemed to university, the Corpus Fund shall be transferred to the Central Government or the State Government, as the case may be.

7.5.6 The provisions related to corpus fund shall be applicable only to those deemed universities which come into existence after notification of the UGC (Institutions Deemed to be Universities) Regulations, 2010. However, in the case of Government Controlled institutions, the commitment of the State / UT or the Central Government to fund them continuously shall be considered as sufficient.

7.6 All movable and immovable properties of the institution or institutions that form the integral part of the proposed institution deemed to be university shall remain legally vested in the name of the institution in the manner as recognized under the Transfer of Property Act, 1882 or any other law which may be in force. The land and other assets of the Institution shall be transferred legally by the sponsoring Trust/ Society/ Company to the institution deemed to be university within one year of the declaration of the Institution as Deemed to be University. The sponsoring Trust/Society/Company shall give an undertaking alongwith the application to the effect that the land and other assets shall be transferred legally to the Institution Deemed to be University within one year of the notification declaring the Institute as Deemed to be University. However, in case the

immovable property has been acquired by the institution by way of lease, the lease shall be perpetual in nature and initially for at least 30 years which shall be extended further.

Provided that if such transfer of property does not take place within the one year period then the provisional status of deemed university shall be withdrawn by the Government.

7.7 The income and property of the institution, howsoever derived, shall be utilized only for the promotion of the objectives of the institution including its growth and development. No portion of the income / property of the institution shall be paid or transferred, directly or indirectly by way of profit, to the persons who were / are members of the institution, provided that nothing herein contained shall prevent the payment in good faith or remuneration to any member thereof or to any other person in return for any service rendered to the institution or for travelling, halting and other similar charges, and all such expenditure shall be appropriately reflected in the accounts of the institution, maintained for the purpose.

**8.0 PROCEDURE FOR BEING DECLARED AS AN INSTITUTION DEEMED TO BE A UNIVERSITY**

8.01 The institution fulfilling the minimum eligibility criteria as laid down in these Regulations for considering proposals for declaration as an institution deemed to be a university may send its application in duplicate in the prescribed Proforma to the Secretary, Ministry of Human Resource Development, Department of Higher Education, Government of India. The application shall also be submitted online on UGC website. Processing fees for each application shall be paid to the Commission by way of a Demand Draft drawn in favour of The Secretary, University Grants Commission, BahadurshahZafarMarg New Delhi 110002.

8.02 It shall submit a certificate as also an undertaking along with its application to the effect that the professional programmes already being conducted by it, if any, have the approval of the relevant Statutory/Regulatory bodies like AICTE, MCI, DCI, NCTE, BCI, INC, etc., along with a duly attested copy of the letter of approval granted to it by such bodies. In addition, each application shall be accompanied by an essentiality certificate from the State Government concerned, wherever necessary.

8.03 It shall also submit, along with its application, a certificate from the affiliating university / affiliating universities, as the case may be, to the effect that the students already admitted in the institution or institutions that is / are to become integral part of the proposed institution deemed to be University institution enrolled under the said affiliating university / affiliating universities shall continue to be the students of that university for all purposes under the existing terms and conditions till they complete the relevant academic programmes.

8.04 The Ministry of Human Resource Development after preliminary scrutiny of the proposal, may return/reject or forward the application to the Commission for its advice, normally, within 30 days of the receipt of application.

- 8.05 The Commission shall make a preliminary scrutiny of the application submitted by the institution and, if necessary, write to the institution pointing out the lacuna(e), if any, and call, normally within 60 days for receipt of reference from Government, for clarification / additional information / requisite documents. As far as possible, such clarification/ additional information / requisite documents shall be asked at the first instance itself and not in a piecemeal manner. If information is not received as asked for, then UGC would be liberty to recommend rejection of the application without taking further steps laid down in these Regulations. The Commission shall also write to the State/UT Government concerned to elicit the latter's views on the application.
- 8.06 The Commission shall examine the application with the help of an Expert Committee constituted by Chairman UGC from a standing panel of names approved by the Commission. The Committee of Experts shall not include any sitting member of the Commission. The Expert Committee so constituted shall have one member as representative of the concerned Statutory Council(s), who may have the authorization to remit the advice.
- 8.07 The Expert Committee shall, *inter alia*,
- a) scrutinize and examine the application in detail;
  - b) visit the Institution, hold discussions with its major stake holders and make on the spot assessment of its academic viability to function as an institution adhering to the concept and ideals of a university as enunciated in these Regulations;
  - c) ascertain the academic and research excellence based on available records;
  - d) give specific information on matters like performance of students who have graduated, research scholars registered for PhD, sponsored research projects completed and on-going, research publications in indexed journals, faculty having PhD, etc., for the past five years;
  - e) verify its records to ascertain its financial viability; and
  - f) submit a report to the Commission to enable it to advise the Government appropriately, normally within three months of the matter being referred to it.
- 8.07.1 The visit of the Expert Committee to the Institution shall be video recorded and uploaded on the website of the UGC within 24 hours of the visit being completed.
- 8.08 The report of the Expert Committee shall be examined by the Commission along with the views of the State/UT Government, if any, and the Statutory/Regulatory body concerned and thereafter, the Commission shall submit its advice to the Ministry of Human Resource Development for the Ministry's consideration, normally within forty five days of receipt of the report of the Expert Committee . The report of the Statutory body to the Commission shall indicate not merely the fulfillment of minimum requirements for the institution's performance as a college, but shall include its assessment of the achievements of the institution in high standards of education and research as well as its capability to promote innovation and excellence commensurate with the status as a university in contrast to a conventional professional college.

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The report of the statutory body shall also indicate the minimum necessary requirement for its courses/programmes as issued from time to time.

- 8.09 The advice of the Commission shall state the reasons for advising the Central Government to declare the institution as an institution deemed to be university or otherwise, along with the number and names of institutions to be part of the institution deemed to be university.
- 8.10 The Commission, in its final recommendations to the Central Government, shall apprise the Government regarding submission of necessary documents related to transfer of moveable and immovable assets in the name of the proposed institution deemed to be university and other conditions, if any.
- 8.11 Each State / UT Government shall formulate a transparent policy for giving its views under article 8.05 and shall send their considered comments, in the proforma prescribed by the Commission, within 60 days, to the Commission and the Central Government, with a copy to the institution concerned. In case no such comments are received by the Commission within 60 days of the issue of the letter, it shall be presumed that the State / UT Government have no comments to offer on the application.
- 8.11.1 The State / UT Government recommending the proposal would have to indicate its willingness to safeguard the interest of the students admitted to the proposed deemed to be university in the event it ceases to exist as such, for any reason whatsoever.
- 8.12 Having been satisfied that the institution fulfills all the requirements as laid down in these Regulations the Central Government may, normally within 60 days of receipt of the report of the Commission, issue a notification under Section 3 of the Act, declaring such institution as an institution deemed to be university. This declaration would initially be made for a period of five years. Confirmation of the declaration of the 'deemed to be university' would be based on a review of the institution deemed to be university's compliance and the institution's satisfactory performance with the provisions of these Regulations.
- 8.13 If on the advice of the Commission, the Central Government comes to the conclusion that the institution does not qualify to be declared as a institution deemed to be university, it may inform the institution accordingly stating reasons there for.
- 8.13.1 In case the Government disagrees with the recommendation of the Commission, the Government shall provide reasons in writing and its decision shall be final.
- 8.14 The decision not to declare an institution as an institution deemed to be university shall be considered for review not before one year from the date of the earlier decision only on a specific request for review made by the institution concerned to the Central Government. Institutions may request the Central Government for such a review only after having rectified the deficiencies based on which the Central Government had rejected its earlier application / proposal.

- 8.15 The Central Government may refer the matter to the Commission for the latter's advice.
- 8.16 The Commission shall then initiate the process of review, in the manner prescribed in this Regulation as per articles 8.05 through 8.07 above, for scrutiny and evaluation of the revised application by constituting a new Expert Committee. This Committee shall be at least of the same size as the previous one that had recommended rejection earlier, with no expert member from the previous Committee as its member.
- 8.17 The decision taken on such a 'review' shall not be reconsidered or reviewed further. It is however permissible for the applicant institution to re-apply seeking declaration as an institution deemed to be university after a gap of not less than two years from the date on which the decision of the Government on the 'review' was communicated to the institution concerned.
- 8.18 The Commission shall post information about the status of each application on a monthly basis on its website. Further, the Commission shall submit an annual report to the Central Government giving a progress report on the fulfillment of the conditions stipulated in the notifications issued by the Central Government in this regard.

**9.0 INSTITUTION DEEMED TO BE UNIVERSITY UNDER THE *de novo* CATEGORY**

- 9.1 An institution seeking declaration as an institution deemed to be University under this category shall provide verifiable evidence and validation by leading experts in the field of being devoted to unique and emerging areas of knowledge not being pursued by existing institutions – particularly in specific areas of study and research. Institutions sponsored by the Central/State/UT Government shall be given preference provided they address to the strategic needs of the country, engage in preservation of cultural heritage, so determined by a well laid out process of consultation with the eminent peers of the academic community. Government owned institutions in areas specified under specific Government policy or under budget announcement shall also be given preference. For this purpose, the applicant shall give justification for grant of deemed university status in a specialised area, along with detailed syllabi of the courses and research programmes conducted/to be conducted by it in the emerging areas of knowledge.
- 9.1.1 *De novo* institutions desiring to expand their activities and enter into related / complementary areas shall do so after its declaration as an institution deemed to be university is confirmed by the Government following a review at the end of five years of the institution's existence as an institution deemed to be university. Such institutions shall have to seek prior permission of the Central Government, which shall cause the Commission to subject such institutions to a rigorous peer review before according such permission.
- 9.1.2 *De-novo* Institutions shall be exempted from the eligibility criteria as stipulated under Clauses 4.1, 4.2, 4.3, 4.4, 4.5, 4.6 4.7, 4.8 and 4.9 of these Regulations.

Provided that the Institution should include in their perspective plan the time frame for achieving the parameters mentioned in Clauses 4.1 to 4.9, which shall be put on the website of the institution.

Provided further that the Institution should be satisfying the parameters under Clauses 4.3, 4.5 and 4.6 on the day of notification declaring it as deemed university.

9.1.3 Applicant Institution under de-novo category shall submit a perspective plan/ Strategic vision for 15 years and an Action Plan and implementation Plan for next five years. The application shall also be submitted online on UGC website.

9.2 On receipt of an application from an institution seeking declaration as an institution deemed to be university under the *de novo* category, the Government shall reject/ return or forward the same to the Commission normally within 30 days for advice. On receipt of such reference, the Commission shall follow the procedures laid down in Clause 8 of the Regulations. However, before proceeding to the stage of the process as laid down in Clause 8, the Commission shall examine the application with the help of an Expert Committee with members in the relevant discipline, who shall be nominated by the Chairman, UGC. The Committee shall also include a representative from the relevant Statutory Council, if required. The applicant institution shall also make a presentation before the Expert Committee. The Committee shall make a recommendation whether or not it is an institution in emerging areas of knowledge and whether or not the institution can be considered under the *de-novo* category before deciding on a visit to the institution by another Expert Committee of the Commission to be constituted by the Chairman, UGC. The Commission shall examine the recommendations of the Committee and send its advice to Government, normally within 45 days, of the report of the Committee.

9.3 On receipt of advice, the Central Government may follow the procedure in Clause 8 and, after being satisfied that the institution fulfills the requirements as laid down in these Regulations, may issue a notification, normally within 60 days of receipt of the report of the Commission, declaring the institution provisionally as an institution deemed to be university under the *de novo* category.

