

Rashtriya Uchchatar Shiksha Abhiyan

National Higher Education Mission

January 2013

MINISTRY OF HUMAN RESOURCE DEVELOPMENT

In association with Tata Institute of Social Sciences

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Executive Summary

The success of Sarva Shiksha Abhiyan (SSA) and Rashtriya Madhyamik Shiksha Abhiyan (RMSA) has laid a strong foundation for primary and secondary education in India. However, the sphere of higher education has still not seen any concerted efforts for improvement in access or quality. In the coming decades, India is set to reap the benefits of demographic dividend with its huge working age population. International Labour Organization (ILO) has predicted that by 2020, India will have 116 million workers in the age bracket of 20 to 24 years, as compared to China's 94 million. India has a very favorable dependency ratio and it is estimated that the average age in India by the year 2020 will be 29 years as against 40 years in USA, 46 years in Japan and 47 years in Europe. In fact, we have more than 60% of our population in the age group of 15 to 59 years. This trend is very significant on the grounds that what matters is not the size of the population, but its age structure. It would be a lost opportunity if this dividend is not converted into an advantage. Herein lies the significance of higher education. An educated and productive workforce is what we must strive to achieve through a concerted effort to improve quality and relevance of higher education.

The XIIth Plan continues to maintain focus on higher education in the country, to make it more relevant to the global needs and to remove the inequities in access to education amongst various social groups. Such objectives are sought to be realized by providing adequate inputs and implementing much needed governance and regulatory reforms in the sector. Greater emphasis will be laid on the improvement of the quality of teaching-learning processes in order to produce employable and competitive graduates, post-graduates and PhDs. With respect to the planning and funding approach, some key changes are envisaged; (a) funding will be more impact and result oriented, (b) various equity related schemes will be integrated for a higher impact,(c) instead of unplanned expansion, there will be a focus on consolidating and developing the existing system adding capacities and (d) there will be a greater focus on research and innovation. The most significant paradigm shift proposed by the Planning Commission is in the arena of funding of state higher education system. Strategic funding of this sector has been strongly proposed in order to make a marked difference in the overall resource endowment for the state higher education sector.

The higher education system in India today suffers from many shortcomings. The Gross Enrollment Ratio (GER) is only 18.8%¹, this means that only a fraction of the population in the age group of 18-23 years is enrolled in higher education institutions. In addition to very low access to higher education in general, there are wide disparities between various social groups. The GERs for SCs, STs and OBCs are far below the average GER. There is also a wide gender disparity, GER for males is 20.9% while that for females is only 16.5%. There are also differences in quality of institutions and enrollments between rural and urban areas and between developed states and not so developed ones. Given these myriad challenges, a drastic change is required in the approach that has traditionally been adopted for the development of higher education in the country.

There are three broad categories of the higher education institutions in India, centrally funded institutions, state funded institutions and private institutions. While the centrally funded institutions (Central Universities, IITs, NITs, IISERs, Institutes of National Importance etc) receive generous funding from the center, they have a limited coverage in terms of enrollment. About 94%² of the students enrolled in state funded or state controlled private institutions come under the state higher education system. It is worth noting that most private education institutions are affiliated to state universities. Thus, any efforts for development in this sector must recognize the importance of state higher education institutions and strive to improve their status.

While state universities cater to a large number of students, their funding is only a fraction of that provided to central institutions. Over the years most states have not been able to allocate enough funds to higher education; shared amongst a large number of institutions these meagre funds are thinly spread. Plan expenditure on higher education in states is almost stagnant. As a result, the quality of infrastructure and teaching in state universities is far below the acceptable levels. Shortage of funds and various regulations cause vacancies in faculty positions and also compel the state public institutions to look for alternate funding options. Linked to faculty quality and availability are the issues of quality of teaching, research output and general management; in state universities these areas have been grossly compromised.

¹All India Survey on Higher Education, Ministry of Human Resource Development, 2010-11 (Provisional)

²XIIth Five year Plan, Planning Commission of India, New Delhi, 2012

In order to raise funds, most universities rely heavily on the affiliation fees they receive from affiliated institutions and on self-financing courses. Treating affiliation fees as source of income and starting courses for revenue-generation have led to further dilution of quality and perpetuation of inequity. Except a few institutions, most affiliated institutions depend heavily upon the University for administrative, examination- related and curricular matters. This adds to the burden of the university as it is reduced to an administrative and exam conducting unit rather than an institution focused on promoting teaching, research and faculty development of associated colleges. This system also takes away the autonomy of affiliated institutions in teaching and conducting examinations. Instead of increasing access in a positive way, the affiliation system creates a highly centralized and inefficient institutional structure, which does not allow its constituents any room for creativity in teaching, learning, curriculum development or research. In such a structure, quality enhancement can only be brought about by reducing the burden at the university level and giving greater autonomy and accountability to the constituents through affiliation reforms.

In addition to general issues about the quality of infrastructure, teaching and learning in state universities as compared to central universities, there is also an element of intra- state difference within the state which leads to better institutions developing in urban or industrial areas with consequent neglect of rural and tribal areas. There is a lack of vision and planning for the development of institutions and the higher education sector at the state level. Given the complexities of managing the access and equity issues within and amongst states as well as the large number of institutions that already come under the state university system, there is a crying need for planning in higher education focusing on the state as the basic unit. This planning should be done by an autonomous body that can raise and allocate funds from the state as well as central governments for higher education and also explore options of revenue generation through research, consulting, and private and industry partnerships.

The State Universities are already provided some funds from the central government through the University Grants Commission. However, UGC's mandate allows it to fund only a limited number of institutions that are Section 12B and 2f (UGC Act) compliant. This excludes about 33% of the State Universities and 51% of the colleges under such universities³. UGC is also not allowed to channelize funds through the state government or through any entity other than an educational institution, which makes it impossible for the UGC to fund any planning, and

³ University Grants Commission Annual Report, 2010-11

expansion activity through a state level higher education body. UGC as a regulator should be actively involved in planning for new institutions but the present system does not permit it to do so. Thus states often complain of being unaware of the development funds that come to the state institutions from the centre; this makes planning and funding very difficult for the states. An optimum solution will be to create an alternate way (a centrally sponsored scheme) of providing funding to a larger number of institutions and channelize fund through a body that ensures cohesive and integrated planning at the state level. Such a solution eminent management sense since it is almost impossible for any central agency to deal with 35000 odd institutions on a one- on- one basis.

Given the pitiable condition, wide reach of the state university system and limitations of the UGC, there is a strong need for a strategic intervention for the improvement of access, equity and quality in Indian higher education, that focuses on state universities and state institutions though a special centrally; sponsored scheme in a mission mode. This document proposes a new centrally sponsored scheme for higher education which will spread over two plan periods (XIIth and XIIIth) and will focus on state higher educational institutions. The scheme will be called Rashtriya Uchchatar Shiksha Abhiyan (RUSA).

There are 316 states public universities and 13,024 colleges, that can be covered under RUSA. The funding will be provided in the (Center : State) ratio of 90:10 for North-Eastern States & J&K, 75:25 for Other Special Category States (Sikkim, Himachal Pradesh and Uttarakhand) and 65:35 for Other States and UTs. Funding will be available to private government-aided institutions also, subject to their meeting certain pre-conditions, for permitted activities based on laid down norms and parameters.

RUSA will have a completely new approach towards funding higher education in state universities; it is based on key principles of performance-based funding, incentivizing well performing institutions and decision making through clearly defined norms, which will establish and rely upon a management information system to gather the essential information from institutions. RUSA will aim to provide greater autonomy to universities as well as colleges and have a sharper focus on equity-based development, and improvement in teaching-learning quality and research. It will be a new flagship scheme of the government that will pave the way for far reaching reforms at the state level.

Many of the problems in the state universities are linked to the archaic systems and regulations that govern them. Without bringing about reforms in the existing governance and

regulatory systems, it will not be possible to unleash the potential of the state universities. The reforms initiated under RUSA will build a self-sustaining momentum that will push for greater accountability and autonomy of state institutions and impress upon them the need to improve the quality of education. In order to be eligible for funding under RUSA, states will have to fulfill certain prerequisites. These include the creation of a State Higher Education Council, creation of accreditation agencies, preparation of the state perspective plans, commitment of certain stipulated share of funds towards RUSA, academic, sectoral and institutional governance reforms, filling faculty positions etc. Under the scheme, an initial amount will be provided to the State government to prepare them for complying with these a-priori requirements.

Once eligible for funding under RUSA, after meeting the prerequisite commitments, the States will receive funds on the basis of achievements and outcomes. The yardstick for deciding the quantum of funds for the states and institution comprise the norms that reflect the performance in key result areas (access, equity and excellence). The State plans will capture the current position of the states and institutions with respect to these indicators, as well as the targets that need to be achieved. The State Higher Education Council will undertake this process of planning, execution and evaluation, in addition to other monitoring and capacity building functions.

The detailed institutional structure of RUSA is also presented in this document. At the national level, the scheme will be implemented by the RUSA Mission Authority and assisted by the Project Advisory Group, Technical Support Group and Project Directorate. The main agency through which RUSA will work in the States will be the State Higher Education Council (SHEC), an autonomous body that will function at an arm's length from the state and central governments. It may be immediately created through an executive order by the issued by the States, but within must be accorded statutory status within 5 years. RUSA has suggested a composition and structure for the Council. The Council will be expected to perform planning, monitoring & evaluation, quality assurance and academic functions, as well as advisory and funding functions. It will plan for the development of higher education at the state level and the State Higher Education Plan prepared by it would constitute the main instrument to guide the entire transformative process in the state higher education sector. SHEC will be assisted by State Project Directorate and Technical Support Group. In every institution, the Governing Body and a Project Monitoring Unit will oversee the project progress.

The key objectives of RUSA are to improve access, equity and quality in higher education through planned development of higher education at the state level. Such planning will create by creating new academic institutions, and expand the existing institutions, that are self-reliant in terms of quality education, professionally managed, and characterized by greater inclination towards research and provide students with education that is relevant to them as well the nation as a whole.

1

Background

Over the years, higher education in India has gone through a phase of unprecedented expansion, marked by a huge increase in the volume of students, an exponential increase in the number of institutions and a quantum jump in the level of public funding. The increase however has not been commensurate with the growth of the population and its diverse needs.

Today, the higher education system as a whole is faced with many challenges such as financing and management, access, equity, relevance and reorientation of policies and programs for laying emphasis on values, ethics and quality of higher education together with the assessment of institutions and their accreditation. These issues are of vital importance for the country, since higher education is the most powerful tool to build a knowledge-based society for the future. The enormity of the challenges of providing equal opportunities for quality higher education to an ever-growing number of students is also a historic opportunity for correcting sectoral and social imbalances, reinvigorating institutions, crossing international benchmarks of excellence and extending the frontiers of knowledge.

Recognizing this requirement, as well as the basic fact that the institutions of higher learning have to perform multiple roles like creating new knowledge, acquiring new capabilities, producing an intelligent human resource pool, the Indian higher education system has to brace itself to address global challenges by channelizing teaching, research and extension activities, and maintaining the right balance between the need and the demand.

Higher education needs to be viewed as a long-term social investment for the promotion of economic growth, cultural development, social cohesion, equity and justice. In order to meet the XIIth Plan aim of inclusive growth and to ensure genuine endogenous and sustainable development along with social justice and equity, the higher education sector has to play a pivotal role, especially in generating research-based knowledge and developing a critical mass of skilled and educated personnel. Within this philosophical paradigm, some of the issues pertaining to the higher education system have been identified, that need to be squarely addressed for the balanced development of higher education in India.

The globalized era has necessitated inculcation of competitive spirit at all levels. This can be achieved only by bringing quality of highest standards to every sphere of work. Therefore, the quality of higher education has become a major concern today. Needs and expectations of society are changing very fast and the quality of higher education needs to be

sustained at the desired level. The quality of higher education rests on the quality of all its facets, be it the faculty, staff, students, or infrastructure. As such, all policies, systems and processes should be clearly directed towards attaining improvements in all the relevant facets for an overall rise in the quality of education.

The XIIth Plan has kept the above concerns in mind and called for measures that provide higher education to a larger number of students while ensuring equal opportunities for all sections of society and maintaining focus on quality. The XIIth Plan deviates from the previous plans by suggesting some strategic shifts in the approach towards higher education. Given these strategic shifts and goals talked about in the XIIth Plan, there is a need to develop a policy that presents this much needed holistic plan for the development of higher education in India.

This document explores the present condition and past development experiences in the higher education sector and proposes a new central scheme to address the needs of the sector. The background section looks in detail at the issues of access, equity and excellence in the Indian higher education system. In the section on State Universities, the importance of these issues in the higher education system and the problems faced with respect to these issues are explored in detail. This is followed by a section illustrating the urgent need for a strategic intervention in the State Universities. The document then delves into the new scheme, Rashtriya Uchchatar Shiksha Abhiyan, its key principles, salient features, and institutional and financial structures.

The policy for the development of higher education has been mainly governed by the “National Policy on Education” of 1968 (as modified in 1986 and 1992) and its Programme of Action adopted in 1992. The 1986 policy and its Programme of Action of 1992 were based on two land mark reports namely, the “University Education Commission Report” of 1948-49 (popularly known as the Radhakrishnan Commission Report), and the “Education Commission Report” of 1964-66, (popularly known as the Kothari Commission Report). These two reports, in fact, laid down the basic framework for the National Policy of 1986 for higher education in the country.

The Radhakrishnan Commission on University Education (1948) had enumerated essential goals for development of higher education in India. The commission eloquently articulated the reforms needed in the education sphere in following words:

“The most important and urgent reform needed in education is to transform it, to endeavor to relate it to the life, needs and aspirations of the

people and thereby make it the powerful instrument of social, economic and cultural transformation necessary for the realization of the national goals. For this purpose, education should be developed so as to increase productivity, achieve social and national integration, accelerate the process of modernization and cultivate social, moral and spiritual values.”

The National Policy on Higher Education (1986) translated the vision of the Radhakrishnan Commission and the Kothari Commission into an actionable policy by setting five main goals for higher education, as enumerated below:

- **Access:** Greater Access requires an enhancement of the education institutional capacity of the higher education sector to provide opportunities to all who deserve and desire higher education.
- **Equity:** Equity involves fair access of the poor and the socially disadvantaged groups to higher education
- **Quality and Excellence:** involve provision of education in accordance with accepted standards so that students receive available knowledge of the highest standards that helps them to enhance their human resource capabilities.
- **Relevance:** involves promotion of education so as to develop human resources keeping pace with the changing economic, social and cultural development of the country; and
- **Value Based Education:** involves inculcating basic moral values among the youth.

The Action Plan of 1992 included schemes and programs that were directed towards the expansion of intake capacity in general, and with respect to the disadvantaged groups such as the poor, SCs, STs, minorities, girls, physically challenged persons, and those in the educationally backward regions, in particular. The Schemes/Programs were designed to improve quality by strengthening academic and physical infrastructure, in order to promote excellence in those institutions which have exhibited potential for excellence, and to develop curriculum to inculcate right values among the youth.

An analysis of the past Five Year Plans indicates that, there have been continuous efforts to strengthen the base by developing infrastructure, improving the quality through several programs and schemes, introducing reforms in content and evaluation and encouraging creation of new knowledge through research. The focus of Vth Five-Year Plan was on infrastructure development; the VIth Plan onwards the focus shifted to consolidation and quality improvement. The VIIth Plan laid emphasis on research and academic developments. It was from this plan

onward that the development of centers of excellence and area study programs got special attention. From the VIIIth Plan onward, the need for differential funding was recognized, it was envisaged that the developing departments would be provided necessary funds to bring up their facilities and activities to an optimum level for their teaching and general research programs. The IXth Plan aimed at gearing the system of higher education to meet the challenges arising out of the major social, economic and technological changes. The focus of the Xth Plan was on quality and relevance of higher education, research and development, management in financing and the use of the new information and communication technologies. The Xth Plan provided the basis for higher education in the 21st century⁴.

The XIth Plan laid renewed emphasis on higher education and the three targets of broadening access, making higher education inclusive and promoting improvements in quality. In the XIth Plan, share of education in total plan outlay increased from mere 6.7% in the Xth Plan to 19.4%, of which 30% was earmarked for higher education. This was a nine-fold increase over the Xth Plan, viz. Rs. 84,943 crores against Rs. 9,500 crores⁵.

1.1 XIIth Plan

1.1.1 Objectives

The XIth as well as the XIIth Plan have continued to lay emphasis on improving access, equity and excellence. XIIth Plan mentions that expansion must continue with consolidation being an important element; special importance is also given to excellence or quality. Given its subjective nature and being a conspicuous weakness in the Indian system, it is a hard aim to achieve. Quality must be pursued by each and every single higher education institution and not just by a few selected ones. The Plan also talks about incorporating lessons learnt from the past for designing better policies to improve access and equity.

