

UGC



विश्वविद्यालय अनुदान आयोग  
University Grants Commission  
quality higher education for all

*Special scheme for heritage  
institutions*

*Guidelines*

*(2018)*

Heritage

*University Grants Commission*

*Bahadur Shah Zafar Marg*

*New Delhi -110 002.*

## **Guidelines for the Special Scheme for Heritage Institutions**

### **1. INTRODUCTION**

There are many institutions in our country, which have a long history, not necessarily in its present form, and have contributed tremendously not only in the field of higher education but also in maintenance of cultural, social and moral fabric of the long history of our country. Their extramural approach has often touched lives of the poorest of the poor and their teachings towards rendering selfless service which have often been increased access to quality education, yet, there are institutions that have guided on the principles of ‘giving back to the society’. Therefore, it is felt that there is a need to recognize and reward such heritage institutions so as to enable them to continue to inspire our younger generation the value of ‘true education’.

Heritage is our legacy from the past, what we live with today, and what we pass on to future generations. The history of Indian Higher Education is characterized by some of the historic and intellectually inspiring universities and colleges with decades of good track record behind them. The vibrant spirit of nationalism and native cultural currents that swayed through the portals of heritage Higher Education Institutions (HEIs) was unparalleled. The community at large and the stakeholders in particular are ignorant of the past glory and hence least sensitive to rebuilding and restoring the rich heritage. UGC recognizes the need for preserving, reviving and revitalising the legacy of the heritage institutions, and hence these guidelines.

### **2. Objectives:**

- To bring into prominence the historical contributions of institutions, particularly in terms of intellectual and cultural heritage in the form of structured/documented form with inspiring illustrations and anecdotes.
- To conserve/renovate (subject to specified norms as per law) heritage structures of Higher Education Institutions (HEIs) in order to prolong such buildings’ lifespan.
- To reconstruct and document scientific knowledge of ancient India from historical sources.

### **3. Eligibility:**

The eligibility conditions to avail grant under the Scheme are as below:

- The university/college should be listed under Section 2(f) and 12B of UGC Act, 1956.

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- The university/college should be receiving Block Grant from UGC.
- The university/college should not be a self financing institution.
- The University should be more than 75 years old and Colleges should be more than 100 years old on the date of application for the grants.
- Institutions having NAAC score of 3.51 and above or NIRF ranking of up to 50 in the respective category.
- University/college should not have received any one-time assistance for similar purpose in the last 10 years.
- The university/college must have registered in Public Financial Management System (PFMS) portal. Unregistered colleges may fill the proforma at **Annexure I** and submit to UGC.
- The College/University should have settled the accounts of all previous schemes of UGC whose time period, as stipulated in the respective guidelines, is expired.

### **4. Inviting proposals:**

The UGC will invite proposals from interested universities and colleges by issuing a public notice on the UGC website. The universities and colleges should submit their proposal in the prescribed proforma as per **Annexure II**, enclosing therewith documents as given above under check-list of documents.

### **5. Quantum of Assistance:**

Institutions fulfilling eligibility criteria as mentioned in the previous section will be assisted up to a maximum grant as given below:

- I.  10.0 crores for universities
- II.  5.0 crores for colleges

### **6. Grant components:**

The university/college selected for grant under the scheme, would have freedom / flexibility in the apportionment of grant under the following heads, depending upon the specific institutional nature and requirements; re-appropriation of grants within the overall grant limit could also be made, subject to the concurrence of and accountability to the UGC:

- Conservation / maintenance of repositories of intellectual heritage resources including library, museum, herbarium, scientific instruments of yesteryears, gallery / live show of institutional history and heritage, among others.

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- Equipments, adoption of newer technology conservation of rare collections and specimens.
- Building expansion and furnishing for housing the heritage resources.
- Conservation and maintenance, including renovation work (subject to the legal clearance from the statutory bodies), improving scope and avenues of proper utilization of the heritage building without affecting the heritage character and status.
- Offer short-term certificate or diploma program in any of the branches of heritage studies; engaging visiting / part-time faculty, purchase of equipments for teaching – learning specifically required for the above programs could be approved items of expenditure.
- Extension work related to sensitization of the community in general and students in particular (of schools and colleges in the region) of the significance and historic / cultural implication of heritage structures in the region; survey of the unidentified heritage sites / structures in the region; survey of the unidentified heritage sites / structures in the interior regions, bring out / document / disseminate the cultural heritage of the different social groups of the region.