The fact that the Institution has a provisional status should be mentioned by the Institution on its website, as well by the Commission on its website, and its admission prospectus.

9.4 The Central Government may, on the advice of the Commission, confirm the declaration of an institution deemed to be university made under the *de novo* category, by way of a notification, after completion of five years of the institution as such. The Commission shall render its advice for this purpose on the basis of performance reports of Expert Committee(s) appointed by the Chairman of the Commission from the panel of names approved by the commission to review the institution concerned twice, once at the end of two years and, again, before the end of five years. If the Central Government



comes to the conclusion that the institution does not qualify to be declared as an institution deemed to be university, it may inform such institution accordingly stating reasons there for.

**9.5 Procedure for declaration of a new (yet to be established) Institution as Deemed to be University under de-novo category:-**

9.5.1 The applicant shall submit the application in the form of a Detailed Project Report (DPR)/ Action Plan/Strategic Vision Plan and Implementation Plan the Ministry of Human Resource Development along with the prescribed processing fee. The application shall also be submitted online on UGC website.

9.5.2 The Ministry of Human Resource Development shall, normally within 30 days of the receipt of application, either reject or return the application to the applicant or forward the Detailed Project Report (DPR)/ Action Plan/Strategic Vision Plan and Implementation Plan to the UGC for advice on feasibility of the proposal.

9.5.3 The Commission shall examine the application with the help of an Expert Committee with members in the relevant discipline, who shall be nominated by the Chairman, UGC. The Committee shall also include a representative from the relevant Statutory Council, if required. The applicant institution shall also make a presentation before the Expert Committee. The Committee shall make a recommendation, normally within two months of the matter being referred to it, whether or not it is an institution in emerging areas of knowledge and whether or not the institution can be considered under the *de-novo* category for issue of Letter of Intent (LoI).

9.5.4 Simultaneously, the UGC would address to the State Government, where the Institute is proposed to be located, asking for its no objection.

9.5.5 The Commission shall submit, normally within 30 days of receipt, the report of the UGC Expert Committee along with its advice on the proposal to the Ministry of Human Resource Development.

9.5.6 The Ministry of Human Resource Development shall issue, normally within 60 days of receipt of advice of the Commission, a Letter of Intent (LoI), or otherwise.

9.5.7. The applicant Society/Trust/Company will set up the Institution and indicate its readiness for commencing academic operations, as per the plan within 3 years of issue of the LoI.

9.5.8 Once the indication for readiness for commencing academic operations is received in the Ministry of Human Resource Development, the Ministry shall ask, normally within 30 days of receipt of such indication, the Commission to submit its advice after following the procedure elaborated in these Regulations.

9.5.9 The Ministry of Human Resource Development shall take the final decision on the proposal as per the provisions of these Regulations.

9.5.10 In case of an existing institution apply for Deemed to be University status under *de-novo* category but not having the infrastructure required under these Regulations, such institution may apply to the Ministry of Human Resource Development as per the procedure at Regulations 9.5.1 to 9.5.8.

## **10.0 FUNDING**

Institutions which are declared as institutions deemed to be universities shall continue to receive the funds for their maintenance and developmental expenditure, including the salary and non-salary increases in expenditure and the future expansion, from the same funding sources which have been funding them prior to such declaration. Such Institutions may also supplement their finances. However, Government as per its policy can withdraw the funds being given.

## **11.0 MAINTENANCE OF STANDARDS**

11.1 An institution deemed to be university shall maintain standards, higher than the minimum, of instruction, academic and physical infrastructure, qualifications of teachers, etc. as prescribed for college level institutions by the Commission or by the Statutory/Regulatory body concerned, such as All India Council for Technical Education (AICTE), Medical Council of India (MCI), Dental Council of India (DCI), National Council for Teachers Education (NCTE), Bar Council of India (BCI), Indian Nursing Council (INC), etc. and shall obtain their approval for running various programmes of study, wherever applicable. This shall be periodically monitored by the duly constituted Committee (s) of the Commission.

11.2 There shall be a mandatory intensive external review of every deemed to be university once in every five years based on the criteria prescribed by the Commission from time to time.

Provided that if an institution is under Category I then the Commission need not carry out any review and it would be enough if the institution sends a report to the Commission in a prescribed format.

Provided further that if an institution is under Category II then the review can be done by the Institution itself through external peer review mechanism wherein the peer team members shall be chosen by the Institution themselves from representatives of Category I institutions, and the review report shall be sent to the Commission after completion of the review.

11.2.1 In normal circumstances, there shall be no inspection of Category I or Category II institutions by the Commission as long as they have a valid NAAC accreditation, unless there are substantive reasons for believing that serious irregularities exist in the institution which require such an inspection.

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11.3 The Institution shall give a regulatory compliance certificate every year in the format prescribed by UGC every year, which shall also be displayed on the subject to approval of the Government.

11.4 In case there have been found to be persistent or serious complaints being received against an institution, the UGC can order an inquiry against the institution, after taking approval of the Government, and take further action based on the result of the inquiry.

Provided that Government also can suomoto ask UGC to initiate an inquiry in such cases of malfeasance, cheating, serious student/staff/faculty complaints, etc.

11.5 The Institution shall provide to the Government, or to the agencies designated by it, all required details regarding the Institution for the All India Survey of Higher Education or for posting of specified details on the Know Your College Portal of the Government or for any other study approved by the Government.

11.6 The Institution shall participate in the National Institutional Ranking Framework every year and publish the same on its website prominently.

11.7 The Institution shall ensure that degrees/diplomas/certificates/ awards are given to the passing out students within 180 days of completion of their academic programme.

11.8 The institution shall apply for accreditation within one year of becoming eligible for accreditation and get accredited as per rules.

### **12.0 NEW COURSES/PROGRAMMES/, DEPARTMENTS/ SCHOOL/ CENTRE, OFF-CAMPUS CENTRES AND OFF-SHORE CAMPUSES**

12.01 An institution deemed to be university shall normally operate within its own main Campus as is declared by the Central Government in the notification and conduct approved programmes of study falling within the area of its specialization.

12.02 Following procedure shall be followed for starting of a new Course/Programme/ Department/School/Centre by an institution deemed to be University in its existing campus/off-campus:

12.02.1 If a Category I institution deemed to be university or a Government owned Deemed to be University, wishes to start new Course/Programme/ Department/School/Centre in its existing campus/off-campus in areas and disciplines that form a part of its existing academic framework, it may do so in such allied fields. The new course/programme/ Department/ School shall be started after the approval of the respective authorities of the Deemed to be University and the concerned Statutory Council(s), wherever required, and after creating all the necessary infrastructure and other facilities as per the norms of concerned statutory council(s). Such Institutions shall inform the Commission about starting of a new course/programme/ department/school/centre in its existing campus/off-campus within one month

of the grant of approval by the competent authorities of the Deemed to be University and concerned Statutory Council(s) and sixty days before the start the new course/programme/ department/school/centre.

Provided for Government. owned Deemed to be Universities, approval shall be taken from the appropriate Government if funding is sought from the Government for starting a new course/programme/ department/school/centre

12.02.2 A Category I institution for a new course /programme/Department /school/centre in disciplines that do not form a part of its existing academic framework or a Category II institution or a Category III institution having NAAC grade of 2.0 and above, shall apply to the Commission for approval to start / establish a new course /programme/Department /school/centre, which shall be given within 60 days of the application made to it. Such a new course/programme/ Department/ School/Centre shall be started by such an Institution only after receiving the approval of the respective authorities of the Deemed to be University, the concerned Statutory Council(s), wherever required, and the Commission and after creating all the necessary infrastructure and other facilities as per the norms of concerned statutory council(s).

12.02.3 A Category III institution having NAAC grade below 2.0 shall not be permitted to start a new course/programme/ Department/ School/Centre.

12.03 An institution deemed to be university may be allowed to operate beyond its approved geographical boundaries and start Off-Campus(es)/off-shore campus(es) under the following conditions:

12.03.1 It has been in existence as an institution deemed to be university for a minimum period of five years;

12.03.2 It has been conducting post-graduate programmes and research;

12.03.3 It has earned a reputation for excellent and innovative teaching, which, inter alia, includes practicing academic and examination reforms like introducing modular structure, continuous internal evaluation, etc. and for meaningful and purposeful research and extension activities;

12.03.4 It has a good track record of conforming to the relevant Regulations/norms of the Commission and other Statutory/Regulatory bodies regarding minimum standards of instruction, qualification of faculty, merit-based admission of students on an all India basis and reasonable fee structure;

12.03.5 It has obtained prior approval of the Statutory/Regulatory body to start the new course/ department / programme/ school/ centre, wherever applicable, and undertakes to comply with all the requirements of the said body;

Provided if the Statutory/Regulatory body requires a No Objection Certificate from the Commission before giving its approval, the same shall be given by the Commission within 30 days of receipt of such request.

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- 12.03.6 It is either a Category I Institution or a Category II institution or a Government owned Deemed to be University.
- 12.03.7 It has adequate financial resources for starting the proposed off-Campus Centre/off-shore campus;
- 12.03.8 It has not entered into any franchise agreement, either overtly or covertly, with any other organization for establishing and running the off-Campus Centre / off-shore Campus of the institution deemed to be university;
- 12.03.9 Land, Infrastructure, faculty and other facilities at the off-campus centre(s) shall satisfy the requirements of the Statutory/ Regulatory Council(s) concerned. The following shall be the minimum requirement in the off-campus centre:-
- i) Administrative Building of at least 500 sq. meters.
  - ii) Academic Building, including library, lecture theatres and laboratories, of at least 5,000 sq. meters.
  - iii) Some residential accommodation for teachers and hostel accommodations for students. The floor area for hostel facilities shall be 10 sq. meters per student proposed to reside.
  - iv) Other central facilities including sports facilities for faculty, students and non-teaching staff.
  - v) The Institute shall have barrier free approach and appropriate safety measures (fire fighting, etc.).
  - vi) The Institution shall have adequate health care facility within the campus for students, faculties, staff or any other members.
  - vii) The infrastructure requirement shall be evaluated taking into consideration the future expansion proposed in the application along with requirement of land for hostel and allied facilities for the student. The infrastructure requirement shall be ensure before starting new courses/ programme/ department / school / centre in the off-campus.

The assets shall be legally registered in the name of the Institution Deemed to be University. However, in case the immovable property has been acquired by the Deemed to be University by way of lease, the lease shall be perpetual in nature and initially for at least 30 years which shall be extended further;

- 12.03A (1) An institution deemed to be university shall be allowed to open an off-campus beyond its geographical boundaries not before five years of getting the deemed university status. The number of off-campus which can be opened by any deemed to be University shall be as follows:
- (i) A Category I deemed to be University or a Government owned Deemed to be University shall be allowed to open off-campus centres beyond its geographical boundaries without any limits with the condition that each of the off-campus so opened shall get themselves accredited and get accreditation score applicable to category II institutions within 10 years of opening of the Off-campus. If any off-campus does not attain the required accreditation for category II in 10 years time then the institution shall not be allowed to open any more off campuses.

(ii) A Category II deemed to be University shall be allowed to create not more than two off-campus in any period of five years beyond its approved geographical boundaries.

Provided that approval for next set of off-campus would be given only if the Institution Deemed to be University and the off-campus approved earlier also have an accreditation valid for Category II Institution.

(iii) A Category III deemed to be University shall not be allowed to open any off campus.