The plan lays out the following as the objectives that must guide central, state and private institutions in the country⁶ -

- 1) Higher education in India to be brought in line with and at the frontiers of global trends in higher education and knowledge development;

⁴ Working Group for the 11th Plan on Higher Education, Ministry of Human Resource Development

⁵ Report of the Steering Committee, Secondary Higher and Technical Education for XIth Plan, Planning Commission, April 2009

⁶ XIIth Five year Plan, Planning Commission of India, New Delhi, 2012

2) Improvement in overall quality of teaching-learning in an average higher education

institution in the country;

- 3) Arresting and reversing the trend of group inequalities in access to quality higher education;
- 4) Creation of an additional capacity for 2 million more students from eligible age cohort to have access to higher education in a demand-driven manner; and
- 5) Undertaking governance and regulatory reforms that focus on institutional autonomy within a framework of accountability and build adaptive capacity of the system.

1.1.2 Approach

The XIith Plan cautions against single-minded and narrow strategies for improving access and equity, as they tend to do so at the expense of quality. A holistic approach is argued for, so that expansion is not just about accommodating ever larger number of students in higher education, but also about enabling the expanded pool of students to make choices of subjects, levels and institutions so that they can realize their full potential and realize their personal goals.

Redressing multiple and graded inequalities in higher education is not just about increasing the GER among disadvantaged groups, it is also about enhancing their presence in the centres of excellence, taking care of their post-admission needs and redesigning curricula to take into account their specific requirements. The challenge of excellence is not just about placing a few institutions and individuals at par with global norms for excellence, it is also about expanding the pool of institutions, scholars and students who continuously strive to improve quality to achieve global excellence. Thus, an interconnected strategy for higher education development is needed to address issues of access, equity and excellence in a coordinated manner.

1.1.3 Strategic Shift

Access, Equity, and Excellence would continue to be the main thrust areas of the XIith Plan in higher education. However, considering the inter-linkages between them and taking into consideration the current realities of the higher education, these objectives need to be pursued differently. A strategic shift in thinking is needed in several critical areas ranging from issues of

access and equity to teaching-learning process, research, governance, funding and monitoring. These shifts are explained below.⁷

- 1) Increase funds for higher education significantly and use strategically. This investment has to come from both public and private sources and both from central and state exchequer.
- 2) Connect various funding streams to specific outcomes and desired impact. This would need reforms in governance arrangements at all national, state and institutional levels and with suitable implementation frameworks and monitoring arrangements
- 3) Foster institutional autonomy and link meaningful academic autonomy and managerial flexibility with effective monitoring and overall accountability through competitiveness.
- 4) Targeted, integrated and effective equity related schemes, instead of the existing maze of multiple, diffused and low-value schemes, so as to give effect to the Constitutional ideal of Equality of Opportunity. Mechanisms for connecting national and state equity programs are needed.
- 5) Institutional differentiation and distinctiveness should be encouraged. The spectrum of higher educational institutions must include multidisciplinary research universities as well as short-cycle vocational education institutions.
- 6) A renewed focus must be laid on research by integrating teaching and research.
- 7) Shift from input-centric and credential-focused approach to learner-centric approach.
- 8) Consolidate rather than expand the number of institutions to ensure that the capacity expansion is done at lower capital costs and, quality is maintained while expanding the system. New institutions can still be set up in areas uncovered so far.
- 9) A move towards internationalization of higher education is imperative.
- 10) Creation of alliances, networks, clusters, and consortia of academic institutions amongst themselves and with the research institutions and industry should be facilitated, to create a self-governing system.

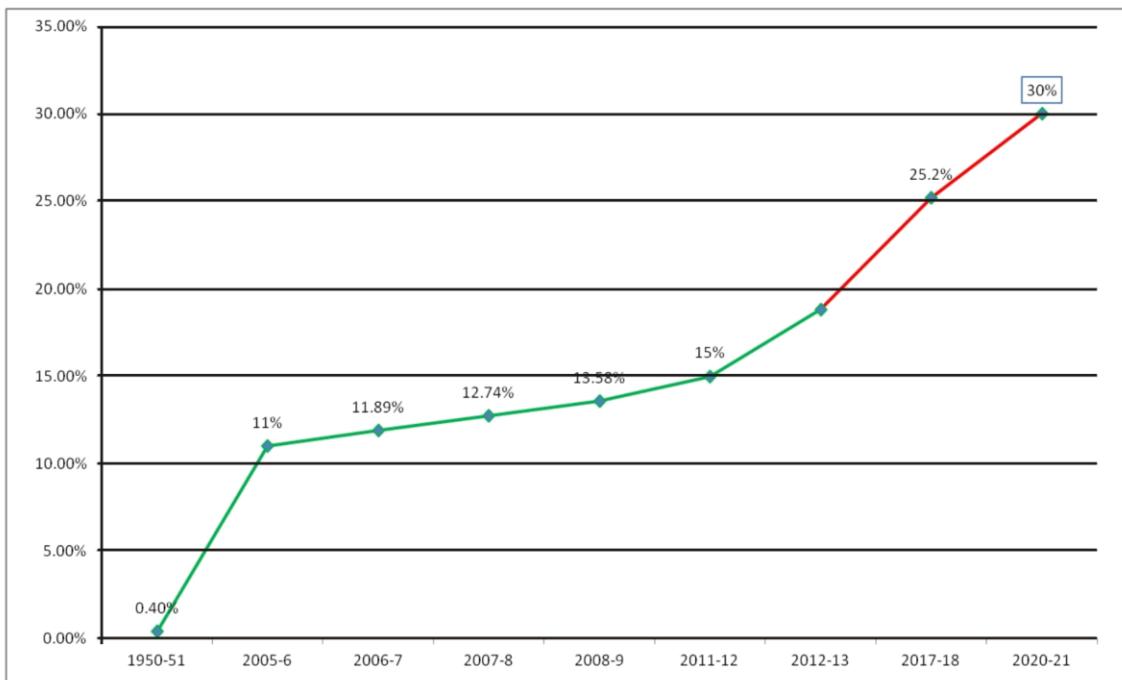
1.2 Higher education today

Over the years, considerable progress has been made in higher education in the country. In the XIth Plan, India moved from an “elite” system of higher education to a “mass”

⁷ XIIth Five year Plan, Planning Commission of India, New Delhi

system when the GER crossed the threshold of 15%. However, our GER at 18.8%⁸ still remains below the world average of 29% (as of 2010)⁹.

Figure 1: India's GER over time¹⁰

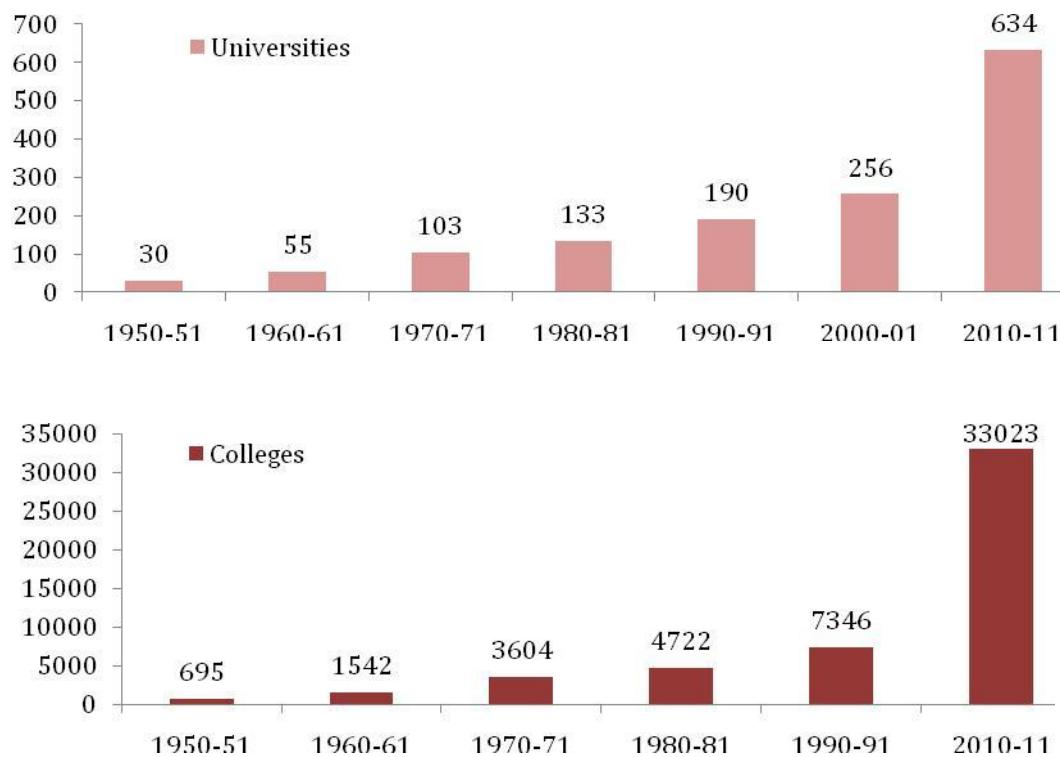


This increase in GER has, naturally, been accompanied by an increase in the number of higher education institutions serving the population. From 30 universities and 695 colleges in 1950-51, we have risen to 634 universities and 33,023 colleges today. This is a 20-fold and 46-fold increase in the number of universities and colleges, respectively. However, as the low GER very aptly indicates, increase in the number of institutions has still remained inadequate to meet the increased demand for higher education.

⁸ All India Survey on Higher Education, Ministry of Human Resource Development, 2010-11 (Provisional), October 2012

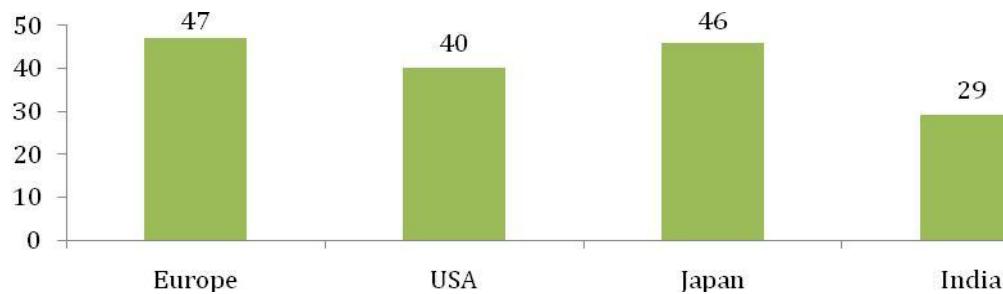
⁹ UNESCO Institute for Statistics (<http://www.uis.unesco.org/Education/Pages/tertiary-education.aspx>) as accessed on 24th October, 2012)

¹⁰ Selected Education Statistics, MHRD

Figure 2: Growth of universities and colleges in India¹¹

The question of GER and educating the youth has gained additional significance given the critical stage of development that our nation is going through. According to International Labour Organisation (ILO) estimates, by 2020 India will have 116 million workers in the age group of 20-24 years as against 94 million in China. To take advantage of this demographic dividend (indeed, to prevent socio-economic complications arising out of a large unemployable young population) India urgently needs to strengthen its higher education systems, in order to prepare this massive workforce for productive employment.

¹¹ University Grants Commission, Annual Report 2010-11

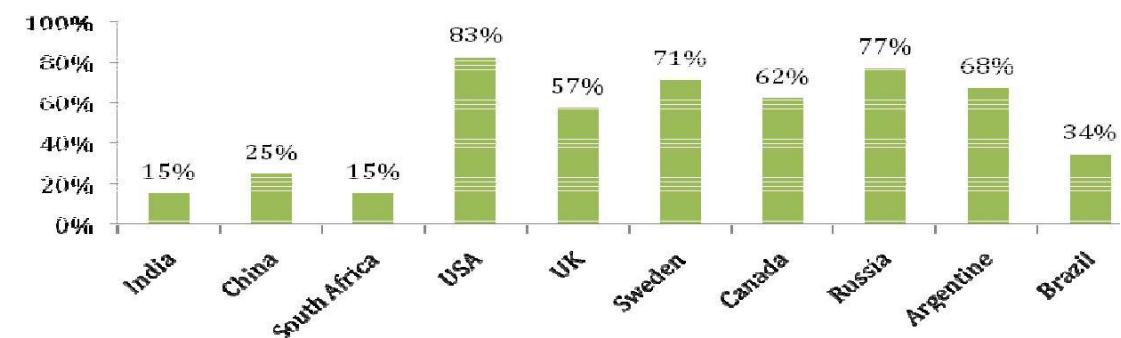
Figure 3: Average age in 2020¹²

Much needs to be done in terms of bringing higher number of students from senior secondary to higher education, overcoming geographical and socio-economic disparities while maintaining focus on quality. The following sections take a critical look at Indian higher education with respect to three important dimensions: access, equity and excellence.

1.2.1 Access

As mentioned above, India has a very low GER of 18.8%, indicating that only about a fifth of the population in the age group of 18-23 years has access to higher education in India. As illustrated in the figure below, India's GER is far below those of most developed countries and even below those of the other BRIC nations (Brazil, Russia and China).

Figure 4: GER of select countries¹³



*GER for India (15%) corresponds to 2007

Access to higher education differs widely across states (Figure 6 & 7). The more progressive southern states have better GERs as well as higher availability of educational institutions. This trend is also seen from the NSSO estimates (Figure 8.) As mentioned in later

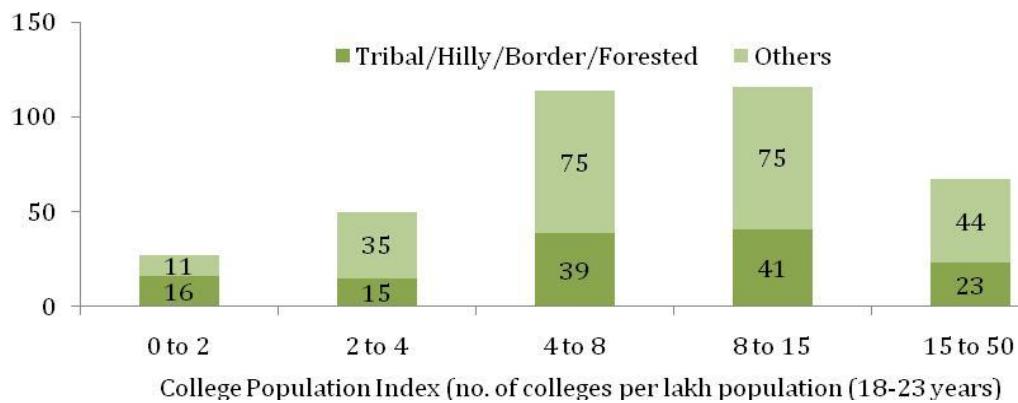
¹²ILO Estimates and Projections of the Economically Active Population: 1990-2020 (Sixth Edition), October 2011

¹³The Global Competitiveness Report 2011-2012, World Economic Forum, UNESCO Institute for Statistics (accessed May 4, 2011)

sections, these are also states with higher per capita spending on higher education. While most hilly region states have low institutional density, their GERs vary from high to low. This may be due to the fact that higher education does not completely depend on the physical availability of institutions but also on other socio-economic factors such as income of the parents, willingness to migrate etc. High-population density states present a different picture. Here on an average, institutional availability per 1000 sq kms is unable to ensure good access due to the large population and possible lack of institutional capacity. In Bihar, Jharkhand, Odisha and Rajasthan, both the institutional density and GER are very low.

As can be seen in the data provided below (Figure 5), 374 districts were identified as Educationally Backward Districts in the country for the Model College Scheme under XIth Plan due to their low GER. There are still 191 districts with College-Population Index below 8, which means that every college must service about 12,500 students. Also, on an average, about 1/3rd of the weak districts are in tribal/hilly/border/forested areas, pointing to the special development needs of these areas.