### **7. Procedure for Approval:**

An expert committee nominated by the Chairman, UGC to examine the proposals, would comprise 5-6 experts having a background in the realm of heritage in higher education. Universities and colleges will be asked to make a presentation on their proposal before the UGC Expert Committee . The expert committee will discuss the action plan and budget with representatives of the universities and colleges and make its recommendations for consideration of the Commission.

### **8. Advisory Committee:**

There will be an Advisory Committee constituted at each university and college selected under the scheme. The Advisory Committee will meet as often as required, but at least twice in an academic year, to formulate, oversee the launching and implementation of the Scheme at the institution in fulfilling its objectives. The advisory committee has the power to monitor and evaluate the timely outcomes agreed by the institution.

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The composition of the Advisory Committee is given below:

<b>For University(7 member Committee)</b>	
Vice-Chancellor of the University or his nominee	Chairperson
Two Experts (nominated by the Chairman, UGC)	Members
Two academicians in the relevant fields (nominated by the Vice-Chancellor)	Members
One nominee of <i>INTACH</i> *	Members
Convener (nominated by the VC) Chairperson	Member-Secretary

### **For College:**

<b>For College (7 member Committee)</b>	
Principal or his nominee	Chairperson
Two Experts (nominated by the Chairman, UGC)	Members
Two academicians in the relevant fields (nominated by the Principal)	Members
One nominee of <i>INTACH</i> *	Members
Convener (nominated by the VC) Chairperson	Member-Secretary

\**INTACH* (Indian National Trust for Art and Cultural Heritage)

## **9. General Financial Rules**

- i. The allocation under the scheme is the maximum limit and is not to be treated as final. The allocation is subject to availability of funds and may not be treated as committed liability of the UGC.
- ii. Shortfall in funds or expenditure, over and above the UGC allocation, will have to be met by the institution from its own resources, for which, clear indication and assurance should be given by the concerned institution while submitting a proposal. The UGC will not provide any escalation cost over and above the allocation.
- iii. The grantee institution should utilize their own share as reflected in their original proposal and the same need to be shown in the audited statement of expenditure and utilization certificate.
- iv. Expenditure to be incurred by the grantee institutions on non-recurring items must be as per the provisions of General Financial Rules, 2017 and no deviation thereof is allowed.
- v. Grants released are to be utilized within the prescribed period. Any grant not utilized during the prescribed period is liable to be refunded along with the interest at the prescribed rate.
- vi. All interest earned against grants-in-aid released to the institutions should be mandatorily remitted to UGC immediately after finalization of accounts. Interest earned out of grants-in-aid should not be allowed as additional funds over and above the allocation.
- vii. Universities/Colleges should submit statement of accounts from the bank in which the grants are being received through PFMS, at the end of financial year
- viii. Universities/Colleges should ensure purchases from GeM portal of Government of India.

## 10. Check-list of Documents

- UGC letter listing of the institution under Section 2(f) and 12B of UGC Act 1956.
- A self certificate from the institutions that it has no proceedings against them by the Government (State / Central) either in the present or in the last 60 years.
- Proof of the date of establishment of the institution.
- Copy of NAAC certificate / NIRF certificate
- Plan prepared by qualified Engineer/Architect, approved by local authorities and estimates for renovation/construction of building along with a DPR and proposed action
- Plan and items of expenditure for which the one-time lump-sum grant would be utilized.
- University/College shall certify the readiness of fund acceptance and undertaking shall be submitted stating that construction/renovation works shall be unaffected by changes of individuals in positions like Vice Chancellors, Registrars, Principals or other positions of authority responsible for the progress of work. The institution shall be responsible to maintain internal structures to ensure the same. By applying for the scheme the institution is agreeing to the advisory committee and the UGC to monitor and evaluate the agreed outcomes of the scheme.
- Photographs, copy of public documents etc. which briefs the heritage value or conservation requirement of relevant building.