(2) Those units which were notified by the Government as Constituent Units at the time of first notification shall not be treated as off-campus. Campuses (whether off-campus or other) in the same city/town/village shall be treated as one off-campus/campus.

12.04 An off campus centre shall be established by an institution deemed to be university with the prior approval of the Central Government, on the recommendation of the Commission. The Central Government shall also consider the views of the State / UT Government concerned where the off-Campus Centre is proposed to be established.

12.05 An off-shore Campus of an institution deemed to be university shall be established only by a Category I or Category II institution with the prior permission of the Central Government, on the recommendation of the Commission:

Provided that such off-shore campus shall be proposed only five years after the Institution has attained a deemed University status.

*Provided* that there is No Objection from the Ministry of External Affairs and Ministry of Home Affairs.

*Provided* that the country, where such off-shore Campus is proposed to be established, requires grant of approval by it for such establishment, then the application to the Central Government for permission shall be made along with the approval granted by that country:

*Provided further* that if the country where such off-shore Campus is proposed to be established requires prior concurrence of the Government of India for the approval, referred to the above *proviso*, of that country to be granted, then the Central Government, on the recommendation of the UGC, may give a 'No Objection' to the proposal but such 'No Objection' shall not be construed as permission of the Central Government to the institution deemed to be university to establish an off-shore Campus. Such an institution deemed to be university shall also submit an undertaking that it shall comply with all laws, norms or standards prescribed by that country where the off-shore Campus is proposed to be established.

*Provided further* that the Institution Deemed to be University shall maintain the standards at the off-shore campus as similar to that at its main campus.

12.06.1 An institution deemed to be university intending to start a new off-Campus Centre/off-shore campus and, if it has already created infrastructure and other facilities including appointment of faculty, then, it shall apply to the Government in the prescribed proforma, in duplicate, at least six months prior to the proposed date of starting the Centre in hard copies as well as online on the UGC website. The Government after preliminary scrutiny of application shall, within 60 days of receipt, reject / return or forward the proposal to the Commission for its advice.

12.06.2 In case, the Institution proposes to establish an off-campus and has not yet created its infrastructure, then it should submit a detailed proposal (in duplicate) including details of proposed infrastructure, funds, land, financial viability, etc. to the Government in hard copies as well as online on the UGC website. The Government would, after preliminary scrutiny of the application, shall, within 60 days of receipt, reject/return or forward the proposal to the Commission for its advice.

12.07.1 In case of application made under Clause 12.06.1,

(i) in case of a Category I Institution or a Government owned deemed to be University, the Commission shall do a table examination of the proposal and based on the facts furnished shall send its recommendations to the Government within forty five days of receipt of the proposal, which inter alia shall include its report on whether the proposal satisfies the eligibility conditions for setting up an off-campus. No inspection or spot visit shall be made by the Commission for this purpose. However, if any shortfalls are seen then the Commission may call for further details from the Institution. Based on the recommendations of the Commission and having been satisfied that the institution fulfills all the requirements as laid down in these Regulations, the Centre may issue a notification normally within 30 days of receipt of the report of the Commission permitting an off-campus.

Provided for Government. owned Deemed to be Universities, approval shall also be taken from the appropriate Government if funding is sought from the Government for starting a new course/programme/ department/school/centre

(ii) in case of a Category II institution, the Commission shall undertake a spot visit / verification of the proposed off-Campus(es) to verify the infrastructure facilities, programmes, faculty, financial viability, etc. before sending its advice to the Central Government. The Commission should follow the procedure laid down in Clause 8.05, 8.06, 8.07, 8.07.1, 8.08, 8.09 and 8.10.

12.07.2 In case of application made under Clause 12.06.2, the Commission shall follow the procedure given in 9.5.3 to 9.5.5 and MHRD shall issue LOI, or otherwise. On getting of LOI, the procedure as mentioned in 9.5.7 to 9.5.9 shall be followed. For this purpose, in case of a Category I Institution or a Government owned deemed to be University, the Commission shall only do a table examination and no inspection or spot visit shall be made by the Commission for this purpose.

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Provided for Government. owned Deemed to be Universities, approval shall also be taken from the appropriate Government if funding is sought from the Government for starting a new course/programme/ department/school/centre

- 12.08 In case such permission is not granted, the institution deemed to be university may re-apply for such permission, but not before two years from the date of rejection of its earlier application.
- 12.09 The off-Campus Centre/off-shore campus shall be directly administered by the parent institution deemed to be university in all the academic, administrative and financial matters.
- 12.10 The new Department / off-Campus Centre/ off-shore campus shall offer only those programmes of study which are approved by the appropriate authorities of the institution deemed to be university and the statutory / regulatory body concerned such as All India Council for Technical Education (AICTE), Medical Council of India (MCI), Dental Council of India (DCI), Pharmacy Council of India (PCI), National Council for Teachers Education (NCTE), Bar Council of India (BCI), Indian Nursing Council (INC), etc. wherever applicable. In case of any new or existing institution of higher learning proposed to be brought under the ambit as a constituent institution of any existing institution deemed to be university, only those students who were admitted in such institutions on a date subsequent to the date of notification of the declaration under Section 3 of the UGC Act 1956 in regard to bringing the institution under the ambit of the existing institution deemed to be university, shall be eligible for being examined by the institution deemed to be university and therefore, for the award of degree or any other qualification by the institution deemed to be university on successful completion of their respective courses or programmes of study.
- 12.11 The over-all performance of an off-Campus /off-shore campus shall be monitored by the Commission after 5 years and subsequently after every five years and whose directions on management, academic development and improvement shall be binding on the Campus. Such monitoring will continue until the off campus centre attains at least category II status in terms of accreditation.
- 12.12 In the case of an off-shore Campus, the remittances of funds from / to the main Campus shall be governed by the Reserve Bank of India rules.
- 12.13 If any of the off campuses of institutions deemed to be universities get an accreditation below 2.0 in two consecutive cycles then the institution deemed to be university may be instructed by the Central Government, on the advice of the Commission, to close down the off-Campus Centre / Campus concerned. The Commission may initiate action against erring institutions deemed to be universities even on the basis of complaints received against such Centres / Campuses. In the interest of the students, the Commission may allow the Centre / Campus to function till the last batch of students enrolled therein, as on the date of such instruction, passes out. The institution deemed to be university shall take appropriate steps to safeguard the interests of the faculty / staff at the Centre / Campus. In the event of closure of the Centre / Campus, the assets and liabilities thereof shall revert to the



institution deemed to be university. For this purpose if any institution does not come for accreditation of its off-campus in any cycle it will be deemed that it has got an accreditation below 2.0.

12.14 The Ministry of Human Resource Development may give an 'in-principle No Objection' to the institution deemed to be university for establishing an off-Campus Centre/off-shore campus, wherever required by the Statutory Councils. The Institution deemed to be university shall apply to the Ministry of Human Resource Development for the 'in-principle No Objection'. The Ministry shall forward, normally within thirty days of receipt, the request to the Commission for its advice. The Commission, after satisfying itself about the viability of the proposal, shall forward, normally within 60 days of receipt of Ministry's letter, its advice to the Ministry of Human Resource Development for issuance of 'in-principle No Objection'. Such 'No Objection' shall not be construed as permission of the Ministry of Human Resource Development to the institution deemed to be university to establish an off-Campus Centre/off-shore campus. In all such cases, formal proposal(s) shall be examined by the Commission under these Regulations. The institution deemed to be universities shall not admit student(s) to its course(s) in such off-Campus Centre(s)/off-shore campus before the permission is granted by the Ministry of Human Resource Development to such proposal(s).

12.15 The Institution Deemed to be University shall mention the name with location of campus/off campus /constituent unit/Constituent institution on degree/diploma/certificate/ any other award given to the student.

### **13.0 INCLUSION OF OTHER INSTITUTIONS UNDER THE AMBIT OF INSTITUTION DEEMED TO BE UNIVERSITY**

13.01 An institution deemed to be university may apply, in the proforma prescribed by the Commission, for inclusion of institutions existing under the same management as its constituent institution after confirmation of its declaration as an institution deemed to be university, as mentioned under article 8.12. The application shall also be submitted online on UGC website.

13.02 All institutions deemed to be universities shall necessarily comply with the conditions that the Commission may insist upon in this regard from time to time, to prevent franchising of education.

13.03 If an institution existing under the same management is affiliated to a university, it shall be included in the ambit of the institution deemed to be university only on its disaffiliation from the affiliating university. The affiliating university shall also give its consent to the effect that the students of that particular institution(s) who have already been enrolled under it, shall continue to pursue their courses under its affiliation for all purposes and that it shall also award degrees to these students upon successful completion of the courses they are presently pursuing at such institution(s).

13.04 Such institution shall have accreditation equivalent to that of a Category II institution, which is currently valid, either from National Assessment and Accreditation Council (NAAC) or all its eligible courses shall be accredited with the highest grade offered, which is currently valid, by National Board of

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Accreditation (NBA) or an accreditation agency recognized by the Commission from time to time.

- 13.05 An institution deemed to be university intending to bring an institution within its ambit as its constituent institution shall submit a proposal, in duplicate, in the proforma prescribed by the Commission, to the Secretary, Ministry of Human Resource Development (Department of Higher Education) Government of India, subject to the said institution fulfilling the eligibility criteria and other relevant conditions stipulated under these Regulations. The application shall also be submitted online on UGC website.
- 13.06 The Ministry of Human Resource Development, Government of India shall return/ reject or refer the proposal to the Commission for advice normally within 30 days of receipt of the proposal.
- 13.07 The Commission shall then adopt the procedure described under articles 8.05 to 8.07 to examine the proposal so received by it.
- 13.08 The Commission shall verify all the relevant factors and aspects through its Expert Committee before making a suitable recommendation to the Ministry of Human Resource Development, Government of India.
- 13.09 The inspection report as well as the recommendation of the Expert Committee along with the opinion / comments of the Statutory / Regulatory body concerned and the views, if any, of the State Government concerned shall be examined by the Commission as per procedure before making recommendation to the Ministry of Human Resource Development, Government of India.
- 13.10 If rejected, the Central Government shall inform the institution, accordingly.
- 13.11 After taking the relevant steps of the procedure prescribed in article 8, the Central Government shall notify the inclusion of the institution under the ambit of the institution deemed to be university on being satisfied that institution deemed to be university has:
- a) earned a reputation for excellent and innovative teaching, for meaningful and purposeful research, for practicing academic and examination reforms like modular structure, continuous internal evaluation, etc. and for extension activities; and
  - b) a good track record of conforming to the relevant Regulations / norms of the Commission and the Statutory / Regulatory body concerned regarding minimum standards of instruction, qualifications of teachers, merit-based admission of students on an all India basis and reasonable fee structure.
- 13.12 On an institution coming under the ambit of the institution deemed to be university, the institution deemed to be university shall award degrees only to the students enrolled in the institution after the institution concerned disaffiliates itself from the affiliating university. The students enrolled in such an institution prior to its inclusion under the ambit of the institution deemed to

be university, shall, receive their degrees from the university to which the institution was affiliated at the time of their enrollment.

- 13.13 Once an institution comes under the ambit of an institution deemed to be university, it shall be at par with an off-Campus of the institution deemed to be university, and all articles of these Regulations relating to off-Campus Centres of institutions deemed to be universities shall be applicable to it.

Provided that if the institution under the ambit is located in the city where the headquarters of the Institution Deemed to be University is located, the institution would be treated as part of the main campus. If it is located in some other city/town/village, it would be treated as an off-campus centre.