Figure 5: CPI for 374 districts with GER below national average (as of 2001)¹⁴



¹⁴ Thyagarajan Committee Report on Model Colleges Scheme, 2009



Figure 6: GER by State¹⁵

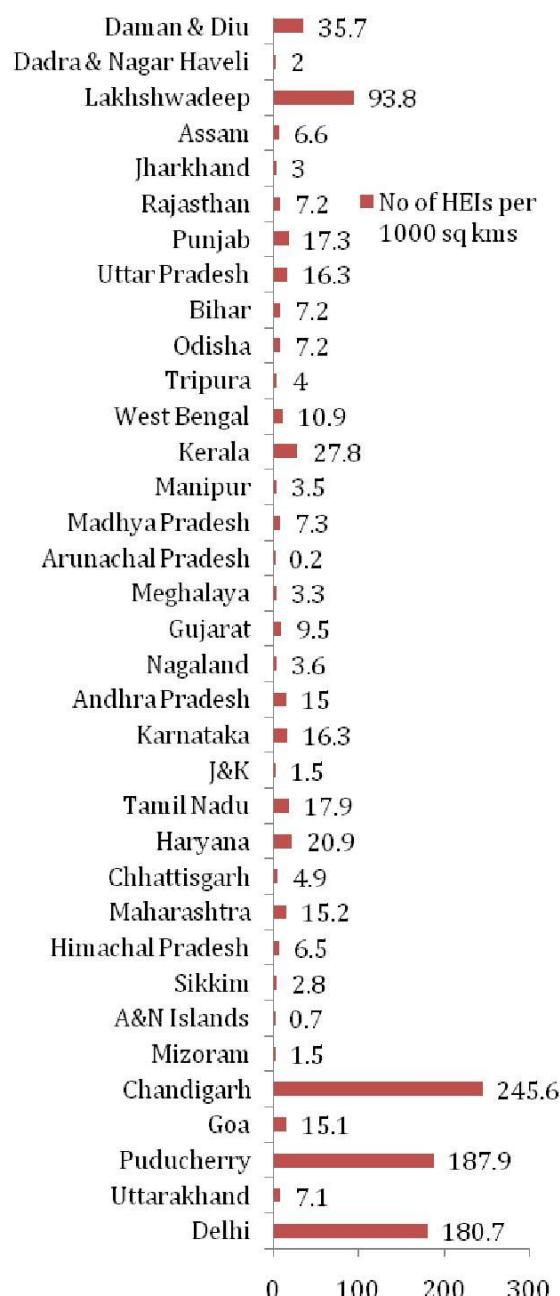
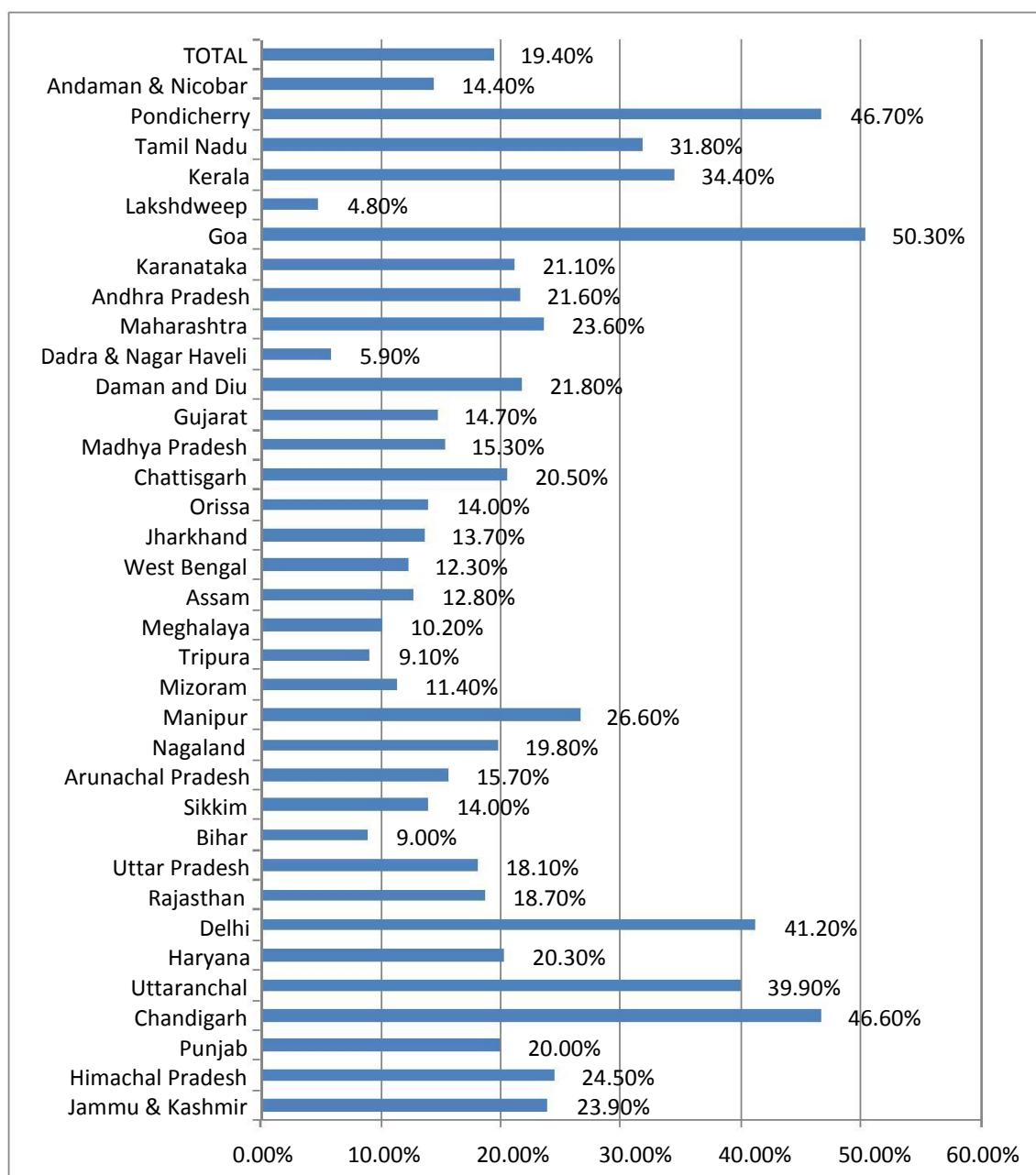


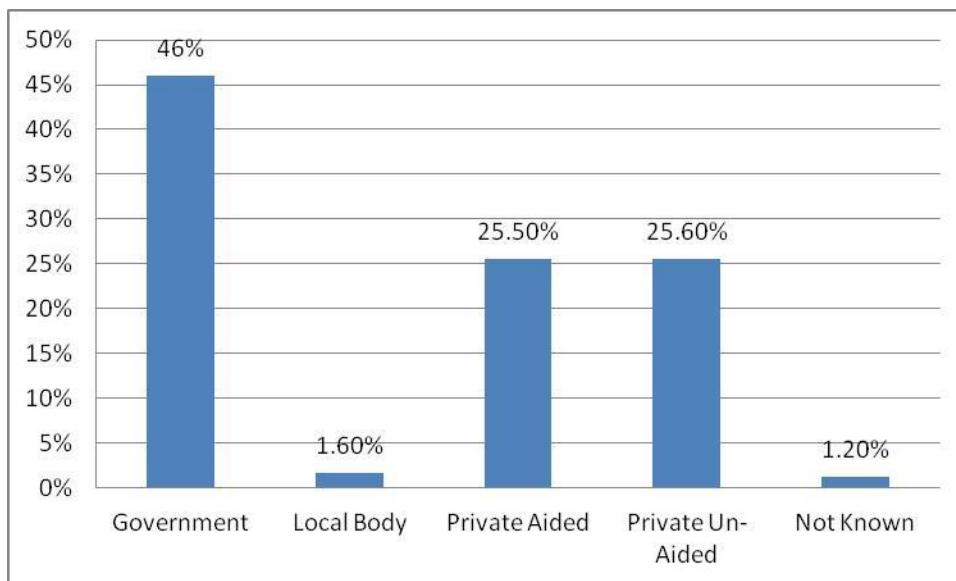
Figure 7: Institutional density by State¹⁶

¹⁵ Refer to Annexure I: States at a Glance

¹⁶ Refer to Annexure I: States at a Glance

Figure 8: GER by State¹⁷

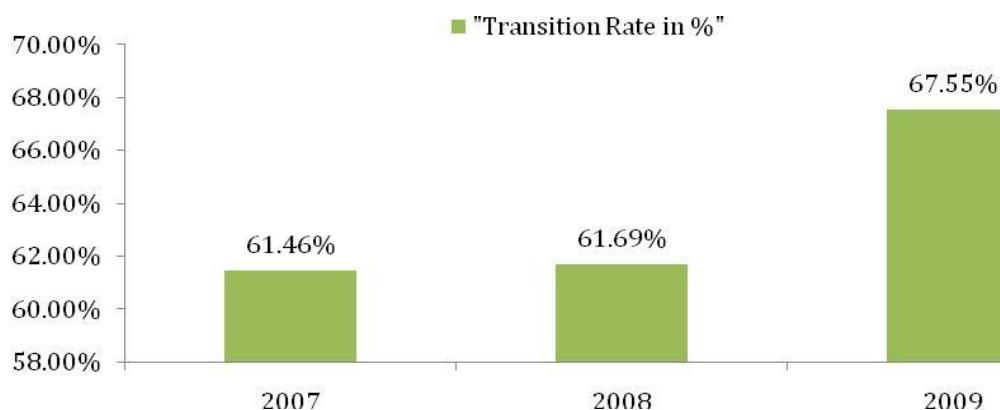
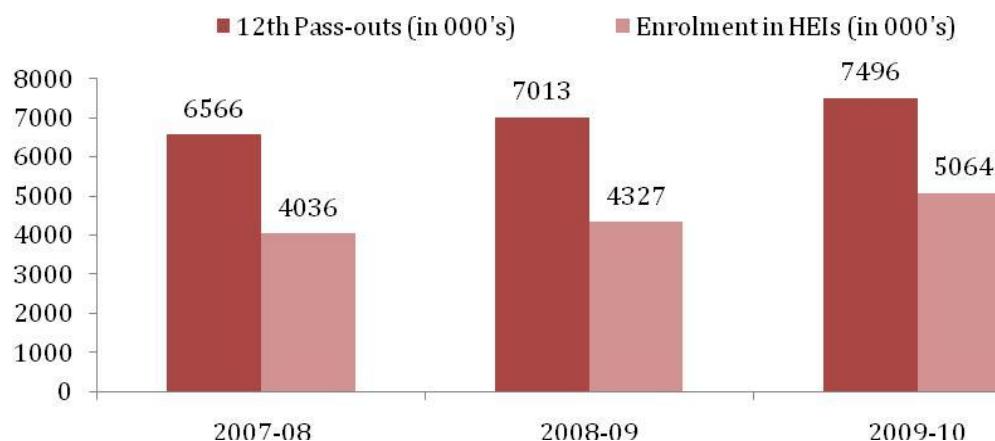
¹⁷ Estimated from unit level data contained in CD of NSS 66th Round of Employment and Unemployment by Bino Paul, Labour Market Research Facility, TISS

Figure 9: GER in Public & Private Aided & Private Unaided¹⁸

In respect of GER in Public, Private and Private Unaided institutions estimates from NSSO highlights that 46% is in the Public space, while over 50% is in the Private (aided & unaided) space (Figure 9)

A high GER does not depend only on the attributes of higher education in the country because at times the institution receives a limited pool of students from the school education system and socio-economic disparities often force some students to drop out of schools after primary and secondary levels. The transition rate of students completing higher secondary education and entering higher education stood at 61.4% in 2007. This now stands at 67.5%, which can be significantly improved (Figure 10 and 11). The success of Sarva Shiksha Abhiyan (SSA) and Rashtriya Madhyamik Shiksha Abhiyan (RMSA) and the consequent improvement in transition rates makes a strong case for enhancement of financial support for expansion, upgradation and quality improvement of higher education system. Such enhancement can bring about balanced growth of new institutions, based on spatial and need based planning. This, in turn, can help absorb the ever increasing number of students completing the higher secondary level

¹⁸ Ibid

Figure 10: Transition from higher secondary to higher education¹⁹**Figure 11: Students transiting from higher secondary to higher education²⁰**

1.2.1.1 XIth Plan Experience: Access

In the XIth Plan, total enrollments in degree and diploma programmes grew by 4.8 million, from 15.4 million to 20.2 million. In the XIIth Plan, the target is to create enrollment capacity of 10 million, with 1 million for distance learning, 3.3 million for skill-granting diplomas and 5.7 million for degree programs. This would help an additional 3 million students of each age cohort (18-23) to enter the higher education stream and raise the GER to 27%²¹ by 2017. The enrollment capacity of central institutions will have to be doubled from 0.6 million to 1.2 million while state institutions will add another 2.6 million. The rest of the capacities are expected to be created in the private education segment.

¹⁹ Selected Education Statistics, MHRD

²⁰ Selected Education Statistics, MHRD

²¹ 12th Five Year Plan, Planning Commission of India, New Delhi, 2012

In the XI Plan, two Centrally-Sponsored Schemes were proposed, to set up higher educational institutions and expand existing educational institutions. The first scheme intended to set up a Model Degree College in each of the identified 374 Educationally Backward Districts (EBD) identified, where the Gross Enrolment Ratio (GER) was less than the national average of 12.4 % in relation to the total population in the 18-23 age group (as per the Selected Educational Statistics of the year 2006-07). Colleges already in existence, but set up after 1st January 2008 (i.e. after the in-principle approval of the scheme by the NDC) were also eligible to be covered. The second scheme intended to incentivize states to establish degree colleges and new engineering colleges or expand existing higher educational institutions in those districts where the GER was between 12.4% and 15%. The physical target was to set up 50 new universities, 500 new colleges and 30 new engineering colleges under this scheme.

The central-state funding pattern for the scheme to set up Model Degree Colleges in 374 EBDs was 1:1 for special category states (i.e. all North-Eastern states, Sikkim, Jammu & Kashmir, Himachal Pradesh and Uttarakhand) and 1:2 for the rest of the states. The cost of each model degree college was Rs. 8 crores and was later revised to Rs. 4 crores. Land was to be provided free of cost by the state Governments, who would also bear the recurring costs.

The response of the states to the scheme of setting up model degree colleges in 374 EBDs was not very enthusiastic. Under the scheme, the centre had to contribute $\frac{1}{3}$ rd of the cost (Rs 8 crores or Rs. 4 crores under the revised cost) of setting up a model college. As on 31st March 2012, only 153 proposals had been received from the states of which only 86 had been approved. There are a couple of reasons for the poor performance of these schemes. Firstly, many states and institutions considered the conditions for eligibility too strict and requested for relaxation in them (e.g. to bring colleges set up before 1st January 2008 within the scheme's ambit). Secondly, due the lack of funds with state governments, they were not able to match the grants made by the centre and not many states applied for setting up colleges under the scheme. The central contribution of $\frac{1}{3}$ rd of capital cost was considered very low by many states. Even the decrease in the cost limit to Rs 4 crores did not provide the necessary impetus and the scheme did not fully achieve its objectives and targets.

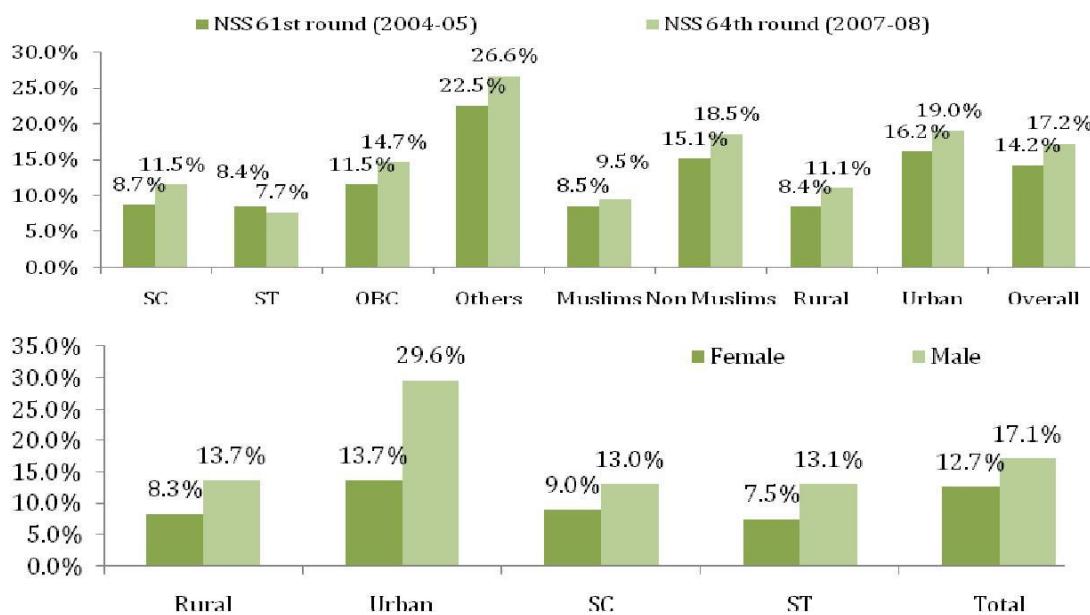
The second scheme, i.e. the incentivization of states for setting up new institutions and expanding existing institutions, was proposed in the year 2010, but could not be sanctioned since the Planning Commission recommended that an umbrella scheme subsuming similar

schemes may be taken up in the XIIth Plan. This recommendation of the Planning Commission constitutes the basis for the formulation of the scheme presently under consideration.