## 11. Procedure for Release Of Grant

50% of the grant allocated will be released as first installment by the UGC to the university/college selected under the Scheme. The release of second installment of grant to the tune of 40% of allocation will be released after receiving the utilization certificate (**Annexure III**), Statement of expenditure (**Annexure IV**) against the first installment of grant and on receipt of satisfactory progress report (**Annexure V**). The final installment of 10% of grant will be released after receiving utilization certificate against total allocation and completion certificate (**Annexure VI**), Asset Certificate (**Annexure VII**) in case of construction activities.



## **12. Withdrawal of Assistance**

- 12.1 The UGC may withdraw the assistance to the university/college if the information and data supplied by the university/college to claim assistance for the Status is found to be incorrect/not fulfilling the objectives for which it is awarded or sanctioned. In such a case, the university/college shall have to refund the entire amount released to it under the Scheme with penal interest.
- 12.2 The assistance to the university/college will also be withdrawn in case of misappropriation and misuse of funds. In such a case, the university/college will not only have to refund the entire amount released to it under the Scheme with penal interest but also face other appropriate action(s) which may be taken by the UGC.
- 12.3 The assistance to a university/ college, once withdrawn due to any reason, will not be revived.

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## ANNEXURE-I

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

#### **Details of the college**

PFMS unique code (if available)	
Agency Name (Name of College as in 2(f)/12(B) letter issued by UGC Head Office)	
Agency Type	
Hierarchy of Agency (Central/State/District/Block/ Tehsil/Panchayat/Village)	
Act/Registration No.	
Date of Registration	
Registering Authority	
State of Registration	
TIN No.	
TAN No.	
Block No/Building/Village/Name of premises	
Road/Street/Post Office	
Area/Locality	
City	
State	
District	
Pin Code	
Contact Person	
Designation	
Phone	
Alternate Phone/Mobil No.	
Email	

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

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

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

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## ANNEXURE-I1

### APPLICATION FOR AVAILING ASSISTANCE FOR HERITAGE INSTITUTIONS

#### I. PROFILE OF THE INSTITUTION

##### 1. Name of the University/College with complete address with pin code

1.	Name of Institution :			
	Locality :			
	Town / City :			
	District :			
	State :			
	Pin code :			
	e-mail Id			
	Year of Establishment			
Name of affiliating University				
Type of University	State	Central	Deemed to be University	
Date on which Institution completes	75 Years (for university) (dd/mm/yy)		100 Years (for college) (dd/mm/yy)	
Status of College	Government	Private (Government Aided)	Constituent college	

2.	<b>Details of Head of the Institution</b>	
	Name	
	Telephone	
	Fax	
	Mobile no.	
	Email	

##### 2. Accreditation/Ranking details

a) National Assessment and Accreditation Council (NAAC)

Cycle	Year	Grade / Level	Score	Uploaded accreditation certificate (Yes/No)
1 <sup>st</sup>				

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2 <sup>nd</sup>				
3 <sup>rd</sup>				
4 <sup>th</sup>				

b) National Institute Ranking Framework (NIRF)

Year	Rank in the respective Category

**3. Academic activities:**

Current number of academic programme/courses offered within the Institution under the following categories: (enclose the list of academic programme offered).

	Programmes Offered							
	UG	PG	M.Phil.	Ph.D	Certificate course	Diploma	PG Diploma	Any other (please specify)
No. of Programmes								
No. Students Enrolled								

**4. Details of one-time assistance received in the last 10 years for similar purpose**

Sl.No.	Name of scheme under which grant received	Year in which grant sanctioned	Amount received	Amount utilized
1				
2				

**5. Teachers**

Category	No. of Sanctioned posts	No. of filled up posts	Vacant positions
Professor*			

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Assoc. Prof.			
Asst. Prof.			

\*for Universities

### 6. Students

Number of students enrolled in the University/College for the current academic year according to regions and countries:

Particulars (No. Of Students)															
Courses	From the Same State where the Institution is located			From other States			NRI students			Overseas students excluding NRI's			Grand Total.		
	M	F	T	M	F	T	M	F	T	M	F	T	M	F	T
UG															
PG															
M-Phill															
Ph.D															
Diploma (other than self financing)															
Certificate (other than self financing )															
Self Financing (all courses)															
Grand Total															

## II. GROUNDS FOR SEEKING ASSISTANCE UNDER HERITAGE INSTITUTIONS

### 1. Brief history of the institution since inception

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### 2. Details of the heritage structure of the institution which illustrates a significant stage in history