- 13.14 The entire movable and immovable property as well as the existing manpower of the institution and its records (except those pertaining to the students who had already registered till they pass out of the Institution) shall be transferred to the institution deemed to be university before the notification.

- 13.15 If an institution, not being under the same registered Society/Trust/Company, is desirous of coming under the ambit of an institution deemed to be university, it shall apply to the Society/Trust/Company and become a part of the Society / Trust, as per procedure of Societies Registration Act or Trust Act, as the case may be. Thereafter, the Society/Trust/Company shall follow these Regulations to bring it under the ambit of the institution deemed to be university.

- 13.16 If the application of an institution deemed to be university for bringing an institution under its ambit is rejected for any reason whatsoever, the institution deemed to be university shall be eligible to re-apply, but not before two years from the date of the rejection of its earlier such application.

#### **14.0 JOINT PROGRAMMES**

- 14.1 An institution deemed to be university may conduct joint academic programme(s) with other Universities / institutions deemed to be universities in India and abroad on its own in case of a Category I institution and with the prior approval of the Commission, in case of a Category II or Category III institution. In case of foreign collaboration, the Institutions deemed to be Universities shall follow the provisions of University Grants Commission (Promotion and Maintenance of Standards of Academic Collaboration between Indian and Foreign Educational Institutions) Regulations, 2017. The proposed joint programme(s) shall conform to the Acts and Rules of the Commission that shall apply to such programmes from time to time.

Provided that no such permission shall be required in case the Institution goes for collaboration with industry or for research purposes.

- 14.2 There shall be sufficient safeguards so as to protect the interests of students enrolled in such programmes.
- 14.3 The joint programmes shall be subjected to mandatory assessment and accreditation.

**15.0 INSTITUTION DEEMED TO BE UNIVERSITY OPEN TO ALL**

15.1 Admission and employment in an institution deemed to be university shall be open to all citizens of India regardless of race, religion, caste or creed and the area/ place of residence in India.

15.2 All policies and procedures, as applicable to the university level institutions of public and privately funded institutions respectively, shall apply to the appropriate category of institutions deemed to be universities.

**16.0 INSTITUTION DEEMED TO BE UNIVERSITY TO BE UNITARY**

Once an institution is declared as “institution deemed to be university”, it shall be Unitary in nature and shall not affiliate any other institution.

**17.0 RESERVATION POLICY**

The institution deemed to be university shall implement the reservation policy in admissions and recruitment, in accordance with any Act of Parliament for the time being in force.

**18.0 DISTANCE EDUCATION**

A Category I institution or a Category II institution with accreditation above 3.25 may offer courses in the open and distance learning mode provided it satisfies all the conditions laid down under UGC (Open and Distance Learning) Regulations, 2017, as amended from time to time. A Category III institution shall not offer courses in open and distance learning mode.

Provided that the Institutions Deemed to be Universities which are already offering programmes through open and distance learning mode prior to the notification of UGC (Institutions Deemed to be Universities) Regulations, 2010, with the approval of UGC, shall be permitted to continue such programmes subject to further approval by the UGC, even if they do not come under Category I or Category II with accreditation over 3.25, at the time of notification of UGC (Deemed to be University) Regulations, 2017.

Provided further that such institutions permitted under the above proviso shall improve their standards so as to get classified into Category I or Category II with accreditation over 3.25 within five years of issue of UGC (Deemed to be University) Regulations, 2017, failing which they shall not be permitted to continue such programmes.

**19.0 MEETINGS OF UNIVERSITY AUTHORITIES**

The institution deemed to be university shall conduct meetings of all its authorities / bodies, like Board of Management, Academic Council, etc. at regular intervals as per the Regulations and the minutes of each such meeting shall be displayed in the website of the institution.

**20.0 USE OF THE WORD ‘UNIVERSITY’**

An Institution deemed to be University shall not use the word 'University' suffixed to its name but may mention the words "deemed to be university" within parenthesis suffixed thereto.

## **21.0 PROHIBITION OF USE OF CERTAIN WORDS IN NOMENCLATURE**

Educational institutions established and controlled by the Central Government alone may prefix the words, "Indian / National Institute" (either in English or in vernacular) with their respective names.

All other institutions are barred from prefixing the words "Indian/ National/ International Institute" (either in English or in vernacular) with their respective names.

## **22.0 CONSEQUENCES OF VIOLATION OF REGULATIONS**

22.1 The Central Government / Commission shall have the right to cause an inspection of the institution deemed to be university, its buildings, laboratories, its examinations, teaching and other work conducted or done by the institution deemed to be university, and to cause an enquiry to be made, if considered necessary by the Central Government / UGC, in respect of any matter of the institution deemed to be university.

22.2 After conducting an inspection of the institution deemed to be university by the Commission on its own or on the basis of any other authentic information or report received from any other reliable source(s) and after considering the explanation submitted by the institution deemed to be university, if the Commission is satisfied that the institution deemed to be university has violated any of the provisions of these Regulations or any directives issued by the Commission, the Commission may direct the concerned institution deemed to be university not to admit new students for the period to be decided by the Commission or reduce the number of students to be admitted for the period to be decided by the Commission and in case of deliberate continuous violation of these Regulations, may advise the Central Government for withdrawal of the declaration notifying the institution as an institution deemed to be university. In the event of such withdrawal of the declaration, the transfer of the entire movable and immovable properties of the institution deemed to be university shall be governed by the Society/ Trust /Company Act under which the Institution Deemed to be University is registered. For first violation, the withdrawal may be restricted to one academic session which can be extended up to five academic sessions for repeated violations. However, for serious and deliberate violation, the status of deemed to be university shall be withdrawn permanently.

Provided that in case of a withdrawal of declaration notifying the institution as a deemed to be university of a public funded deemed to be university, the entire movable and immovable properties of the institution deemed to be university shall stand transferred to the Central Government/State Government/UT Government, as the case may be.

Provided further that the above provisions are not to the exclusion of the provision of any punishment given under Section 24 of the University Grants Commission, 1956.

If on the winding up or dissolution of the institution deemed to be university there remains, after the satisfaction of all its debts and liabilities, any property whatsoever, the same shall be governed by the above provisions.

- 22.3 In the event of the withdrawal of the deemed university status, action shall be simultaneously initiated to protect the interests of the students according to such precedents and practices as applicable or determined for the specific situation.
- 22.4 If an institution deemed to be university wishes to withdraw itself or its constituents from the status of 'institution deemed to be university', it may do so with the prior permission of the Central Government. Such withdrawal shall take effect only after the last batch of students then enrolled, passes out of the institution deemed to be university.

### **23.0 CONSIDERATION OF OLD PROPOSALS**

All proposals (whether seeking declaration as an institution deemed to be university or seeking approval for establishing off-Campus Centres / off-shore Campus(es) or inclusion of other institutions in the ambit of the institution deemed to be university), which are either pending / in process in the Commission or have been received by the Central Government, shall be governed by these Regulations.

Provided if an institution has submitted its proposal to Government before 20<sup>th</sup> May 2016, and desires so in writing, its application would be processed under the UGC (Institutions Deemed to be Universities) Regulations, 2010 or the UGC (Institutions Deemed to be Universities) Regulations, 2016, as per request of the Institution . However, it would have to give an undertaking to become compliant with UGC (Institutions Deemed to be Universities) Regulations, 2017 within two years of the notification, failing which the deemed university status would be withdrawn by the Government and he would have to apply afresh under these Regulations.

Provided further that if an institution has submitted its proposal to Government on or after 20<sup>th</sup> May 2016 and before notification of UGC (Institutions Deemed to be Universities) Regulations, 2017, and desires so in writing, its application would be processed under the UGC (Institutions Deemed to be Universities) Regulations, 2016. However, it would have to give an undertaking to become compliant with UGC (Institutions Deemed to be Universities) Regulations, 2017 within two years of the notification, failing which the deemed university status would be withdrawn by the Government and he would have to apply afresh under these Regulations.

**24.0 Consequences of Change in Category of an Institution Deemed to be University**

In case a University is moved to another Category under clause 5.3 of UGC (Categorisation of Universities for Graded Autonomy) Regulations 2017, it would be governed by the regulations applicable to the new Category, and it cannot avail the additional autonomy available to it under the higher category. However, any privilege which it might have got by virtue of being in higher category would not be withdrawn retrospectively.

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1. Every institution seeking to be declared as an institution deemed to be university under Section 3 of the UGC Act shall be registered as a Society/Trust/Company in the name and style of the proposed institution deemed to be university.

2. Each such institution shall indicate, unambiguously, the following:

i)Name:The name of the Society/Trust/Company, along with the name of the proposed institution deemed to be university.

ii)Office:The registered office of the Society/Trust/Company; the official address of institution.

iii)Objectives:The objectives of the proposed institution deemed to be university shall be clearly enunciated. The objectives shall be well-defined and well known to the students, teachers and non-teaching staff of the proposed institution deemed to be university.

iv) The objectives as set forth above shall be regarded in law to be charitable in nature.

**3. Programmes of the institution deemed to be university**

3.1 In keeping with objectives, the institution shall spell out the following:

(i) The proposed programmes of study and research and facilities to provide for instruction in such branches of study as the institution deems appropriate for the advancement of learning and dissemination of knowledge;

(ii) The nature of Degrees and Diplomas and/ or Certificates to persons who have satisfactorily completed the approved programmes of study and / or research and the scheme prescribed for examination and evaluation.

(iii) Details of other academic schemes such as visitor-ship, fellowship, prizes, and medals.

**4. Management of the Institution**

4.1 The names, addresses, and occupation of the members of the first Board of Management to whom the management of the institution is entrusted till the various authorities are constituted in accordance with the Rules, shall be furnished at the time of application along with their letter of consent.

4.2 The Board of Management shall be a compact and homogeneous body enabling it to promptly take and implement well considered decisions and to effectively handle crisis situations.



4.3 The Board of Management shall be as per clause 5.7 of the Regulations. The term of membership of the Board of Management and its powers shall be as follows:

4.3.1 All the members of the Board of Management other than the ex-officio members and the members of the teaching staff shall hold office for a term of three years and shall be eligible for reappointment.

4.3.2 Members of teaching staff in the Board of Management shall hold office for a period of 2 years or till such time as they continue to be members of the teaching staff, whichever is earlier.