1.2.2 Equity

Inclusive development is another important goal of the XIIth Plan. Since economic resources, mobility, and socio-cultural background are important criteria in determining the accessibility and cost of higher education for a student, disparities are widely visible across geographical regions, genders and socio-economic and socio-religious groups (Figure 10). The GER amongst SCs and STs is much lower than the national average, Muslims also have a very low GER. Scheduled castes and minorities have lower access mostly due to socio-economic factors while tribal areas have lesser number of institutions serving them. Students from these groups are often required to migrate for education, in which case, non-availability of residential facilities and supporting infrastructure in the institutions is a major concern. These inferences are drawn from the estimates of NSSO's 61st and 64th round.

Figure 12: Gross Enrollment Ratio across categories²²

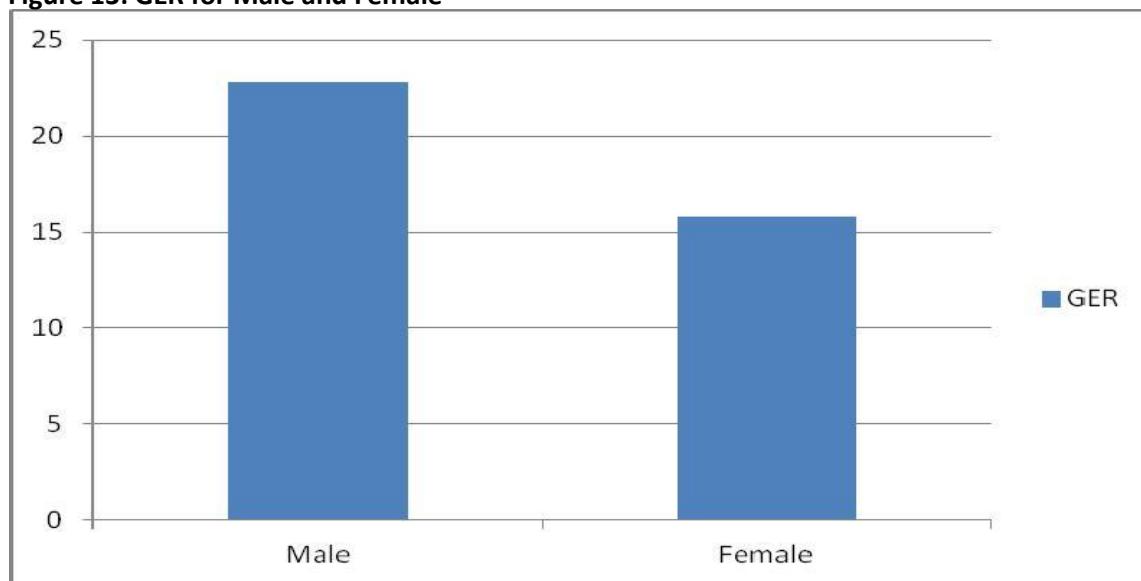


*This data collected by the National Sample Survey Organization uses a different methodology for calculation of GER, the figures above may not be the same as those compiled by MHRD

²² Ministry of Statistics and Programme Implementation, MHRD Statistics of Higher & Technical Education as on 30th September 2009

Gender disparities are an important issue to reckon with (Figure 13). In the age group 18-23 years, females are way behind males. While GER for women and girls is estimated to be 15.8 percent, it is 22.8 for men. This calls for a more sustained effort in addressing gender disparities

Figure 13: GER for Male and Female²³



Spanning the issue of inclusion is another consideration, disparities between various caste groups. Figures (14, 15 and 16) show the GER among Schedule Castes, Scheduled Tribes and Other Backward Classes across States based on the 66th round of NSSO estimates. Inter-state variations amongst these groups in the development of Higher Education are glaring in India. Some states have expanded Higher Education Systems fast but some are lagging behind. It is observed that efforts taken in the XIth Plan for improving equal access among social groups has paid dividends. However, much more needs to be done to reduce inter state disparities amongst social groups and improve their GER..

²³ Estimated from unit level data contained in CD of NSS 66th Round of Employment and Unemployment by Bino Paul, Labour Market Research Facility, TISS

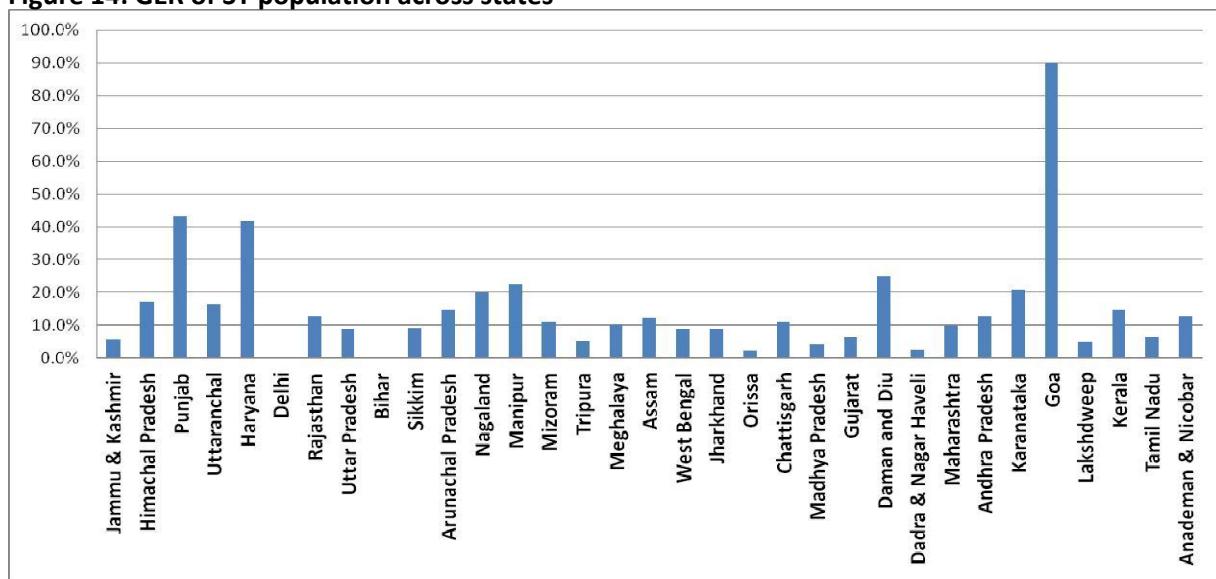
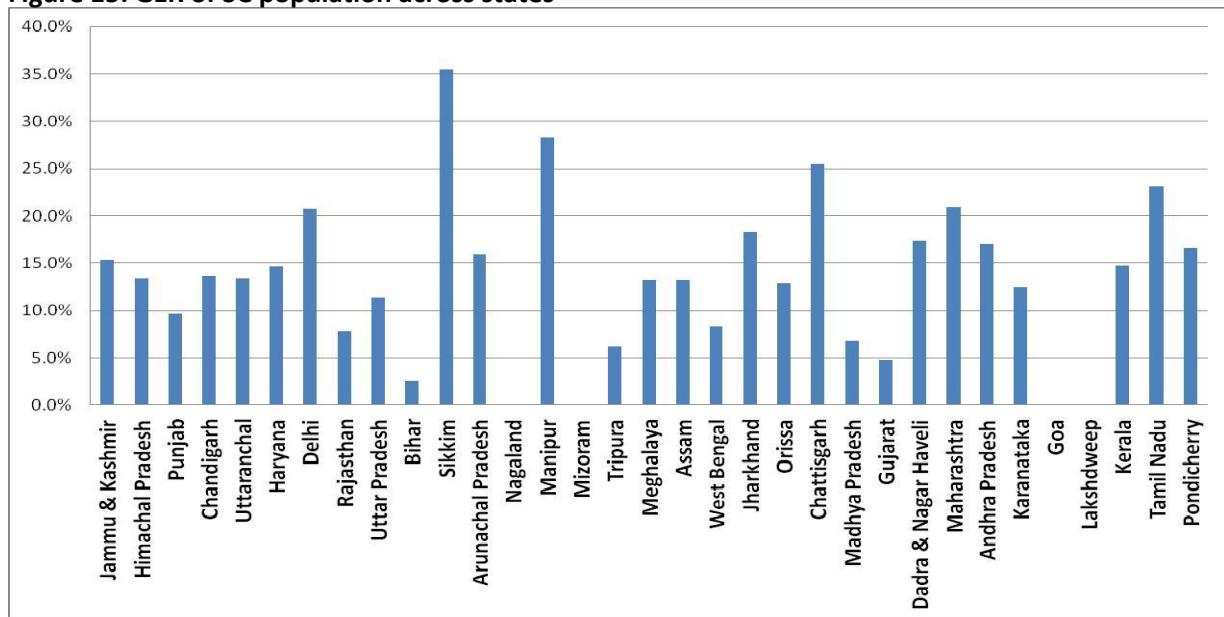
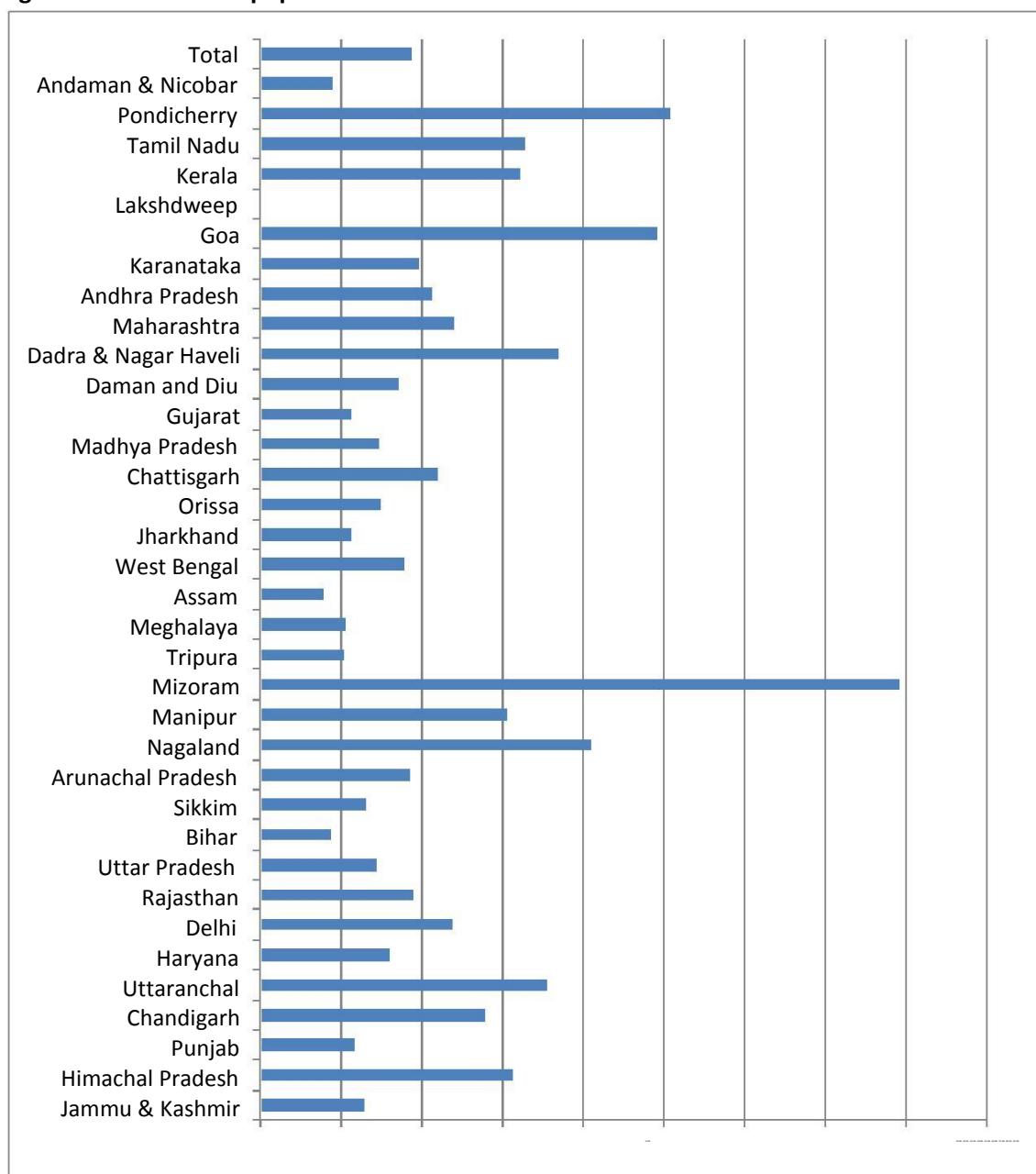
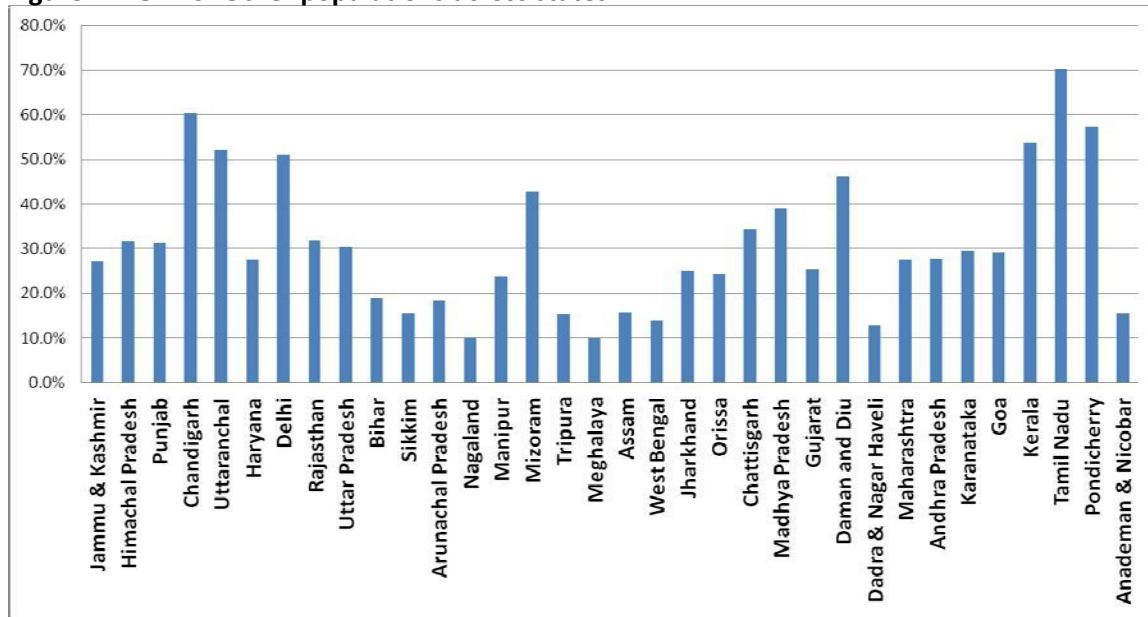
Figure 14: GER of ST population across states²⁴**Figure 15: GER of SC population across states²⁵**²⁴ NSSO, 66th Round (2009-10)²⁵ NSSO, 66th Round (2009-10)

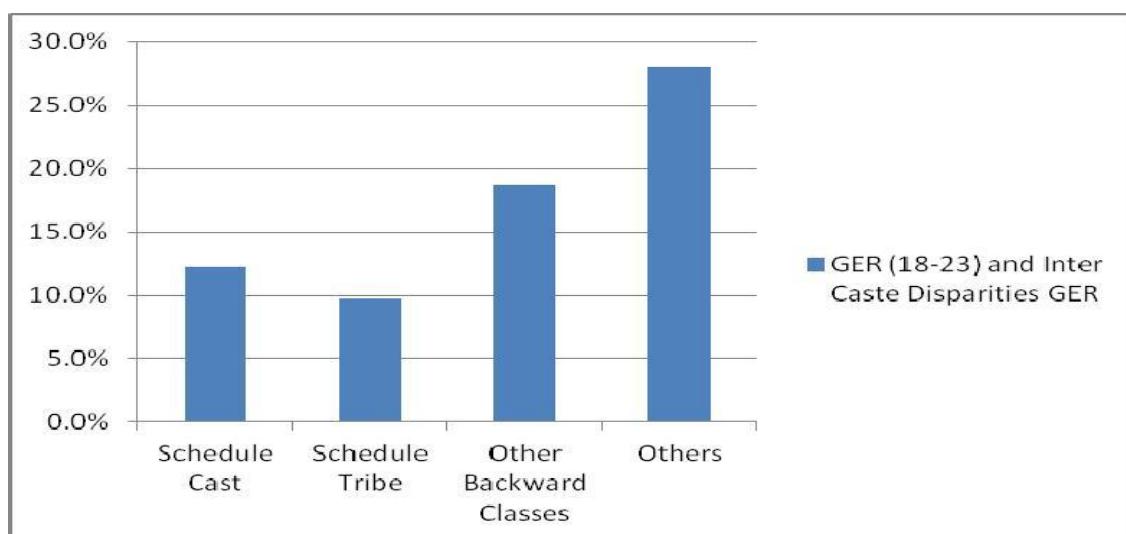
Figure 16: GER of OBC population across states²⁶



²⁶ NSSO, 66th Round (2009-10)

Figure 17: GER of Other populations across states²⁷

Further, GER amongst Caste Groups (SC, ST ,OBC and others) point out that more efforts need to be put in improving GER of SC (12.2%) and GER of ST (9.7%) in order to enable them to reach the national average. While, the GER of (SC, ST and OBC) according to the 66th round NSSO estimates (Figure 18) are a definite improvement over the earlier NSSO estimates (Figure 10), more needs to be done.