Name of building:	
Period which it belongs to:	
Architectural significance of building:	
Cultural value of the building:	
Past use of the building:	
Present use of the building:	
Other Comments (if, any)	

### 3. Details of intellectual heritage resources, artifacts etc. the institution wants to conserve

<b>Heritage Resource</b>	<b>Details</b>
Sculptures	
Paintings	
Manuscripts	
Inscription	
Any Other	

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### 4. Details of Diploma/Certificate course in the field of heritage studies, the Institution wants to offer

Name of course	
Diploma/Certificate	
Duration	
Why the institution feels it is uniquely placed to offer the course	

### 5. Details of natural heritage of universal value, the institution wants to get involved in its conservation under “Extension activities”

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### 6. Item-wise details of components for which financial assistance is sought

Sl. No	Particulars	Heads	Estimate (□.In Lakhs)
1	Conservation / maintenance of repositories of intellectual heritage resources including library, museum, herbarium, scientific instruments of yesteryears, gallery / live show of institutional history and heritage, artifacts among others	General-31	
2	Equipments, for conservation of rare collections and specimens	Capital Assets-35	
3	Building expansion for housing the heritage resources	Capital Assets-35	
4	Conservation and maintenance, including renovation work (subject of the legal clearance from the statutory bodies), of heritage building	Capital Assets-35	
5	Short-term certificate or diploma program in any of the branches of heritage studies	General-31	
6	Extension work related to sensitization of the community in general and students in particular ( of schools and colleges in the region) of the significance and historic / cultural implication of heritage structures in the region; survey of the unidentified heritage sites / structures in the region	General-31	

**Signature of  
Registrar/Principal with  
seal & date**



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**ANNEXURE – III**

**UNIVERSITY GRANTS COMMISSION**

**UTILIZATION CERTIFICATE**

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

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

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

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

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

Component-wise utilization of grants:

Components	Grant-in-aid– General	Grant-in-aid– Salary	Grant-in-aid– creation of capital assets	Total
I				
II				
III				
IV				

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Details of grants position at the end of the year

- i. Cash in Hand/Bank
- ii. Unadjusted Advances
- iii. Total

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

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

Date:

Place:

Signature:

Name:

Govt. Auditor/Chartered Accountant:

Signature:

Name:

Head of the Organization

(Strike out inapplicable terms)

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**ANNEXURE-IV**

**UNIVERSITY GRANTS COMMISSION**

**PROFORMA FOR SUBMISSION OF STATEMENT OF  
EXPENDITURE INCURRED BY THE INSTITUTION**

1.	Name of the Institution:		
	No. & Date of UGC's approval letter		
	Period to which the accounts related w.e. f	From	To
(dd/mm/yy)		(dd/mm/yy)	

2. Details of actual expenditure incurred:

Head	Grants approved	Grants released	Gants utilized	Interest earned	Balance available

Signature  
Name:  
Head of the Institution

Signature  
Name:  
Govt. Auditor/CA

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ANNEXURE – V

## UNIVERSITY GRANTS COMMISSION

### ANNUAL PROGRESS REPORT (to be submitted annually to the UGC)

Name and Address of the Institution	Name of Institution :	
	Locality :	
	Town / City :	
	District :	
	State :	
	Pin code :	
Period of the Progress Report:	From	To
	(dd/mm/yy)	(dd/mm/yy)
Activities Taken up During the Year	1. 2. 3.	
Utilization of Grants during the Year		
Specific Outcomes		
Impact on the targeted community		
Difficulties encountered in implementation, if any		

### CERTIFICATE

This is to certify that the data/ information presented in this Annual Progress Report are true and correct to the best of my knowledge and belief and the required documents will be provided to the UGC, as and when the same are called for.

Place:

Date:

Signature with Seal of  
Head of the Institution

**COMPLETION CERTIFICATE**

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

Signature (with seal)  
Head of the Institution

Signature (with seal)  
Qualified Engineer\*/Registered Architect

In case of Architect, Registration Number with Council of Architecture shall be given, with his/her complete address.

\* Not below the rank of Assistant Engineer employed in Govt. Department/ Undertaking/ Autonomous body (Zilla Parishad/ Corporation etc.)/ University

**ASSET CERTIFICATE**

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

**Signature (with seal)  
Head of the Institution**

**Signature (with seal)  
Chartered Accountant/  
Government Auditor**