4.4 Powers of the Board of Management:

The Board of Management shall be the principal organ of Management and principal executive body of the institution deemed to be university and shall have the following powers, namely:

- i) To establish, on the advice of the Academic Council, Divisions and Departments for the academic work and functions of the institution deemed to be University and to allocate areas of study, teaching and research to them;
- ii) To create teaching and academic posts, to determine the number, cadres and qualifications thereof as approved by the Commission, and statutory body concerned and the emoluments of such posts in consultation with the Finance Committee;
- iii) To appoint such Professors, Associate Professors, Assistant Professors and other academic staff as may be necessary on the recommendation of the Selection Committee;
- iv) To lay down the duties and conditions of service of the Professors, Associate Professors and Assistant Professors and other academic staff of the institution deemed to be university in consultation with the Academic Council;
- v) To provide for appointment of Visiting fellows and Visiting Professors;
- vi) To create administrative, ministerial and other necessary posts in terms of the cadres laid down and to make appointment thereof in consultation with the Finance Committee;
- vii) To constitute, for the benefit of the teaching, academic, technical, administrative and other staff, such pension, insurance, provident fund and gratuity as it may deem fit and aid in the establishment and support of Association, Institutions, Funds, Trusts and conveyances calculated to benefit the staff and the students of the Institution deemed to be University;

- viii) To regulate and enforce discipline among the employees of the institution deemed to be university and to take appropriate disciplinary action, wherever necessary;
- ix) To entertain and adjudicate upon and, if thought fit, to redress any grievances of the employees and students of the institution deemed to be university;
- x) To grant leave of absence to the Vice-Chancellor and to make necessary arrangements for carrying on his/her functions during the period of absence;
- xi) To approve the award of Degrees and diplomas based on the results of examinations and tests and to confer, grant or award Degrees, Diplomas, Certificates and other academic titles and distinctions;
- xii) To fix the emoluments and traveling and other allowances of examiners, moderators, tabulators and such other personnel appointed for examinations in consultation with the Academic Council and the Finance Committee;
- xiii) To institute Fellowships, including Travel Fellowships, Scholarships, Studentships, Medals and Prizes in accordance with the Rules to be framed for the purpose;
- xiv) To advise the Society/Trust/Company (if any) on matters regarding acquisition, management and disposal of any immovable property on behalf of the institution deemed to be university;
- xv) To purchase, take on lease or accept as gift or otherwise any land or buildings or works which may be necessary or convenient for the purpose of the institution deemed to be university, on such terms and conditions as it may deem fit and proper, and to construct or alter and maintain any such building(s) or work(s);
- xvi) To transfer or accept transfers of any movable property on behalf of the institution deemed to be university;

Provided that the Board of Management shall not transfer or alter ownership in any manner whatsoever of any movable or immovable property of the institution deemed to be university without the approval of the sponsoring Society/Trust/Company.

- xvii) To execute in consultation with the Society/Trust/Company (if any) conveyance, transfer Government Securities, re-conveyances, mortgages, leases, bonds, licenses and agreements in respect of property, movable or immovable, belonging to the institution deemed to be university or to be acquired for the purposes of the institution deemed to be university;
- xviii) To issue appeals for funds for carrying out the objectives of the institution deemed to be university and, consistent with the

provisions of the objectives, to receive grants, donations, contributions, gifts, prizes, scholarship, fees and other moneys, to give grants and donations, to award prizes, scholarships, etc.;

- xix) To raise and borrow in consultation with the Society/Trust/Company (if any) money on bonds, mortgages, promissory notes or other obligations or securities founded or based on any of the properties and assets of the institution deemed to be university, or without any securities, upon such terms and conditions as it may think fit and to pay out of the funds of the institution deemed to be university, all expenses incidental to the raising of money and to repay and redeem the money borrowed;
- xx) To draw and accept and make and endorse discount and negotiate Government of India's and other promissory notes, bills of exchange, cheques or other negotiable instruments;
- xxi) To maintain a fund to which shall be credited:
  - (a) all moneys provided by the Central or State / UT Government(s) /University Grants Commission;
  - (b) all fees and other charges received by the institution deemed to be university;
  - (c) all money received by the institution deemed to be university as grants, gifts, donations, benefactions, bequest or transfers and
  - (d) all money received by the institution deemed to be university in any other manner or from any other source;
- xxii) To open account or accounts of the institution deemed to be university with anyone or more scheduled banks and to lay down the procedure for operating the same;
- xxiii) To deposit all moneys credited to the funds in scheduled banks or to invest them in consultation with the Finance Committee;
- xxiv) To invest the funds of the institution deemed to be university or money entrusted to the institution deemed to be university in or upon such securities and in such manner as it may deem fit and from time to time transpose any investment;
- xxv) To maintain proper accounts and other relevant records and prepare Annual Statements of Accounts, including the balance sheet for every previous financial year, in such form as may be prescribed by the Regulations / Bye-Laws;
- xxvi) To manage, regulate and administer the revenue, the finance, accounts, investments, properties, business and all other

administrative affairs of the institution deemed to be university and for that purpose to appoint such agent or agents as it may deem fit;

- xxvii) To provide building or buildings, premises, furniture, fittings, equipments, appliances and other facilities required for carrying on the work of the institution deemed to be university;
- xxviii) To establish, maintain and manage residencies for faculty and staff and hostels for the students of the institution deemed to be university;
- xxix) To recognize and maintain control and supervision on hostels owned and managed by other agencies for the students of the institution deemed to be university and to rescind such recognition;
- xxx) To appoint such committees for such purpose and with such powers as the Board of Management may think fit and to co-opt such persons on these Committees as it thinks fit;
- xxxi) To appoint in order to execute an instrument or transact any business of the institution deemed to be university, any person as attorney of the institution deemed to be university with such powers as it may deem fit;
- xxxii) To appoint Auditor(s) for the ensuing year;
- xxxiii) To select an emblem and to have a common seal for the institution deemed to be university and to provide for the custody and use of such seal;
- xxxiv) To delegate all or any of its powers to any Committee or sub-Committee constituted by it or the Vice-Chancellor of the institution deemed to be university or any other person;
- xxxv) To conduct all administrative affairs of the institution deemed to be university not otherwise specifically provided for;
- xxxvi) To take all necessary decisions for the smooth and efficient functioning of the institution deemed to be university.

#### 4.5 Meetings of the Board of Management:

- (i) The Board of Management shall meet at least four times a year. Not less than 15 days' notice shall be given of a meeting of the Board of Management. Eight (8) members shall make the quorum for a Board of Management meeting.
- (ii) Every meeting of the Board of Management shall be presided over by its Chairman and in his/her absence, by a member chosen by the members present, from amongst themselves.

- (iii) Each member of the Board of Management, including its Chairman, shall have one vote and decisions at the meetings of the Board shall be taken by simple majority. In case of a tie, the Chairman shall have a casting vote.
- (iv) Any business which it may be necessary for the Board of Management to perform may be carried out by circulating appropriate resolution thereon among its members and any resolution so circulated and approved by a simple majority shall be as effective and binding as if such resolution had been passed at the meeting of the Board.
- (v) A copy of the proceedings of each meeting shall be furnished to the Chancellor of the institution deemed to be university as soon as possible after the meeting.

#### 4.6 Termination of Membership

If a member other than the Vice-Chancellor, and those representing the teachers, accepts a full time appointment in the Institution deemed to be University or does not attend three consecutive meetings of the Board of Management, without proper leave of absence, he/she shall cease to be a member of the Board of Management.

#### 4.7 Constitution of Standing Committee and Ad-hoc Committee by the Board of Management

4.7.1 Subject to the provision of the Rules of the Institution deemed to be University, the Board of Management may, by a resolution, constitute such Standing Committee or Ad hoc Committee or Committees for such purposes and with such powers as the Board may think fit for discharging any function of the institution deemed to be university or for inquiring into, reporting and advising upon any matter of the Institution deemed to be University.

4.7.2 The Board of Management may co-opt such persons on the Standing Committees or Ad-hoc Committees, as it may consider suitable.

#### 4.8 Delegation of Powers of the Board of Management

The Board of Management may, by a resolution, delegate to the Vice Chancellor or any other officer of the institution deemed to be university of the Standing Committee or the Ad-hoc Committee such of its powers as it may deem fit subject to the condition that the action taken by the Vice Chancellor or the officer concerned or the Standing Committee or the Ad-hoc Committee concerned in the exercise of the powers so delegated shall be reported at the next meeting of the Board of Management.

5. Constitution of Panel

- (i) For constituting panel of names for nominating a UGC representative in the Board of Management under clause 5.7 and in Finance Committee under clause 3.1 (Annexure-2) of the Regulations, a Search Committee shall be constituted by the UGC with the prior approval of the Central Government. Such Search Committee shall be formed every two years.
  - (ii) The Government while constituting the Search Committee shall lay down the eligibility criteria of qualification, experience, age, etc. separately for member to be in Board of Management and in Finance Committee on the recommendation of UGC.
  - (iii) The Search Committee shall select a panel of names equal to two times the number of Institutions in which UGC has to give nominee, separately for Board of Management and Finance Committee. The validity of panel of names shall be for two years but the same can be extended with the approval of Central government, if Search Committee fails to meet in two years.
  - (iv) A person cannot be nominated in more than two Committees either in Board of Management or in Finance Committee.
  - (v) UGC shall select its representative in Finance Committee or Board of Management from the existing approved panel of names provided that such representative should not be associated with the Deemed to be University concerned in any other Committee(s) or in other capacity such as faculty, administrative post, etc. in the last five years.
  - (vi) Panel of names for Board of Management and Finance Committee shall be displayed on the website of Commission along with the details of nomination in the committee.
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**Other Authorities of the institution deemed to be university**

The following shall be the other authorities of the institution deemed to be university:

1. Academic Council
2. Planning and Monitoring Board
3. Finance Committee
4. Board of Studies
5. Such other authorities as may be declared by the Rules to be authorities of the institution deemed to be university

1. Academic Council (AC)

1.1 The Academic Council shall be the principal academic body of the institution deemed to be university and shall, subject to the provision of the Rules , have the control over and be responsible for the maintenance of standards of teaching, research and training, approval of syllabus, co-ordination of research activities, examinations and tests within the institution deemed to be university and shall exercise such powers and perform such other duties and functions as may be prescribed or conferred upon it by the Rules of the institution.

1.2 Composition of the Academic Council

The Academic Council shall consist of the following persons, namely:

1. Vice Chancellor ..... Chairperson
2. Pro Vice-Chancellor (if any)
3. Dean(s) of Faculties
4. Heads of the Departments
5. All Professors other than the Heads of the Departments.
6. Two Associate Professors from the Departments other than the Heads of the Departments by rotation of seniority
7. Two Assistant Professors from the Departments by rotation of seniority
8. Three persons from amongst educationists of repute or persons from any other field related to the activities of the Institution deemed to be University who are not in the service of the Institution deemed to be University, nominated by the Vice-Chancellor
9. Three persons who are not members of the teaching staff, co-opted by the Academic Council for their specialized knowledge
10. The Registrar, who shall be the Secretary of the Academic Council

*Note: The representation of different categories shall be only through rotation and not through election. It may also be ensured that no particular faculty dominates the membership of the Council.*

1.3 Term of Membership:

The term of members other than the *ex-officio* members shall be two years.

1.4 Powers and Functions of the Academic Council:

The Academic Council shall have the following powers and duties, namely

- i. To consider matters of academic interest either on its own initiative or at the instance of the Board of Management or those proposed by the departments/ faculties and to take proper action thereon;
- ii. To exercise general supervision over the academic work of the institution deemed to be university and to give direction regarding methods of instruction, evaluation, and improvements in academic standards;
- iii. To promote research within the institution deemed to be university, acquire reports on such researches from time to time;
- iv. To prescribe courses of study leading to degrees and diplomas of the institution deemed to be university;
- v. To make arrangements for the conduct of examinations in conformity with the Bye-Laws;
- vi. To appoint examiners, moderators, tabulators and such other personnel for different examinations;
- vii. To maintain proper standards of the examinations;
- viii. To recognize diplomas and degrees of universities and other Institutions and to determine equivalence with the diplomas and degrees of the institutions deemed to be university;
- ix. To suggest measures for departmental co-ordination;
- x. To make recommendations to the Board of Management on:
  - a) measures for improvement of standards of teaching research and training;
  - b) institution of Fellowships, Travel Fellowships, Scholarships, Medals, Prizes etc.;
  - c) to recommend to the Board of Management, the establishment or abolition of departments/ centres; and
  - d) To frame rules covering the academic functioning of the institution deemed to be university, admissions, examinations, award of



fellowships and studentships, free-ships, concessions, attendance, discipline, residence etc.