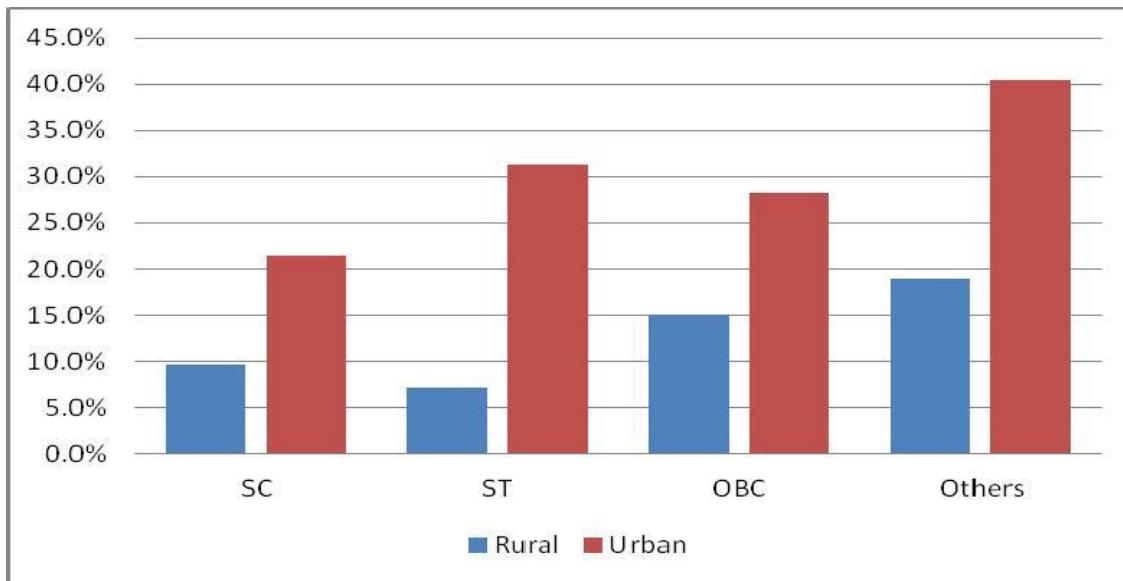
Figure 18: GER (18-23) and Inter Caste Disparities²⁸

²⁷ NSSO, 66th Round (2009-10)

²⁸ *ibid*

An analysis of the GER amongst caste groups along Rural and Urban areas bring out stark inequities. It is observed that GER for SC(9.6%), ST (7.1%), OBC (15%) in rural areas is quite low compared to their respective GER in urban areas (Figure 19). This major difference calls for greater attention and there is a need to improve education facilities as well as opportunities for these social groups to have access to higher education.

Figure 19 : GER among Socio- Economic Groups



Religious- group disparities are yet another important consideration in any discussion on inclusion. Figure 20 highlights the inter-religious group disparities. While most religious groups show a GER above the national average, Muslims for various socio-cultural reasons have lagged behind in education including higher education. Further, there is rural-urban disparity in GER across religious groups (Figure 21) with Muslims rate lowest (6.7%), Hindus appears to be comparatively better off (14.7%). While the reasons for low GER of Muslims in rural areas has been explained above, the lower enrolment of Hindus could be traced to depressed caste groups within their fold.

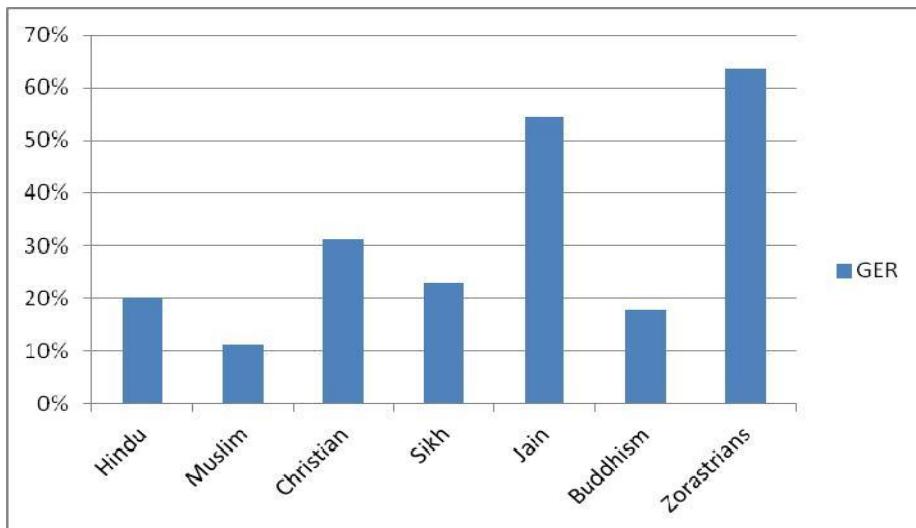
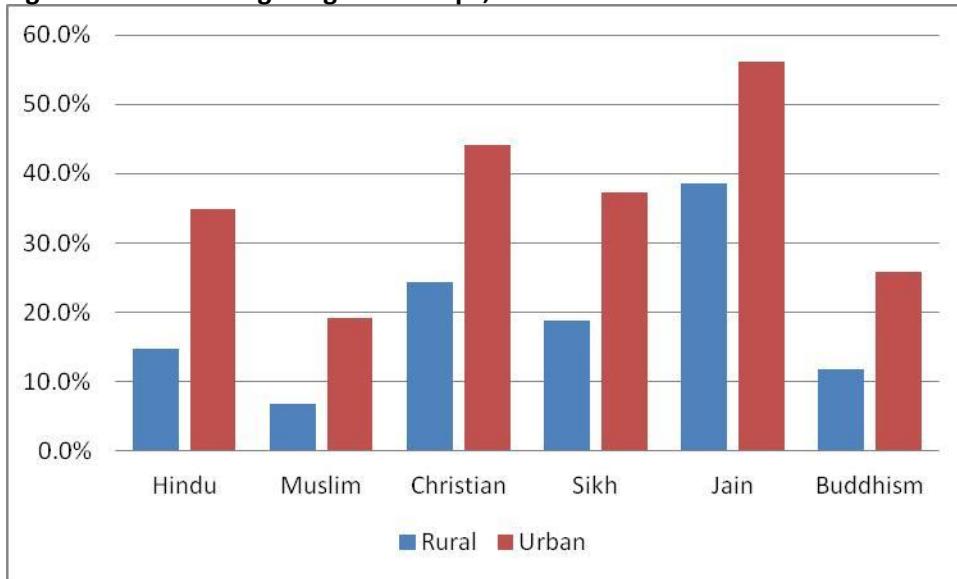
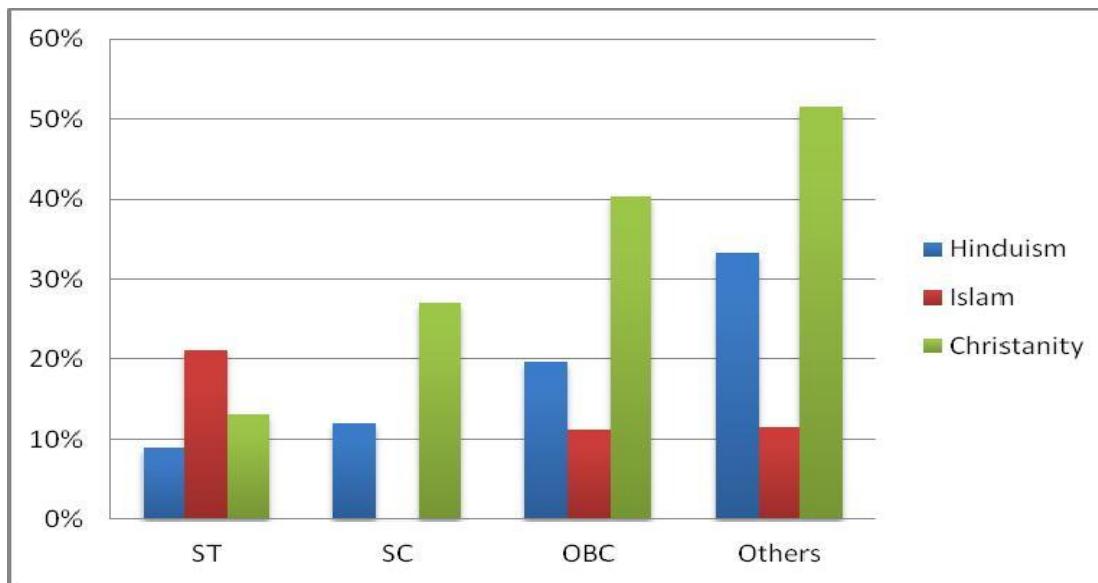
Figure 20: GER among Religious Group²⁹**Figure 21: GER among Religious Groups; Rural and Urban³⁰**

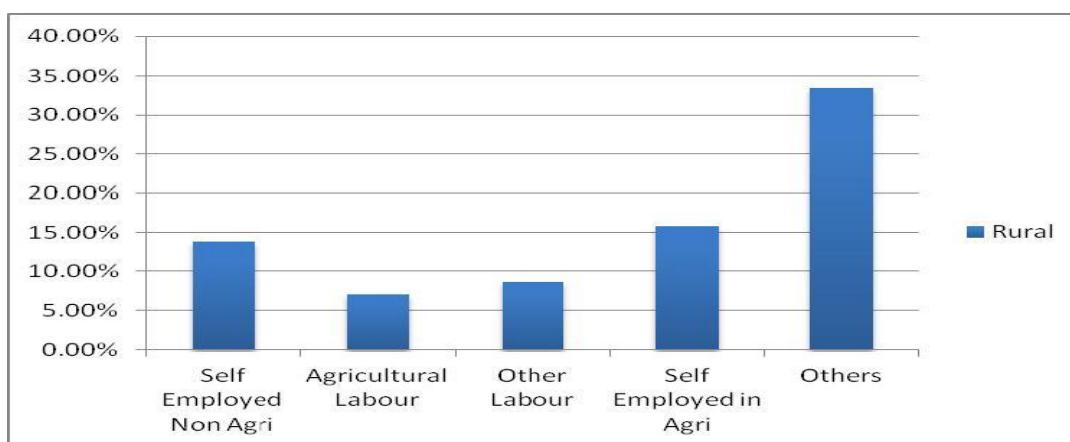
Figure 22 brings out the GER of Inter Caste Categories along Socio-Religious groups with focused intervention for improving enrolment rate in case of Muslim OBCs (11.20%) and Hindu STs (9%) and Hindu SCs (12%)

²⁹ NSSO, 66th Round (2009-10)

³⁰ NSSO, 66th Round (2009-10)

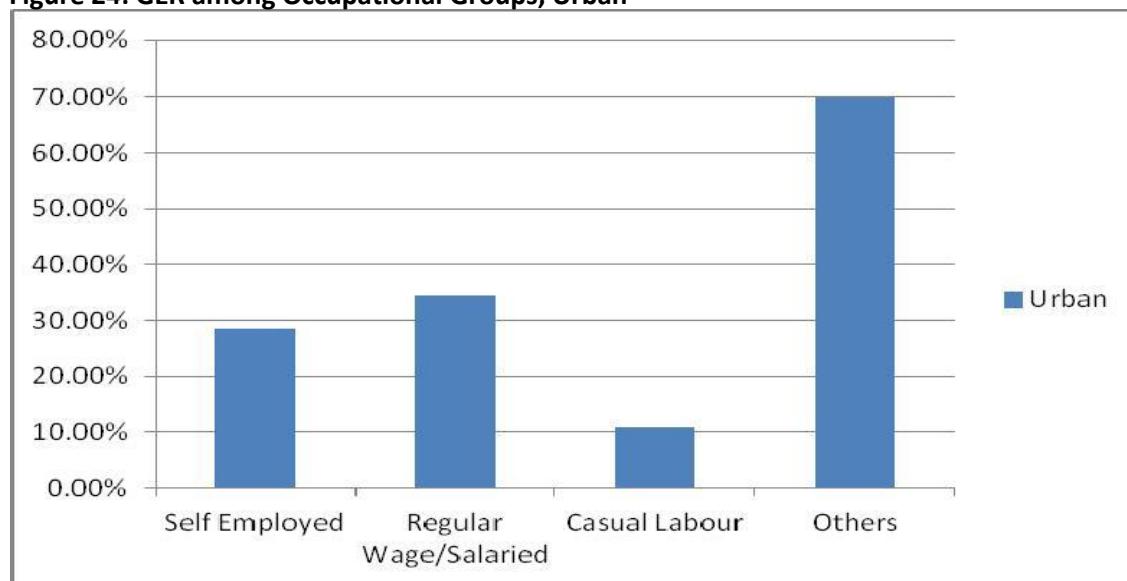
Figure 22: GER of Inter Caste Categories along Socio-Religious Groups³¹

The enrolment rates in case of Occupational groups in rural areas (Figure 23) indicates that agricultural labour (7%) is the lowest while Self employed in Non-agriculture (13.80%) and Self Employed in Agriculture (15.80%) are comparatively better but all these groups need policy and programme initiatives to improve their GER. While, the GER amongst Occupation group in Urban areas(Figure 24) show positive trends, the enrolment rate among casual labour (10.80%) requires policy intervention.

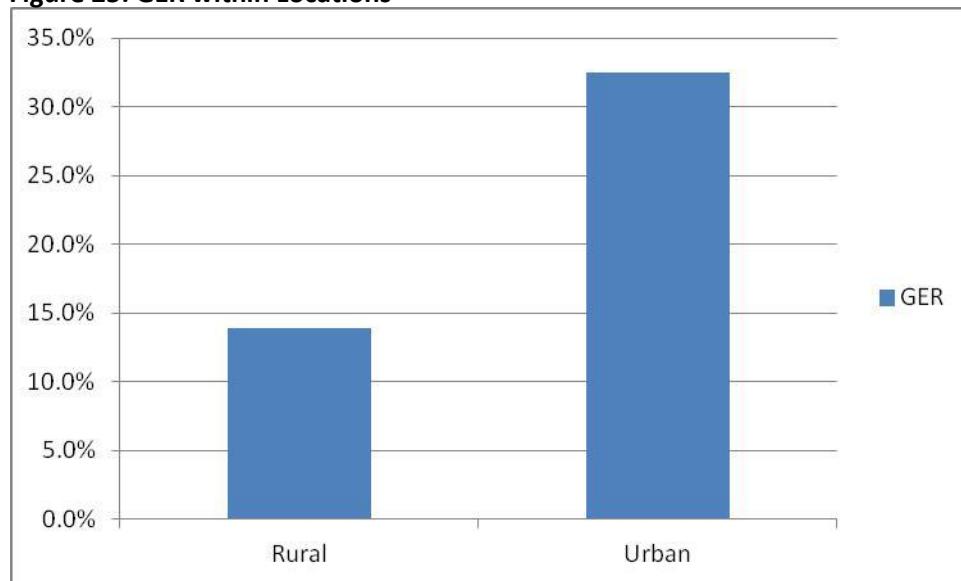
Figure 23: GER among Occupational Groups, Rural³²

³¹ NSSO, 66th Round (2009-10)

³² Source: NSSO 2009-10

Figure 24: GER among Occupational Groups, Urban³³

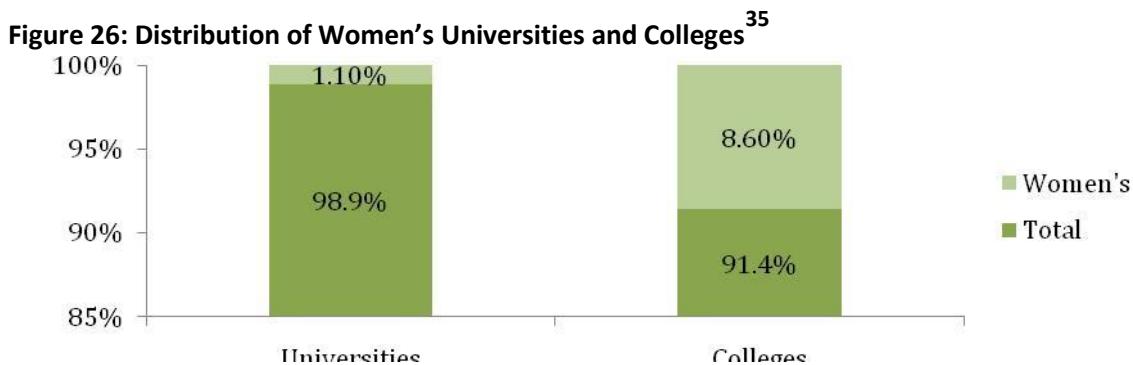
Finally, GER amongst rural areas (13.9%) is much below the national average, while in Urban areas is more than twice that of rural area (Figure 25).