- xi. To appoint sub-committees to advise on such specific matters as may be referred to it by the Board of Management;
- xii. To consider the recommendations of the sub-committees and to take such action as the circumstances of each case may require;
- xiii. To take periodical review of the activities of the Departments/Centres and to take appropriate action with a view to maintaining and improving standards of instruction;
- xiv. To recommend institution of teaching posts (Professors, Associate Professors and Assistant Professors) to the Board of Management; and
- xv. To exercise such other powers and perform such other duties as may be conferred or imposed upon it by the Rules.

#### 1.5 Meeting of the Academic Council

- i. The Academic Council shall meet as often as may be necessary but not less than three times during an academic year. Not less than 15 days' notice shall be given of a meeting of the Academic Council.
- ii. One third of the total number of members of the Academic Council shall constitute the quorum for the meeting of the Academic Council.
- iii. Each member, including its Chairman, shall have one vote and decisions at the meetings of the Academic Council shall be taken by simple majority. In case of a tie, the Chairman shall have a casting vote.
- iv. Any business which it may be necessary for the Academic Council to perform, except such as may be placed before its meeting, may be carried out by circulation of the resolution among all its members and the resolution so circulated and approved by a simple majority shall be effective and binding as if such resolution had been passed in the meeting of the Academic Council, provided that at least one half of the total number of the members of the Academic Council have recorded their views on the resolution.

#### 2.0 Planning & Monitoring Board:

- 2.1 The Planning & Monitoring Board shall be the principal Planning Body of the institution deemed to be university and shall be responsible for the monitoring of the development programmes of the Institution deemed to be University.

- 2.2 The Vice-Chancellor shall be the Chairman of the Planning & Monitoring Board. The Registrar shall be its Secretary. It may include seven internal members and three outside eminent experts, including one nominee of the UGC.
- 2.3 The constitution, powers and functions of the Planning & Monitoring Board shall be prescribed by the Rules.
- 2.4 The Planning & Monitoring Board would have the right to advise the Board of Management and the Academic Council on any matter which it considers necessary for the fulfillment of the objectives of the institutions deemed to be university.
- 2.5 The recommendations of the Planning & Monitoring Board shall be placed before the Board of Management for consideration and approval. Proposals relating to the academic matters may be processed through the Academic Council.

### 3.0 Finance Committee (FC)

#### 3.1 Composition of the Finance Committee:

The Finance Committee shall consist of the following members

1. Vice Chancellor – Chairperson
2. Pro Vice-Chancellor
3. A person nominated by the Society/Trust/Company
4. Two nominees of the Board of Management, one of whom shall be a member of the Board.
5. A representative of Central Government (respective Ministry) not below the rank of Under Secretary to the Government of India, in case the institutions are controlled and managed by Central Government or receiving grants more than or equal to 50% of its expenditure (based on average of previous three year account) from the Central Government directly or through its Agencies. There shall be no representative of Central Government or the Commission for Universities under Category I or Category II which are not controlled or managed by Government or not receiving grants more than or equal to 50% of its expenditure. In all Deemed to be Universities under Category III the UGC shall nominate a representative. The UGC will nominate its representative from a panel of names selected through a Search Committee. The Search Committee will be formed as per details & procedure as mentioned in Clause 5.0 of Annexure I for selecting the panel of names.
6. A representative of the State Government, in case the institution deemed to be university is receiving grants from the State Government
7. Finance Officer- Secretary

3.2 Terms of Office of the Finance Committee:

All members of the Finance Committee other than ex-officio members shall hold office for a term of three years.

3.3 Powers and Functions of the Finance Committee:

- (i) To consider the annual accounts and financial estimates of the institution deemed to be university and submit them to the Board of the Management for approval;
- (ii) To consider and recommend the annual budget and revised estimates to the Board of Management;
- (iii) To fix limits of the total recurring expenditure and the total non-recurring expenditure of the year based on the income and resources of the institution deemed to be university.

*Note: No expenditure other than that provided in the budget shall be incurred by the institution deemed to be university without the approval of the Finance Committee.*

3.5 Meetings of the Finance Committee:

The Finance Committee shall meet at least twice a year to examine the accounts and to scrutinize proposals for expenditure. Five members shall constitute the quorum for the meeting.

4.0 Board of Studies:

4.1 There shall be one Board of Studies for each Department of the institution deemed to be university.

4.2 The Board of Studies of each faculty/ Department shall consist of:

1. Dean of faculty/ Head of the Department - Chairperson
2. All Professors of the faculty/ Department
3. Two Associate Professors of the faculty/ Department by rotation of seniority
4. Two Assistant Professors of the faculty/Department by rotation of seniority
5. Not more than 2 persons to be co-opted for their expert knowledge including those belonging to the profession or industry concerned

4.3 The powers and functions of the Board of Studies shall be prescribed by the Rules of the Institution deemed to be University.

5.0 Selection Committee:

5.1 There shall be a Selection Committee for making recommendations to the board of Management for appointment to the post of Professors, Associate Professors, Assistant Professors and such other posts as may be prescribed in accordance with the UGC Regulations on Minimum Qualifications for Appointment of Teachers and Other Academic Staff in Universities and Colleges and Measures for the Maintenance of Standards in Higher Education, 2010 as amended from time to time.

5.2 Every Selection Committee shall be constituted in accordance with the UGC Regulations on Minimum Qualifications for Appointment of Teachers and Other Academic Staff in Universities and Colleges and Measures for the Maintenance of Standards in Higher Education, 2010 as amended from time to time.

5.3 Meetings of the Selection Committee

- (a) The meetings of the Selection Committees shall be convened by the Chairman of the Selection Committee as and when necessary.
- (b) Four members of the Selection Committee shall consisting of at least two experts shall form the quorum.
- (c) If the Board of Management is unable to accept the recommendations of the Selection Committee, it shall record its reasons thereof and require an appropriate review by a high power committee.

6.0 Officers of the institution deemed to be university

The following shall be the officers of the institution deemed to be university:

- a) Chancellor
- b) Pro Chancellor
- c) Vice-Chancellor
- d) Pro Vice-Chancellor
- e) Registrar
- f) Finance Officer
- g) Controller of Examinations
- h) Dean of Faculties
- i) Head of Department
- j) Such other officers as may be prescribed in the Rules of the institution deemed to be university

6.1 Chancellor & Pro Chancellor

6.1.1 Chancellor: The institution deemed to be university shall have a Chancellor who shall, when present, preside over the convocations of the institution deemed to be university but shall not be the Chief Executive Officer. The Chancellor, who will be appointed by the sponsoring Society/Trust/Company, shall hold office for a period of 5 years and shall be eligible for reappointment.

Where power is conferred upon the Chancellor to nominate persons to authorities, he/she shall, to the extent necessary, nominate persons to represent the various interests for the furtherance of the objectives of the institutions deemed to be university.

6.1.2 Pro Chancellor: The Sponsoring body of the Institution deemed to be University may also appoint a person as a Pro Chancellor, whose role would be limited to carrying out the tasks assigned to the Chancellor in these Regulations, when the latter is not available for carrying out the same. The Pro Chancellor, if so appointed, shall hold office for a period co-terminus to that of the Chancellor. .

## 6.2 Vice-Chancellor

“(i) The Vice-Chancellor shall be a full time salaried officer of Institution Deemed to be University and shall be appointed by the Visitor/Chancellor from a panel of three names suggested by a Search-cum-Selection Committee.

Persons of the highest level of competence, integrity, morals and institutional commitment shall be appointed as Vice-Chancellors. The Vice-Chancellor to be appointed shall be a distinguished academician, with a minimum of ten years of experience as Professor in a University system or ten years of experience in an equivalent position in a reputed research and/or academic administrative organization.

The procedure/composition of Search-cum-Selection-Committee (SCSC) for selection of Vice-Chancellor shall be as under:

- I. In case, where Management Control of an Institution Deemed to be University is with the Central Government or the State Government, the Vice-Chancellor shall be appointed in accordance with the procedure laid down by the Central Government or the State Government, as the case may be.
- II. In case, where the funding to the Institution Deemed to be University by the Government or by its Agencies is more than or equal to 50% of its expenditure (based on average of previous three year account) the composition of Search-cum-Selection-Committee shall be as under:
  - a) A nominee of Chancellor
  - b) A nominee of the Central Government; who shall be an eminent academic nominated by the Government in consultation with UGC
  - c) A nominee of Board of Management
- III. In case, where funding is less than 50% of its expenditure, the composition of Search-cum-Selection Committee shall be as under:
  - a) A nominee of the Visitor/Chancellor, who shall be the Chairperson of the Committee
  - b) A nominee of the Chairman, University Grants Commission
  - c) A nominee of the Syndicate/Executive Council/Board of Management of the Institution Deemed to be University

- (ii) The Vice-Chancellor shall hold office for a term of 5 years. He shall be eligible for a second term, provided that in no case shall he hold office beyond the age of 70 years.

*Provided* that notwithstanding the expiry of the period of 5 years, he/she may continue in office for not more than six months or till his/her successor is appointed and the latter assumes office, whichever, is earlier.

- (iii) In case of the office of the Vice-Chancellor becoming vacant due to death, resignation or otherwise and in case of his/her absence due to illness or any other cause, the Pro Vice-Chancellor, and in his/her absence, the Senior most Professor shall perform the duties of the Vice-Chancellor until a new Vice-Chancellor is appointed, or the existing Vice-Chancellor resumes duties, as the case may be.
- (iv) The Vice-Chancellor shall not be a member of the sponsoring or managing Society/Trust/Company and/or a close relative of the President or members of the sponsoring or managing society/trust/company.

### 6.3 Powers of the Vice-Chancellor

- i) The Vice-Chancellor shall be the Principal Executive Officer of the institution deemed to be university and shall exercise general supervision and control over the affairs of the institution deemed to be university and shall be mainly responsible for implementation of the decisions of all the authorities of the Institution deemed to be University.
- ii) The Vice-Chancellor shall be the Ex-officio Chairman of the Board of Management, the Academic Council, the Finance Committee, the Planning & Monitoring Board and Selection Committees.
- iii) The Vice-Chancellor shall have the power to convene or cause to be convened meeting of the various authorities of the institution deemed to be university.
- iv) The Vice-Chancellor may, if he/ she is of the opinion that immediate action is called for on any matter, he / she shall exercise any power conferred upon any authority of the institution deemed to be university under its Regulations and Rules, and take such action or proceed to take such action and shall report to the authority concerned on the action taken by him/her on such matters.

*Provided* that if the authority concerned as mentioned in clause (ii) above is of the opinion that such action ought not to have been taken, it may refer the matter to the Chancellor whose decision thereon shall be final.

*Provided* further that if any person in the service of the institution deemed to be university is aggrieved by the action taken by the Vice-

Chancellor under the said clause, he/she shall have the right to appeal against such decision to the Board of Management within 30 days from the date on which such action is communicated to him/her and thereupon the Board of Management shall call the meeting in a subsequent meeting and may confirm, modify or reverse the action taken by the Vice-Chancellor.

- v) It shall be the duty of the Vice-Chancellor to ensure that Regulations and Rules of the institution deemed to be university are duly observed and implemented; and, he/she shall have all the necessary powers in this regard.
- vi) All powers relating to the proper maintenance and discipline of the institution deemed to be university shall be vested in the Vice-Chancellor.
- vii) The Vice-Chancellor shall have the power to re-delegate some of his powers to any of his/her subordinate officers with the concurrence and approval of the Board of Management.
- viii) The Vice-Chancellor shall exercise all other powers as may be delegated to him/her by the Board of Management.
- ix) The Vice-Chancellor shall exercise such other powers and perform such other functions as may be prescribed by the Regulations, Rules and Bye-Laws.