Figure 25: GER within Locations³⁴

³³ NSSO, 66th Round (2009-10)

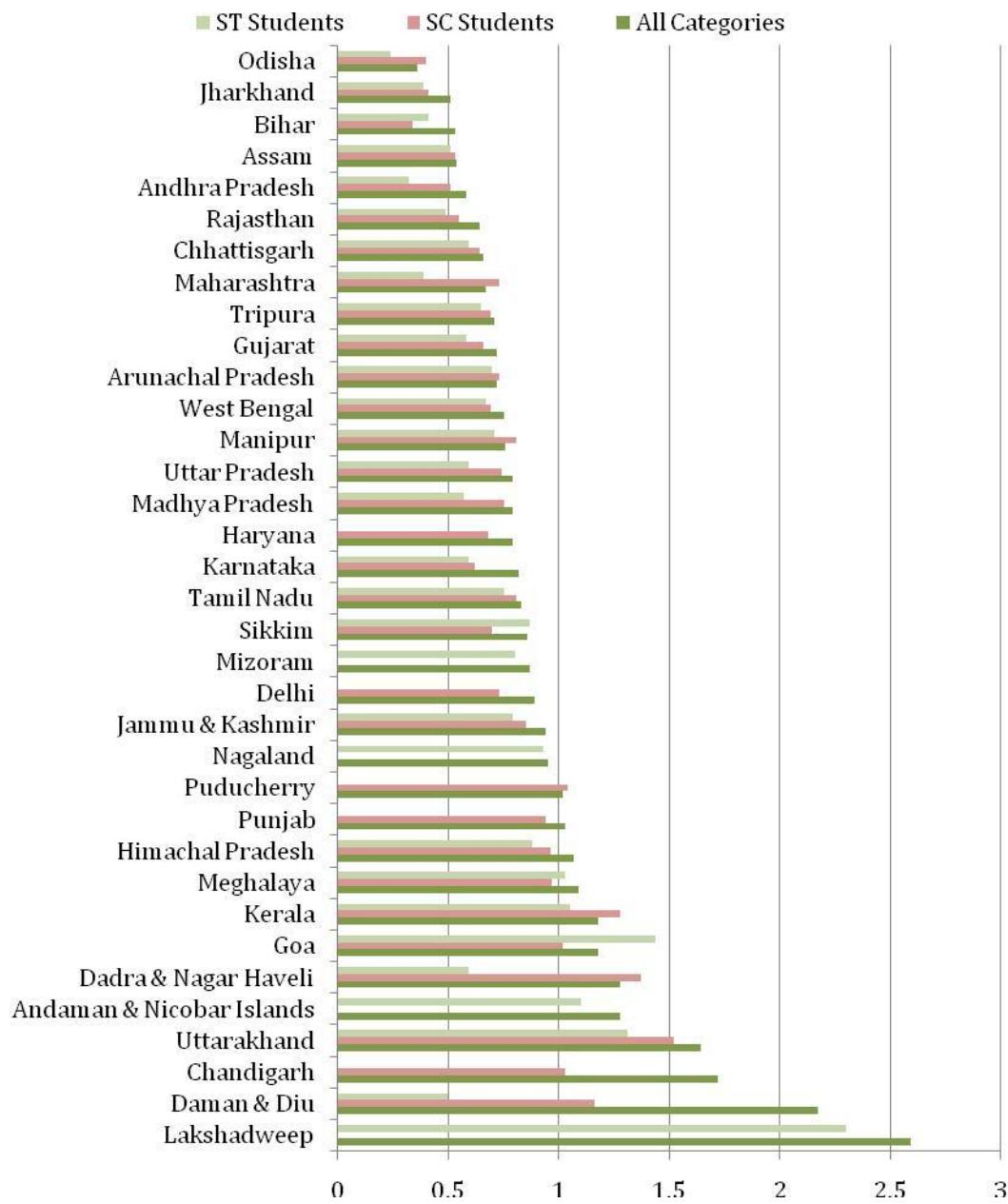
³⁴ NSSO, 66th Round (2009-10)

The above estimates drawn from the 66th round of NSSO amply demonstrates that while there have been considerable improvements in equal access to higher education amongst various groups mentioned above largely due to various interventionist strategies adopted in the 11th Plan, there is a need for a more holistic strategy to be adopted. These interventions should be by improving educational infrastructure in under-served areas, to stimulate their participation, encourage through policy interventions participation of marginalized population groups and provide selective opportunities for accelerated participation of such groups.



The other aspect of equity is women's access to higher education. Many socio-cultural factors contribute to lesser women enrolling for higher education and inadequate infrastructural support at the institutions further reduces their participation. Rajasthan, Odisha, Chhattisgarh, Jharkhand, Assam and Bihar are amongst the lowest in terms of gender parity in higher education (Figure 27), with alarmingly low levels amongst the ST and SC populations. Given the socio-cultural make-up of our society, it has often been felt that opening women's colleges and universities is a useful way of increasing access as the parents are more comfortable in sending female students to such establishments, especially if the students are sent to other states or cities. The proportion of women's colleges is (8.6%) is more than women's universities (1.1%), however, these proportions are still fairly low.

³⁵ All India Survey on Higher Education, Ministry of Human Resource Development, 2010-11 (Provisional),

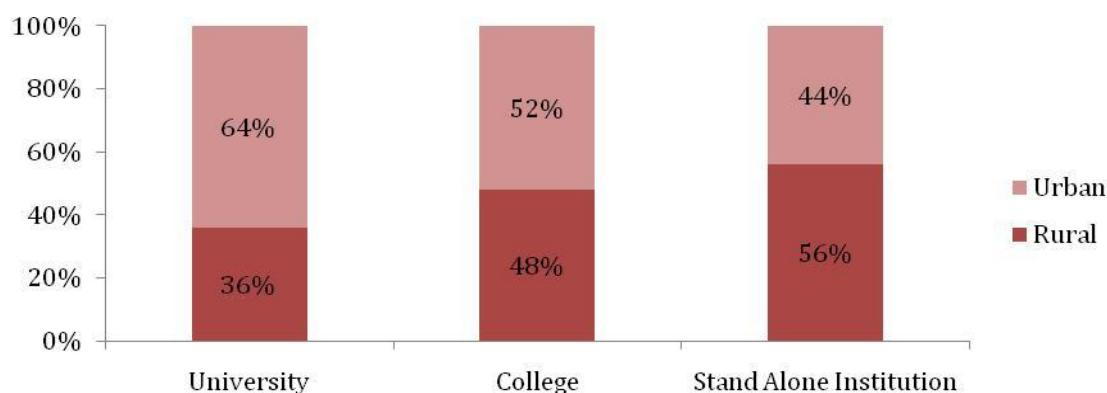
Figure 27: Gender Parity across States³⁶

The GER as well as distribution of institutions across rural and urban areas is much skewed. The GER in rural areas is almost half as that of urban areas (Figure 12), especially amongst women. With the mushrooming of private colleges and universities without any central or state planning, the balance between urban and rural spread of institutions is increasingly

³⁶ Selected Education Statistics, MHRD

tilting towards urban areas. While India is tending towards urbanization, 68.8%³⁷ of the population still resides in rural areas. And even though development of educational hubs has its advantages, the rural areas should not remain deprived of access to higher education institutions. Thus increasing institutional reach in rural areas must also be addressed in a targeted manner.

Figure 28: Location-wise distribution of Institutions³⁸



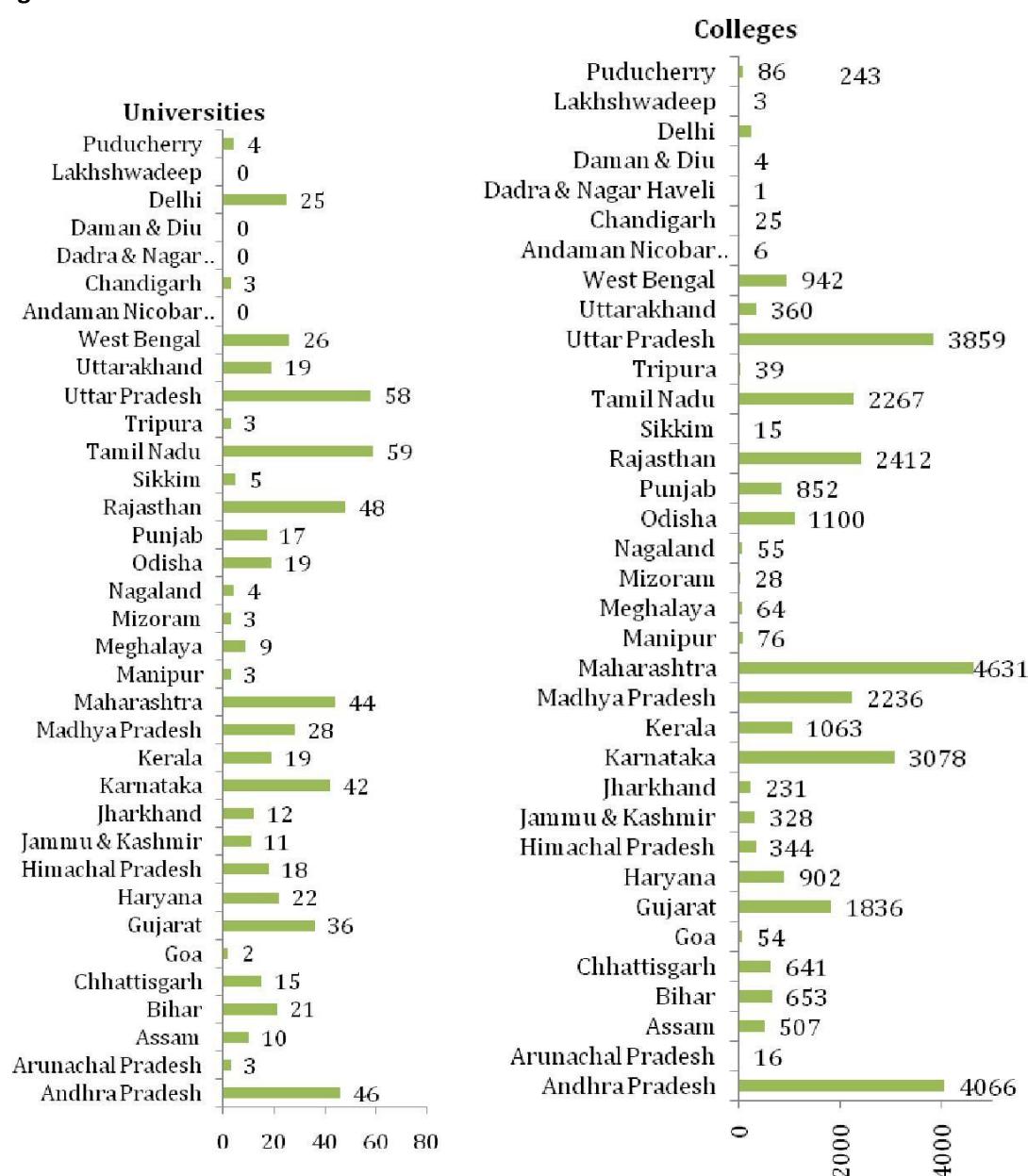
1.2.2.1 XIth Plan Experience: Equity

Efforts made towards improving equity in higher education such as setting up of 374 Model colleges, establishment of universities in backward areas, reservation of seats for disadvantaged groups, and provision of student loans and scholarships have indeed led to marked improvement in certain states. The main lessons learnt from these efforts have been that firstly, improving enrollments in general will not ameliorate inequities and special efforts will be required to deal with problems of geographically backward areas, women and backward classes; furthermore, specific initiatives will have to be taken for each category. Secondly, the multiplicity of central and state run schemes and scholarships and cumbersome application processes prevent many students from being aware of and availing many benefits.

³⁷ Census 2011

³⁸ All India Survey on Higher Education, Ministry of Human Resource Development, 2010-11 (Provisional)

Figure29: State-wise distribution of Institutions ³⁹



1.2.3 Excellence

Excellence in higher education is also a major aim of the XIth Plan. The quality of our current education system leaves much to be desired. As per the Times Higher Education Rankings 2012-13, the top ranked Indian institutions are IIT Kharagpur (234), IIT Bombay (258) and IIT Roorkee (267). The top ranked institutions as per the Quacquarelli Symonds (QS) System 2012 were IIT Delhi (212), IIT Bombay (227) and IIT Kanpur (278). Apart from the fact that none

³⁹ University Grants Commission, 2012

of the Indian institutions ranked are in the top 200, interestingly no university finds a place in these rankings. These rankings are limited in their scope and coverage of institutions, especially those in Asia. However it is worth looking at the components on which good quality Universities are judged. Firstly, single discipline Universities and Universities dedicated to just postgraduate studies are not considered because of their narrow focus and areas of strength. The major components consider teaching (learning environment, student teacher ratio, quality of curriculum), research (volume, income from research, reputation), and citations (research influence). Other factors included are international outlook, industry income, employer reputation etc. Indian higher education is not particularly strong in the above-mentioned areas, which is certainly a cause for concern. The university system in India needs to look at these parameters closely and endeavour to attain higher levels in these areas, especially at the research outcomes.

Apart from international rankings, other parameters of judging quality are employability and employer satisfaction. According to a survey done by World Bank-Federation of Indian Chambers of Commerce and Industry (FICCI), 64% of employers are “somewhat”, “not very”, or “not at all”⁴⁰ satisfied with the quality of the engineering graduates they hire. In another study, Infosys found less than 2% of its 1.3 million job applicants acceptable in 2006⁴¹.

Innovation and creation of new knowledge are the major areas in which universities in the developed countries have an edge over their Indian counterparts. Investment in R&D in developed countries is not limited to public funding, funding from the private sector especially industry is equally important. This has helped universities and industries in such countries maintain their competitive edge. An analysis of global R&D investments shows that the bulk of such investments come from countries like USA (32.4%), Japan (13%) and China (9.2%). India's share remains low at 2.2%.

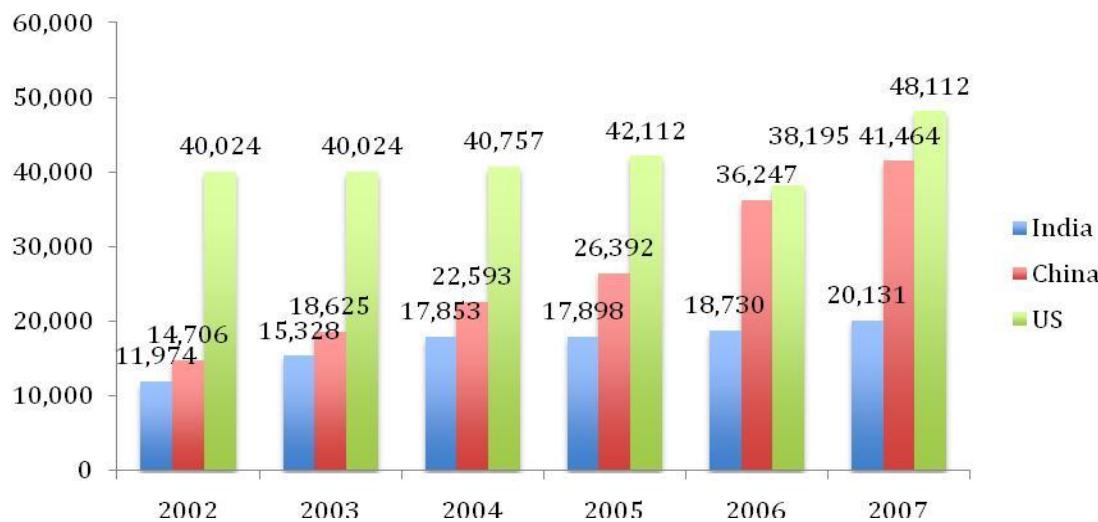
At its present stage of growth, India and other developing nations require knowledge based value-added development of areas like pharmaceuticals, biotechnology, nanosciences, healthcare, genetics, IT etc. Intensification and expansion of research oriented higher education in the university system is the way forward. Such intensification and expansion would be possible through the infusion of massive public investments that would ensure quality and help

⁴⁰ Saeki, H. and Blom, A. Employability and Skill Set of Newly Graduated Engineers in India”. *World Bank Policy Research Working Paper*. 2010.

⁴¹ Surowiecki, J. India's Skills Famine. *The New Yorker*. 2007

larger number of aspiring universities to excel instead of remaining limited to relatively small and specialized research oriented institutions. An alarming trend is the decline in India's share of world researchers, which stood at 2.2% (2007) down from 2.3% (2002). A study on India's research output by Thomson Reuters in 2010 has estimated India's global share of scientific publication to be about 3.5 per cent. On the other hand, China's share has increased from 14% to 21.1% during the same period (2002-2007). The numbers of PhDs produced by India are less than half of those in US. China's steady increase in PhDs is worth noting; in 2002 India and China were not too far apart in the number of PhDs. However, by 2007 China has surged rapidly ahead in terms of its research output and is almost rivaling US.

Figure 30: Share of PhD.⁴²



The experiences of China in the field of higher education deserve a closer scrutiny and perhaps, emulation. China launched 'Project 211' in 1995, as part of its national priority for the 21st century, involving important universities and colleges in 1995 with the intent of raising the research standards of high-level universities and cultivating strategies for socio-economic development. It subsequently launched the 'Project 985' in 1998 to further promote the development and reputation of the Chinese higher education system. The project involved large allocations of funding to select universities in order to build new research centres, improve facilities, attract world-renowned faculty and visiting scholars etc. As a result of 'Project 985' nine universities in China were converted into Research Universities. The progress of these

⁴² Sunder. S. Higher Education Reforms in India. *Yale University*. 2010.

universities in R&D was so immense that most of them now are recognized world over for their research output.

Figure 31: Share of World Researchers.⁴³

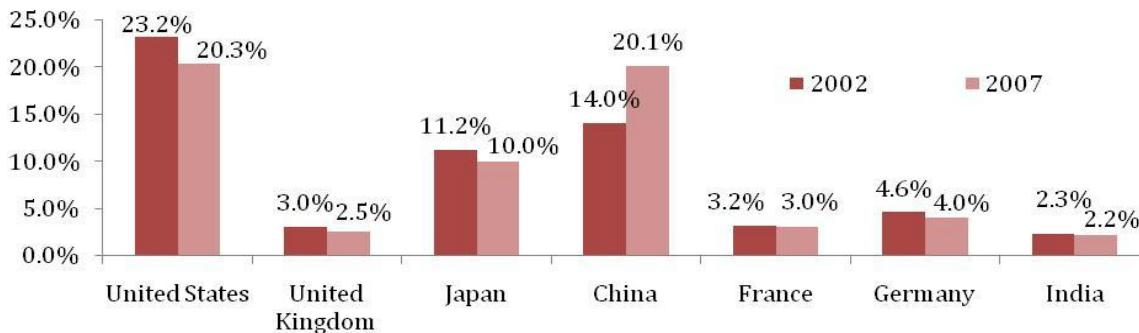
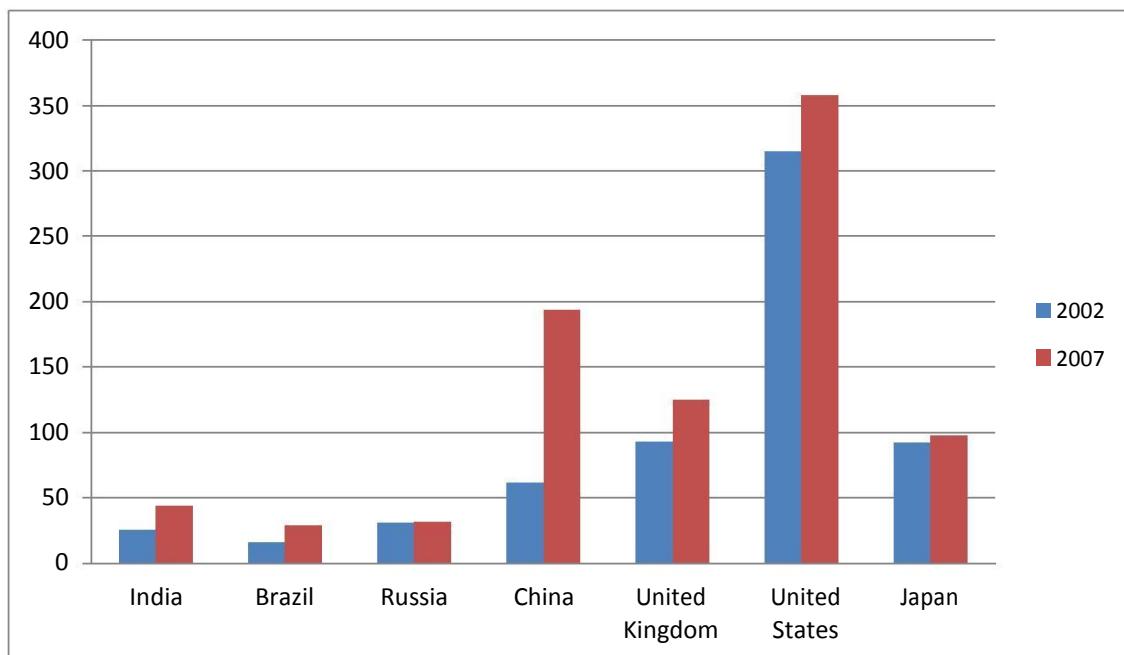
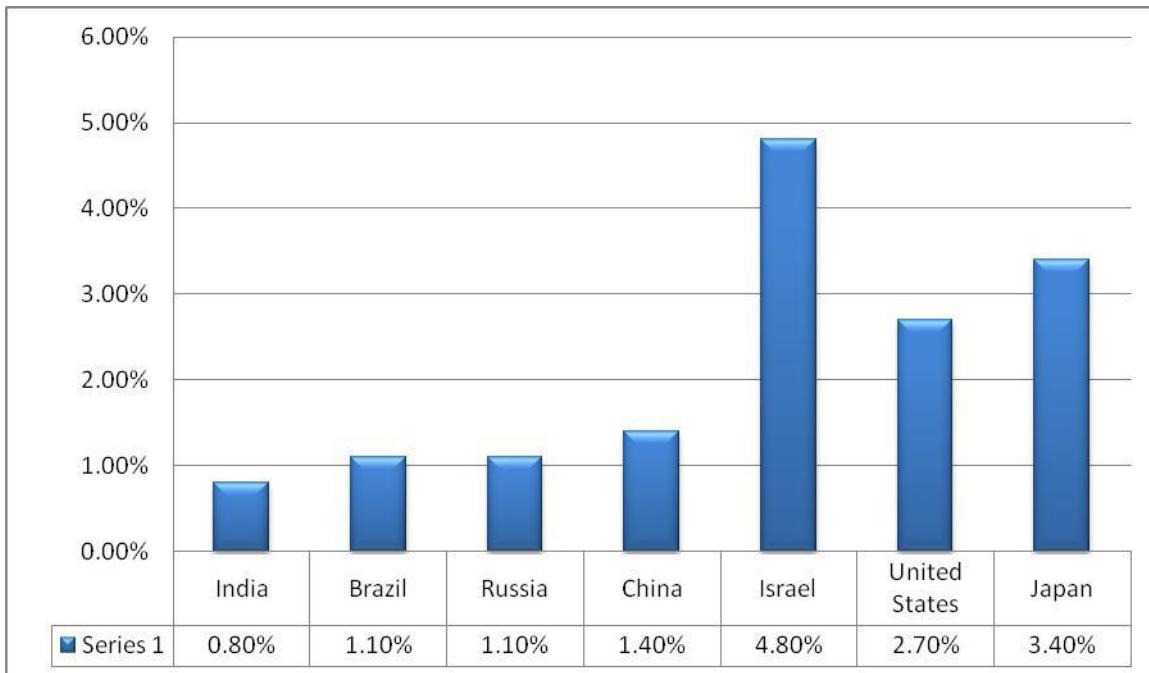


Figure 32: World publications of selected countries (in 000's)⁴⁴



⁴³ UNESCO Institute for Statistics, as accessed on 24th October, 2012

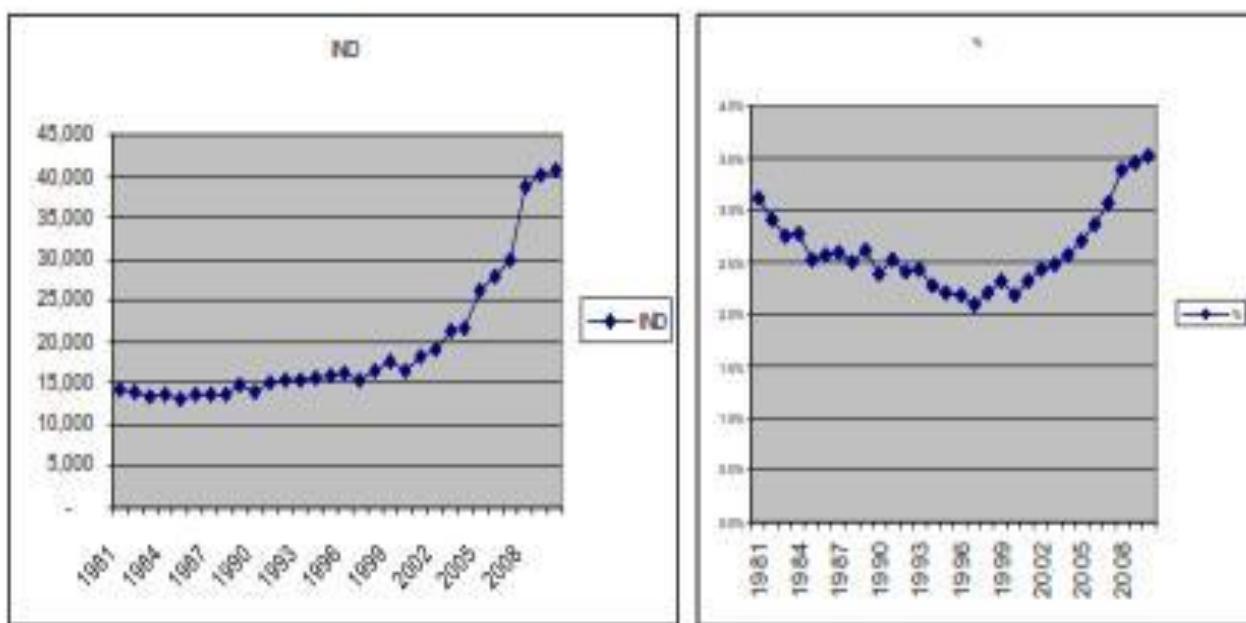
⁴⁴ Gupta, B.M. & Dhawan, S.M. "Status of India in Science and Technology as reflected in its Publication Output in Scopus International Database -1997-2007". *India: Science & Technology*. 2008

Figure 33: Major R&D Investments: Country Share⁴⁵

Recent evidence report from Thomson Reuters has presented the changing trends in number and global share of India with respect to scientific publications. It is evident from trends presented in Figure 34a and 34b that India has started to regain the volume share of scientific publication lost during 1980's since 2002. Based on relative share, India ranks currently 9th in the world with respect to scientific publications in SCI Journal. Based on current trends, India could vie for a share of about 5% from its current 3.5% as mentioned above within the next five years. This would call for planned investment and concerted actions from all the stakeholders⁴⁶.

⁴⁵ UNESCO Institute for Statistics as accessed on 24th October 2012

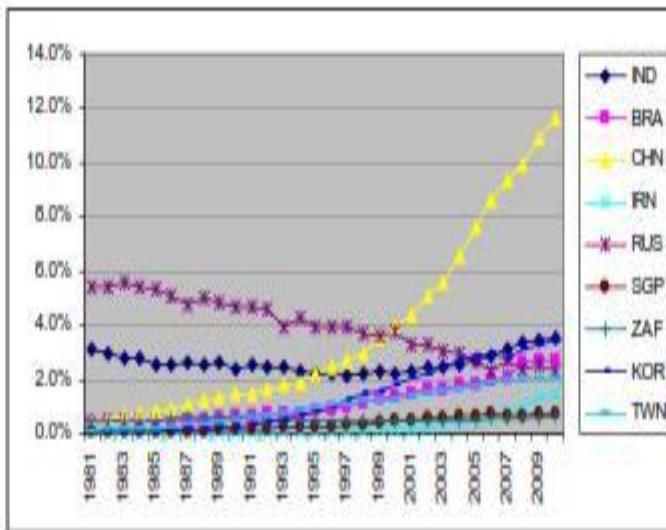
⁴⁶ Biometric Study of India's Scientific Publication Outputs during 2001-10; Evidence for Changing Trends, Dept. of Science and Technology, Government of India July 2012.

Figure 34: Trends in Publications⁴⁷**a. Changing Trends in Number of Publications****b. Trends in Global Share of****Publications**

Comparison of Indian performance with respect to SCI Publications compares favorably with many other emerging economies but not China as seen in Figure 35. Countries like Korea and Brazil are growing their research outputs at high rates. Therefore, it is important for India to scale up R&D effort engagement if it has to have a relative advantage over other emerging economies.

⁴⁷ Ibid

Figure 35: Comparative Performance of India with respect to Emerging Economies⁴⁸



Comparisons of Indian performance with respect to a SCI Publications with respect to some developed countries as represented in Figure 36 which does not compare favorably at present with them. However, the relative share of many developed countries in scientific publication is decreasing at this time, therefore, with substantial investment in R&D it is expected that India would emerge as an important power over the next few decades⁴⁹.

⁴⁸ Ibid

⁴⁹ Ibid

Figure 36: Comparison of Citation Impacts of Indian Publications with some Developed Economies⁵⁰

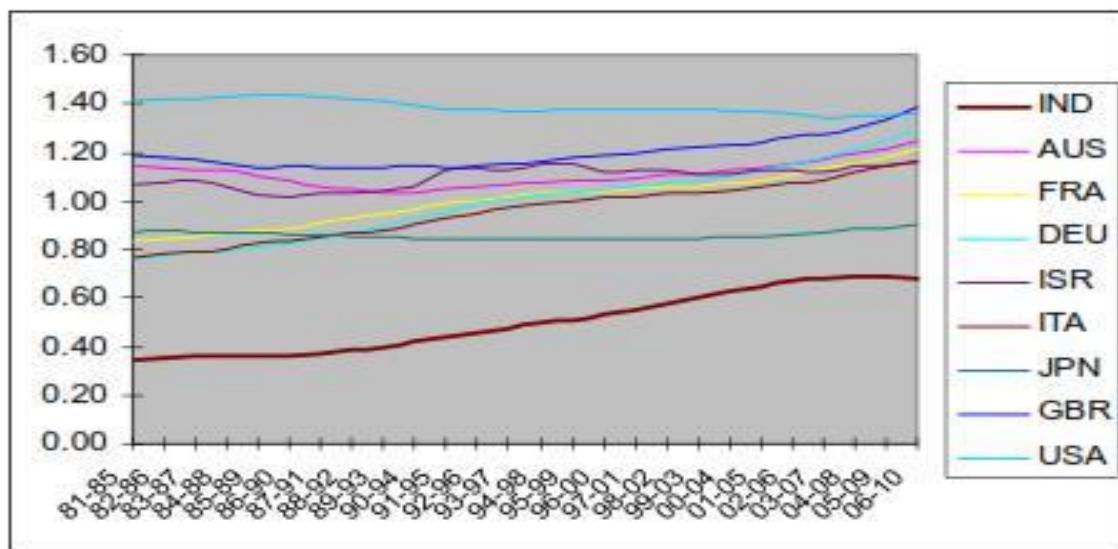
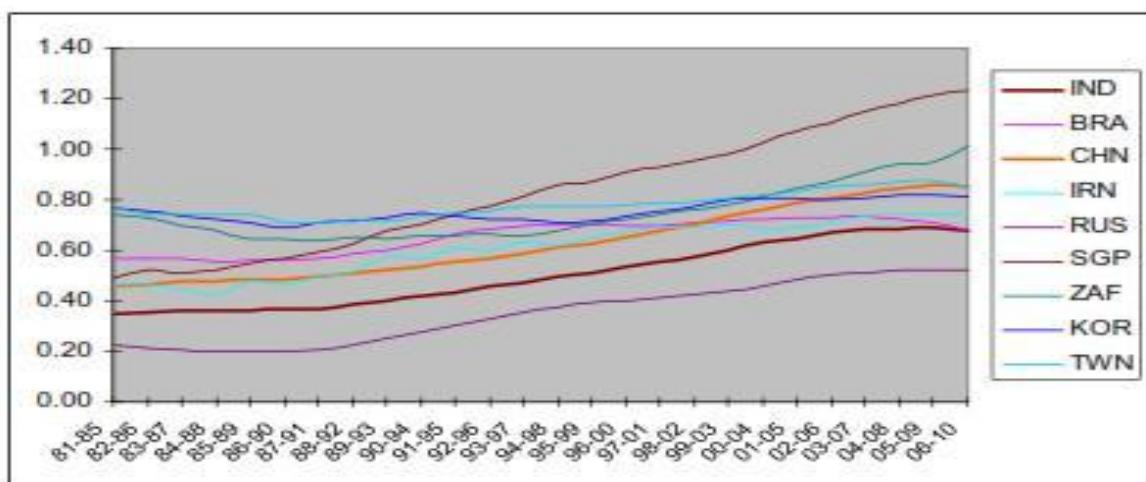


Figure 37: Comparison if Citation Impacts of Indian Publications with some Emerging Economies⁵¹



⁵⁰ Ibid

⁵¹ Ibid

An important element in ensuring quality and excellence in Higher Education is the need for adequate number of good faculty in Institutions of Higher Learning. While there has been a two fold increase in the growth of Teaching Staff over the last decade (Figure 38 and 39), this has not clearly kept pace with the growth of Universities and Colleges and Enrolment (Figure 40).