#### 6.4 Removal of Vice-Chancellor

If the Vice-Chancellor of the Institution Deemed to be University does not have the qualification as required under these Regulations and also UGC Regulations on Minimum Qualifications for Appointment of Teachers and Other Academic Staff in Universities and Colleges and Measures for the Maintenance of Standards in Higher Education, 2010 as amended from time to time or not appointed as per the procedure stipulated in these Regulations or has committed any financial/administrative impropriety, the Vice-Chancellor can be removed on the recommendations of an Enquiry Committee constituted by the Chairman UGC, after due process. The Commission based on the report of enquiry committee will give direction to the Visitor/Chancellor to remove the Vice-Chancellor. However, in case of Government controlled Institutions, the Commission will send its advice regarding removal of Vice-Chancellor to respective Ministries in Government of India/ State Government/ UT Government.

#### 6.5 Pro Vice-Chancellor

- (i) The post of the Pro Vice-Chancellor may be created with the approval of the Board of management .However, in case university is controlled or managed by Government or if more than 50% funds are given by Central Government or its agencies then permission of Central Government would be required..

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- (ii) The Pro Vice-Chancellor shall be appointed by the Board of Management on the recommendation of the Vice-Chancellor.
- (iii) The Pro Vice-Chancellor shall hold office co-terminus with the office of the Vice-Chancellor and at the pleasure of Vice-Chancellor.
- (iv) The Pro Vice-Chancellor shall have the powers and duties as prescribed by Rules of the institution deemed to be university.

### 6.6 Registrar

- (i) The Registrar shall be a whole time salaried officer of the institution deemed to be university and shall be appointed by the Board of Management on the recommendations of the Selection Committee consisting of the following:-
  - 1. Vice Chancellor - Chairperson
  - 2. One nominee of the Chancellor
  - 3. One nominee of the Board of Management.
  - 4. One expert appointed by the Board of Management who is not an employee of the institution deemed to be university.
- (ii) The emoluments and other terms and conditions of service of the Registrar shall be as prescribed by Rules of the institution deemed to be university.
- (iii) When the office of the Registrar is vacant or when the Registrar is absent by reason of illness or any other reason, the duties and functions of the Registrar shall be performed by such other person as the Vice Chancellor may appoint for the purpose.
- (iv) The Registrar shall be ex-officio Secretary of the Board of Management, the Academic Council and the Planning and Monitoring Board, but shall not be deemed to be a member of any of these authorities.
- (v) The Registrar shall be directly responsible to the Vice-Chancellor and shall work under his direction.
- (vi) The following shall be the duties of the Registrar: -
  - 1. To be the custodian of the records and the funds and such other property of the institution deemed to be university as the Board of Management may commit to his/her charge;
  - 2. To conduct the official correspondence on behalf of the authorities of the institution deemed to be university;
  - 3. To issue notices convening meetings of the authorities of the institution deemed to be university and all Committees and sub-Committees appointed by any of these authorities;



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4. To maintain the minutes of the meetings of all the authorities of the institution deemed to be university and of all the Committees and sub-Committees appointed by any of these authorities;
5. To make arrangements for and supervise the examinations conducted by the institution deemed to be university;
6. To represent the institution deemed to be university in suits or proceedings by or against the institution deemed to be university, sign powers of attorney and perform pleadings or depute his/her representatives for this purpose;
7. To enter into agreement, sign documents and authenticate records on behalf of the institution deemed to be university;
8. To make arrangements to safeguard and maintain the buildings, gardens, office, canteen, cars and other vehicles, laboratories, libraries, reading rooms, equipment and other properties of the institution deemed to be university;
9. To perform such other duties as may be specified in the Rules or as may be assigned by the Board of management or the Vice-Chancellor from time to time.

### 6.7 Finance Officer

- (i) The Finance Officer shall be a whole time salaried officer of the institution deemed to be university and shall be appointed by the Board of Management.
- (ii) The emoluments and other terms and conditions of service of the Finance Officer shall be as may be prescribed by Rules of the institution deemed to be university.
- (iii) The Finance Officer shall work under the direction of the Vice-Chancellor and shall be responsible to the Board of Management through the Vice-Chancellor.
- (iv) He/she shall be responsible for the preparation of annual budget, estimates and statements of account for submission to the Finance Committee and the Board of Management.
- (v) He/she shall be responsible for the management of funds and investments of institution deemed to be university, subject to the control of Board of Management.

### 6.8 Controller of Examinations

- (i) The Controller of Examinations shall be appointed by the Board of Management

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- (ii) The emoluments and other terms and conditions of service of the Controller of Examination shall be as may be prescribed by Rules of the institution deemed to be university.
- (iii) The Controller of Examinations shall ensure that all the specific directions of the Board of Management, Academic Council and Vice-Chancellor in respect of examination and evaluation are complied with.
- (iv) The Controller of Examinations shall be a permanent invitee to the Board of Management.

### **6.9 Dean**

The Departments dealing with allied subjects could be grouped into faculties. Each faculty may be headed by a Dean.

### **6.10 Head of the Department**

- (i) There shall be a Head of the Department for each of the Departments in the institution deemed to be university who shall be appointed by the Vice-Chancellor from amongst the Professors of the Department.

Provided that if there is no Professor in the Department or there is only one Professor in the Department whose term as Head of the Department is ending, the Vice-Chancellor may appoint an Associate Professor as Head of the Department.

- (ii) The term of the Head of the Department shall normally be 3 years and he/she shall be eligible for reappointment for one more term, but not for two consecutive terms.
- (iii) The powers and functions of the Head of the Department shall be prescribed by Rules of the institution deemed to be university.

### **7.0 Delegation of Powers**

Subject to the provisions of these Regulations and Rules, any authority or officer of the institution deemed to be university, with the approval of Board of Management, may delegate its power to any other authority or officer or person under their respective control and subject to the conditions that the overall responsibility for exercising the powers so delegated shall continue to rest in the authority or officer delegating such powers.

### **8.0 Seniority List**

- (a) Whenever in accordance with these Rules any person is to hold an office or to be a member of an authority of the Institution deemed to be University by rotation of seniority, such seniority shall be determined according to the length of the continuous service of such person in the grade in the institution deemed to be university in accordance with such

other principles as the Board of Management may from time to time prescribe.

- (b) It shall be the duty of the Registrar to prepare and maintain in respect of each class/cadre of persons to whom the provisions of these Rules apply a complete and up-to-date seniority list in accordance with the provisions of the foregoing clause.
- (c) If two or more persons have equal length of continuous service in a particular grade/cadre or the relative seniority of any person or persons is in doubt, the Registrar may on his/her own notion and shall at the request of any such person, submit the matter to the Board whose decision shall be final and binding.

#### 9.0 Dispute as to Membership

If any question arises, whether any person has been duly nominated or appointed, as or is entitled to be a member of any authority or any committee of the institution deemed to be university, the matter shall be referred to the Chancellor, whose decision thereon shall be final and binding.

#### 10.0 Grievance Redressal Mechanism

For individual grievances and complaints, every institution deemed to be university shall have a Grievance Redressal Mechanism as may be prescribed by the UGC.

##### 10.0A Special Provisions

Every Institution Deemed to be University shall have the following special provisions as per UGC norms:-

- (i) Anti Ragging Cell
- (ii) Anti discrimination Cell
- (iii) Gender Sensitization Cell
- (iv) Internal Complaints Committee for prevention of Sexual Harassment
- (v) Barrier Free access in all places

10.0B Institution Deemed Universities shall be allowed to take credits earned from other institutions under Choice Based Credit System as per the norms of UGC.

10.0C Institution Deemed to be Universities shall review the syllabus every three years keeping in view the developments in the domains of knowledge.

10.0D Institution Deemed to be University shall adhere to all the Rules, Regulations, norms, guidelines, directions, etc. issued/notified by the UGC/Government of India from time to time.

10.0E The Commission can issue directions to an Institution Deemed to be University for implementation of any law or Government Policy or in case of any violation of any law or policy.

11.0 Resignation

Any member other than an ex-officio member of any authority may resign by a letter addressed to the Registrar and the resignation shall take effect as soon as it is accepted by the Chancellor or the Chairman of the Board of Management, as the case may be.

12.0 Acting Chairman of the Meetings

Where no provision is made for a Chairman to preside over a meeting of an authority of the institution deemed to be university or any committee of such authority, or if the Chairman so provided is absent, the members present may select one from amongst themselves to preside at such meeting.

13.0 Validation of certain actions, decisions

No action or proceedings of any authority or anybody or any committee of the institution deemed to be university shall be invalid merely by reason of any vacancy therein.

14.0 Disqualification

(a) A person shall be disqualified for being chosen as and for being a member of any of the authorities of the institution deemed to be university:

- i) if he/she is of unsound mind
- ii) if he/she is an un-discharged insolvent
- iii) if he/she has been convicted by a court of law of an offence involving moral turpitude.
- iv) if he/she has not been appointed as per the provisions of UGC Regulations.

(b) If any question arises as to whether a person is or has been subjected to any disqualifications mentioned above, the question shall be referred for decision to the Chancellor and his decision shall be final.

15.0 Filling of Casual Vacancies

Casual vacancies among the members (other than ex-officio members) of any authority or any Committee of the institution deemed to be university shall be filled as soon as it may be convenient by the such authority or the person who appointed or co-opted the member whose place has become vacant and the person appointed or co-opted to a casual vacancy shall be member of such authority or committee for the residual term for which the person whose place he/she fills would have been a member.

16.0 Review of the Academic Activities of the institution deemed to be university

The Review of Deemed to be Universities shall be as laid down in Clause 11.2 of these Regulations.

**17.0 Inspection of the institution deemed to be university by the Commission**

- i) The Commission, subject to the provisions in Clause 11.2 and 11.2.1 of these Regulations, may cause an inspection, to be made by such person or persons as it may direct, of the institution deemed to be university, its buildings, fixtures and fittings, laboratories and equipment as also examinations, teaching and other work carried on or done and, if necessary, to cause an inquiry to be made in respect of any matter connected with the administration or finances of the institution deemed to be university.
- ii) The Commission shall, in every case, give notice to the institution deemed to be university of its intension to cause an inspection or inquiry to be made and on receipt of such a notice, the institution deemed to be university shall have the right to make such representations to the Commission as it may consider necessary.
- iii) Where an inspection or inquiry has been caused to be made by the Commission, the institution deemed to be university shall be entitled to appoint a representative who shall have the right to be present and to be heard at such inspection or inquiry.
- iv) The Commission may communicate the result of such inspection or inquiry together with such advice as it may be pleased to offer as to the action to be taken by the institution deemed to be university to the Vice-Chancellor who shall communicate the same to the Board of Management.
- v) The Board of Management shall give proper consideration to the said communication regarding the result of inspection or inquiry and the proposals for action by the institution deemed to be university and communicate to the Commission the action, if any, which it proposes to take or has taken upon the result of such inspection or inquiry.
- vi) Where the Board of Management does not, within a reasonable time, take any action to the satisfaction of the Commission , the Commission may, after giving due consideration to the explanation furnished or representation made by the Board of Management to it, issue such directions as it may think fit and the Board of Management shall comply with such directions.

**18.0 Income and Property of the institution deemed to be university to be utilized for its objectives only**

The income and property of the institution deemed to be university shall be utilized solely for promoting the objectives of that institution deemed to be university.

19.0 Ban on payment or transferring of Income and Property of the institution deemed to be university by way of Profit

No portion of the income and property of the institution deemed to be university shall be paid or transferred directly or indirectly, by way of dividend, bonus or otherwise howsoever by way of profit to the persons who were at any time or are members of the institution deemed to be university or to any of them or any persons claiming through them, provided that nothing herein contained shall prevent the payment in good faith of remuneration to any member thereof or other person as consideration for any service rendered to the institution deemed to be university or for travelling or other allowances and such other charges.

20.0 Funds, Accounts, Audits and Annual Report

i) The accounts of the institution deemed to be university shall be maintained in the name of the institution deemed to be university and not in the name of the sponsoring Society/Trust/Company. The accounts of the institution deemed to be university shall be kept in such forms as may be laid down by the Board of Management and shall conform to the rules, if any, prescribed by the Commission. In case of Institutions being funded by Central or State Government or their agencies fully or partially, then the accounts of such institutions deemed to be university shall be open for examination by the Controller and Auditor General of India. The accounts shall also be open for inspection by the Commission.

ii) The annual financial statements and accounts shall be audited by the Chartered Accountant of the institution deemed to be university.

Provided that in case of reasonably credible reports being received of financial impropriety or of embezzlement or of illegal diversion of funds from the accounts of the University/ Managing Society or of fees being collected against the provision of the regulations, then the Commission may order an additional audit to be done by a Chartered Accountant selected by the Commission and take further action deemed fit under the Regulations based on the audit report.

iii) Annual Reports and the Audit Reports shall be submitted by the institution deemed to be university to the Commission within nine months of the closure of the accounting year.

21.0 Rules of the institution deemed to be university

Subject to the provisions of the Regulations and the Rules of the Commission, the Board of Management shall, in addition to all other powers vested in it, have the power to frame the Rules of the institution deemed to be university that may provide for all or any of the following matters: -

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- (i) establishment of Departments of teaching ;
- (ii) courses of study to be laid down for all degrees, diplomas and certificates of the Institution deemed to be University;
- (iii) grant of academic awards (such as degrees and diplomas) and distinctions;
- (iv) admission of students to the Institution deemed to be University and their enrolment as such;
- (v) the fees to be charged for courses of study and for admission to the examinations, degrees, diplomas and certificates of the Institution deemed to be University.
- (vi) conduct of examinations, appointment of examiners and approval and publication of results thereof;
- (vii) institution of award of fellowships, scholarships, studentships, medals and prizes and prescription of the conditions thereof;
- (viii) maintenance of discipline among the students;
- (ix) maintenance of discipline among the employees;
- (x) establishment of halls of residence and conditions of residence and health of the students;
- (xi) classification, emoluments, method of appointment and determination of the terms and conditions of service of the staff;
- (xii) such other powers, functions and duties of the Academic Council as are not mentioned elsewhere;
- (xiii) constitution, powers and functions of the Planning & Monitoring Board
- (xiv) Powers and functions of the Board of Studies;
- (xv) composition, powers and functions of the Grievance Redress Mechanism;
- (xvi) prescribing persons as such other officers of the institution deemed to be university;
- (xvii) such other powers and functions of the Vice-Chancellor as are not specified elsewhere;
- (xviii) emoluments, terms and conditions of service of the Register;
- (xix) emoluments, terms and conditions of service of the Finance Officer;

## UGC [Institutions Deemed to be Universities] Regulations, 2017

- (xx) constitution of pension, provident fund, insurance etc for the benefit of the officers, teachers, and the other staff;
- (xxi) establishment of special centers;
- (xxii) creation, composition and functions of any committees or body, which is considered necessary for the work of the institution deemed to be university;
- (xxiii) procedure for preparation and submission of budget estimates;
- (xxiv) procedure for convening of meeting of any authority or committee;
- (xxv) laying down of procedures to be observed at any meeting of any authority or any committee;
- (xxvi) constitution of any other body as an authority of the institution deemed to be university;
- (xxvii) delegation of powers to any authority or officer;
- (xxviii) all other matters by this Regulation or the Rules may be provided but no rule shall be made affecting the condition of residence, health, discipline, admission, enrolment of students, conditions, mode of appointments, duties of examiners, conduct of and standard of examinations or any course of study without consulting the Academic Council.

### 22.0 Interpretation Clause

In the event of conflict of opinion with regard to interpretation of Regulations or the Rules of the Commission, the opinion of the Commission shall be final.

### 23.0 Legal Proceedings

- i) For the purpose of Section 6 of the Societies Registration Act, 1860, the person in whose name the institution deemed to be university may sue or be sued shall be the Registrar.
- ii) No suit or legal proceedings shall lie against the Central Government or the Commission or the institution deemed to be university or an Officer of the institution deemed to be university or a member of the authority of the institution deemed to be university in respect of anything done or purported or intended to be done in pursuance of any of these Regulations.

### 24.0 Alteration, Amendments and Additions to the Rules governing the functioning of the institution deemed to be university

No Rule and Bye law governing the functioning of the institution deemed to be university may be altered, amended and added to by the Board of Management or such other competent body to the effect that it is in conflict with or to the detriment of the provisions of these Regulations; and, no alteration, amendment or addition to the Rules and bye laws shall be given effect to without the prior approval of the Commission in accordance with the provision of the Societies Registration Act, 1860 or the relevant Public Trust Act or Companies Act as in force for the time being.





# **UNIVERSITY GRANTS COMMISSION**

## **GUIDELINES FOR GRANT OF GRADED AUTONOMY TO CENTRAL AND STATE PUBLIC UNIVERSITIES**

### **I INTRODUCTION**

1.1 The University Grants Commission (UGC) has approved a new set of Regulations called the UGC (Categorization of Universities for Grant of Graded Autonomy) Regulations, 2017. Under these, the Universities have been classified into three categories based on their accreditation under NAAC and ranking under NIRF: Category I, Category II and Category III, with the objective of giving greater autonomy to Category I and Category II institutions.

1.2 It is proposed here that Central Universities established under an Act of Parliament and the State Public Universities established under Acts of State Legislatures may also have separate provisions for different categories of Universities so as to give greater autonomy to Category I and Category II institutions.

### **2. SCHEME OF GRADED AUTONOMY**

2.1 The following scheme for graded autonomy shall apply to all Central Universities established under an Act of Parliament and the State Public Universities established under Acts of State Legislatures.

2.2 The terms “Category I Institution”, “Category II Institution” and “Category III Institution” shall mean the Category of University as laid down under UGC (Categorization of Universities for Grant of Graded Autonomy) Regulations, 2017.

2.3 Following additional autonomy shall be granted to all Central Universities established under an Act of Parliament and the State Public Universities established under Acts of State Legislatures:

2.3.01 All Category I and Category II institutions would be automatically deemed to be under section 12B of the University Grants Commission Act and no inspections by the Commission would be required for the same.

2.3.02 In case there is any external review required to be done by the Commission under any statute or executive orders, then in case of a Category I Institution, it would be sufficient that the institution sends a report to the Commission in a prescribed review format. Similarly, for a Category II institution, the review can be done by the Institution itself through external peer review mechanism wherein the peer team members shall be chosen by the Institution themselves from representatives of Category I institutions, and the review report shall be sent to the Commission after completion of the review.

Provided that Commission may call for special review of any institution where the provisions of this clause shall not apply.

2.3.03 A Category I institution may start a new course/programme/Department /school/centre in self financing mode in disciplines that form a part of its existing academic framework without approval of the Commission.

2.3.04 A Category I institution may start skill courses under the guidelines of Ministry of Skill Development in self financing mode without approval of Commission.

2.3.05 A Category I institution may open research parks, incubation centres, university society linkage centres, in self financing mode, either on its own or in partnership with private partners, without approval of Commission. However, in all such arrangements, the ownership of all immovable property and that component of movable property procured through the resources of the Institution should remain with the University.

2.3.06 Subject to the Rules, Regulations and Guidelines of Government of India, a Category I institution may hire, without approval of the Commission, foreign faculty having academic qualification from an institution figuring in top five hundred of any of the world renowned ranking frameworks (such as the Times Higher Education World University Rankings or QS or Shanghai's Jiao Tong University), upto 20% of its total faculty strength. The remuneration for such a faculty shall be based on mutual agreement between the Institution and the hired faculty and shall be approved by the Academic Council and the Finance Committee of the Institution, apart from other Statutory bodies like Senate/ Syndicate/ Executive Council, as the case may be.

2.3.07. Subject to the Rules, Regulations and Guidelines of Government of India, a Category I Institution would be free to admit, without approval of the Commission, additionally foreign students on merit subject to a maximum of twenty percent of the strength of admitted domestic students. The Institution would be free to fix and charge fees from foreign students without restriction.

2.3.08 A Category I Institution, while following the pay scales as laid down by the Commission, may build in an incentive structure to attract talented faculty, with the condition that the incentive structure would have to be paid from their own revenue sources and not from Commission or Government funds. Such incentive structure shall be strictly merit based with clear defined transparent and objective criteria and should not be universal. It must necessarily be approved by both the Academic Council and the Finance Committee of the Institution, apart from other Statutory bodies like Senate/ Syndicate/ Executive Council, as the case may be. The Commission shall be informed of the incentive structure within thirty days of approval by the statutory bodies of the Institution.

**UNIVERSITY GRANTS COMMISSION  
NEW DELHI**

**UGC [MINIMUM STANDARDS AND PROCEDURE FOR AWARD OF M.PHIL/PH.D.  
DEGREE] (1ST AMENDMENT) REGULATIONS, 2017**

**PREAMBLE**

In exercise of powers conferred under clauses [e] & [g] of sub-section [1] of Section 26 of the University Grants Commission Act, 1956, hereby, the University Grants Commission makes the following Regulations, namely:-

**1.0 SHORT TITLE, APPLICATION AND COMMENCEMENT**

- 1.1 These Regulations may be called the University Grants Commission [Minimum Standards and Procedure for Awards of M.Phil/ Ph.D Degree] (1st Amendment) Regulations, 2017.
- 1.2 They shall apply to every University established or incorporated by or under a Central Act, Provincial Act or a State Act, every institution including a constituent or an affiliated college recognized by the Commission, in consultation with the University concerned under Clause (f) of Section 2 of the University Grants Commission Act, 1956 (3 of 1956) and every Institution Deemed to be a University under Section 3 of the said Act.
- 1.3 They shall come into force with effect from the date of their notification in the Official Gazette.

**2.0** A new Clause 1A shall be added in the Principal Regulations after existing Clause 1 as follows:

**1A. Definitions**

In these Regulations, unless the context otherwise requires:

1A.01 "Category I, Category II and Category III" means the category of university as laid down under UGC (Categorization of Universities for Grant of Graded Autonomy) Regulations, 2017.

**3.0** The following provisos may be added after Clause 5.1 of the Principal Regulations:

Provided that for an Institution which is a Category III Institution, only those candidates would be eligible for enrolling to a PhD course who have qualified the NET/SLET/SET examinations.

Provided further that NET/SLET/SET shall not be required for such programmes where the accredited NET/SLET/SET are not conducted.

Provided further that for the purpose of admission to Ph.D programmes in a college, the category applicable to the college shall be the same as the category of the University to which it is affiliated.

Dr. Jaspal Singh Sandhu  
Secretary