Figure 38: Growth of Teaching Staff in Universities and Colleges

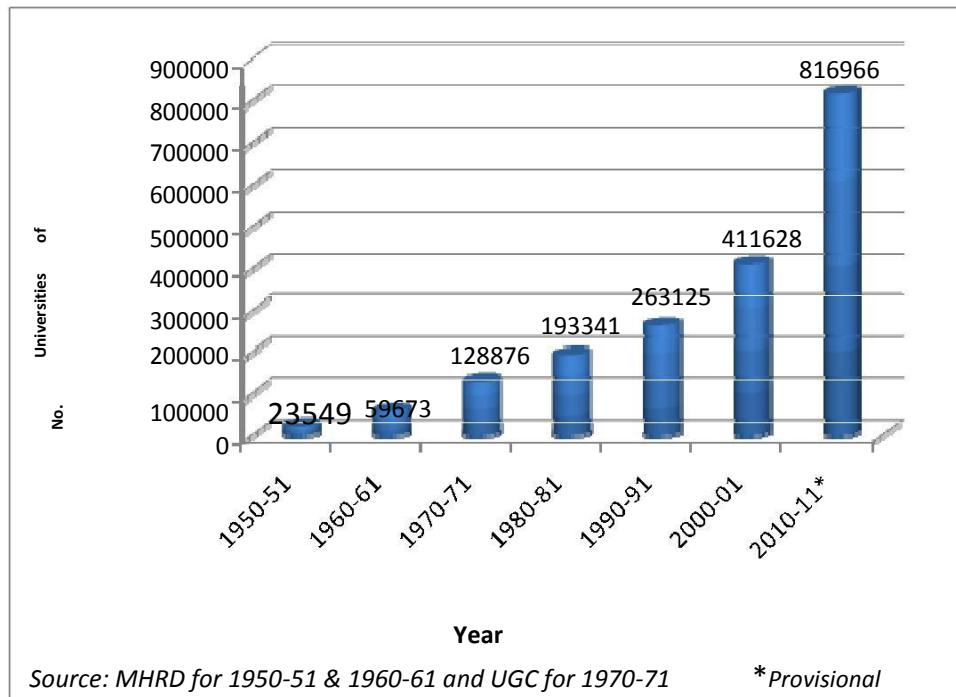
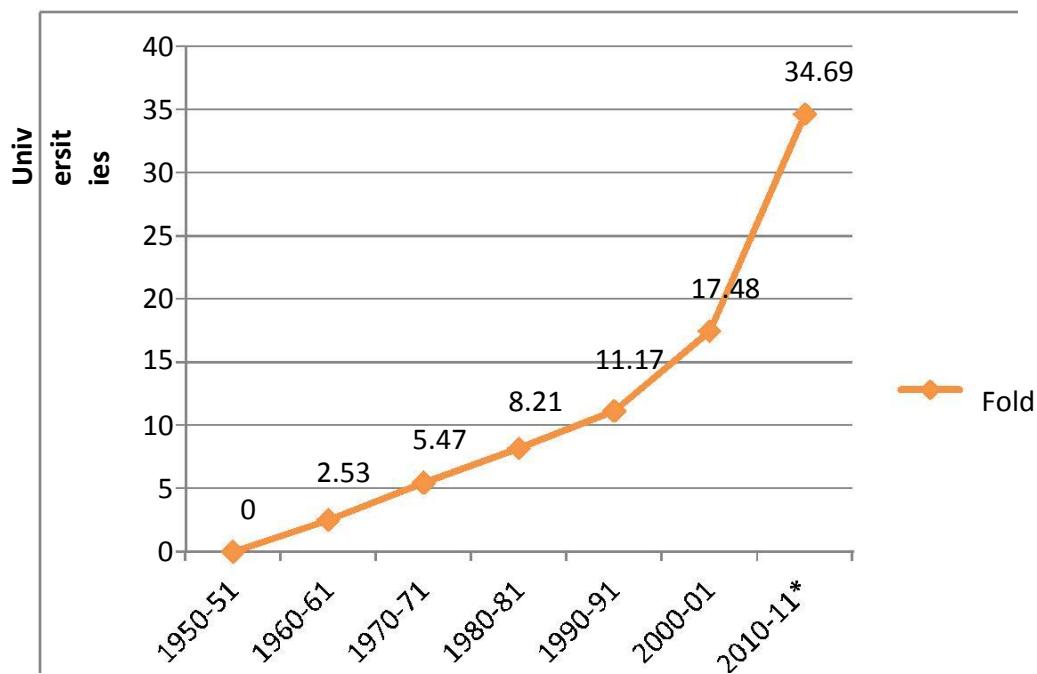
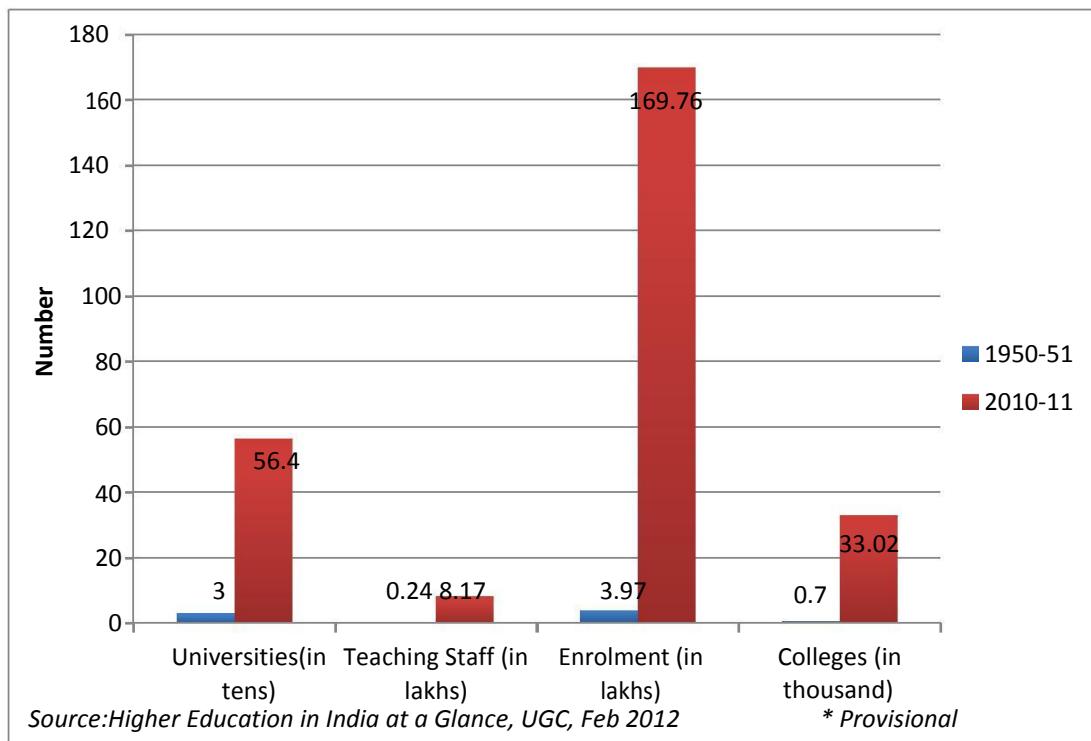
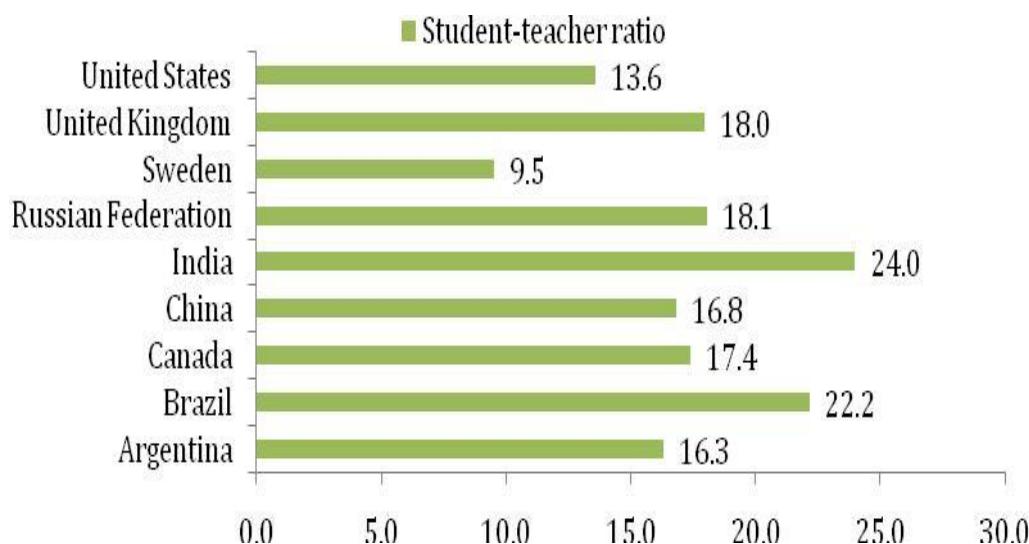


Figure 39: Growth of Teaching Staff in Universities and Colleges: Fold Increase**Figure 40: Growth of Higher Education: Universities/Colleges/Students enrolment/Teaching Staff: 1950-51- 2010-11***

However, Figure 41 highlights the student-teacher ratios in selected countries. The student teacher ratio in India (24:1) is very low as compared to good institutions in other countries, 9.5:1 in Sweden; and 13.6:1 in United States. In addition, a major factor that leads to poor quality of teaching and learning as well as lack of research capabilities is the lack of qualified faculty in the higher education institutions.

Figure 41: Student-teacher ratio in selected countries⁵²



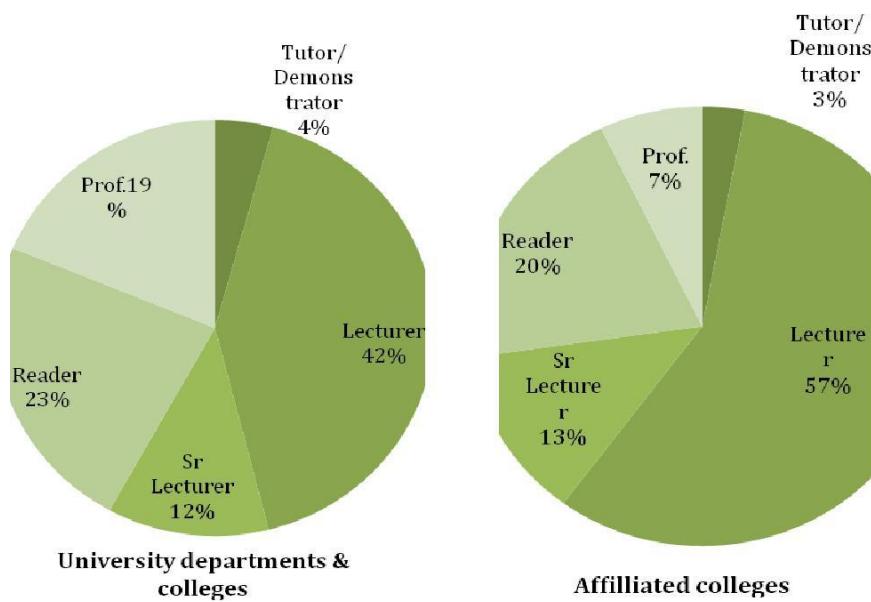
In addition to the low number of sanctioned faculty positions, faculty vacancy even in sanctioned strength is an extremely serious problem. Due to various reasons such as ban on recruitment, lack of funds, and reluctance of states to negotiate the long-term salary burden , a large number of faculty positions are not filled. According to the Dhande Committee report, the faculty strength as of 2008 was 6,99,644 with vacancies close to 40%⁵³. Attracting faculty is a big challenge for rural and backward areas because of lack of infrastructural support and reluctance of teachers in moving to non-urban areas. Faculty shortage creates serious hurdles in the proper functioning of a college or university. All activities from the basic functions of teaching and research to curriculum development are compromised.

⁵²UNESCO Institute of Statistics as accessed on 24th October, 2012 and MHRD Statistics of Higher and Technical education in India, as on 30th September 2009

⁵³Sanjay Dhande Committee on Faculty Shortage and Performance Appraisal System,

Many institutions also face acute shortage of experienced and senior faculty; this hampers curricular development, research initiatives and the general management of institutions. Universities departments and colleges do not suffer from this shortage as severely as affiliated colleges do. Again, many affiliated colleges are privately owned and have limited incentives to employ senior faculty members by paying higher salaries. Many private colleges are now employing teachers on contract basis and paying them meager salaries, sometimes on per lecture basis. This defeats the goals of quality teaching and learning. The Supreme Court in its landmark judgement in T.M.A. Pai matter, had severely castigated institutions which do not employ full time qualified faculty. It said that, “*teachers are like foster parents to the students. Can we afford to place the future of the country in hands of these hired teachers.*”

Figure 42: Level-wise teaching staff⁵⁴



1.2.3.1 XIth Plan Experience: Excellence

Several initiatives to improve quality were taken up in the XIth Plan. These related to faculty improvements, use of technology, academic and governance reforms and accreditation. These initiatives have yielded very limited results. Acute faculty shortages continue at both state and central levels; over a half of the faculty positions in state universities and colleges are vacant. Most of these vacancies are due to ban imposed by the state governments on filling up faculty positions. Even in central institutions, about one-third faculty positions are vacant at any

⁵⁴ University Grant Commission, Annual Report, 2010-11

point of time. In both cases, procedural delays are common. More importantly, the universities are not able to fill the middle/senior level faculty positions for want of suitably qualified and experienced persons. Rapid expansion of the system in recent years has exacerbated the problem. Efforts to recruit faculty through five-year central sponsoring have also not received enthusiastic response from states for the year of eventual increase in their payroll burdens. It has been observed in many states that salaries of faculty especially in affiliated colleges are not even paid in time. Sometimes salaries are not paid for months together. Under such circumstances, it is very difficult to get existing faculty involved and remain committed to the teaching profession.

Teach for India's Higher Education

It is a well-known fact that many Indian students who go outside the country for higher education are interested in returning back to the country in the field of higher education. Many individuals who have invested five or more years of their lives to complete PhDs and post-docs are finding themselves looking for opportunities in India. However, given the lack of structured programs, flexible options and difference in environment, they are reluctant to return.

This presents an opportunity to create a Teach for India Higher Education Fellowship program to provide two- to three-year teaching post-docs or assistant professor positions for fresh PhD graduates from reputed Universities abroad. This could be branded like the Teach for India program for school teachers. It is hoped that many young faculty may stay on after the fellowships in Indian academic posts and this influx of talent from different eco-systems will help improve the teaching and research environment of the Indian universities. It could be open to all new graduates in subjects where Indian universities have faculty shortages.

While it could be open to all nationalities, it might be particularly appealing to the Indian natives who may have been planning to return at some point of time to the country. A study⁵⁵ done on the same area suggests that to make the program attractive, marketing of it should stress several key messages: giving back to India, helping to build its HE capacity, and having the opportunity to do research. The latter can be achieved by keeping teaching and administrative loads fairly low, allowing the fellows to publish their research in leading journals, which would in turn help raise the status of Indian universities.

⁵⁵ http://knowledge.wharton.upenn.edu/papers/download/050411_willtheyreturn.pdf
as accessed on 31st October, 2012

States may consider making use of this suggestion in order to address the issue of faculty shortage in higher educational institutions.

Independent quality assurance mechanism is a sine qua non for quality and excellence. Unfortunately, in India, the accreditation is still optional. While institutional accreditation through National Assessment and Accreditation Council (NAAC) and program accreditation through National Board of Accreditation (NBA) gained momentum during the XIth Plan, the coverage of institutions is still small. Only about one-third (172 out of 612⁵⁶) eligible universities and one-fifth (4529 out of 22500)⁵⁷ of eligible colleges have been accredited so far. Private universities and private colleges have shown little enthusiasm for accreditation. This means that there is effectively no standard national level monitoring in terms of quality for most of the educational institutions.

Figure 43: Proportion of Universities and Colleges accredited by NAAC



A concerted effort is needed to ensure that quality informs every process in higher education. Any new scheme planned by the government must ensure that accreditation becomes mandatory and sufficient incentives and disincentives are built into the system to ensure that every HEI obtains accreditation.

1.2.4 Funding

Higher Education needs to be empowered, as it, and it alone helps in sustainable, social, economic and political development of the society and some assurance of equity. Empowerment of higher education requires liberal funding by the government. Higher

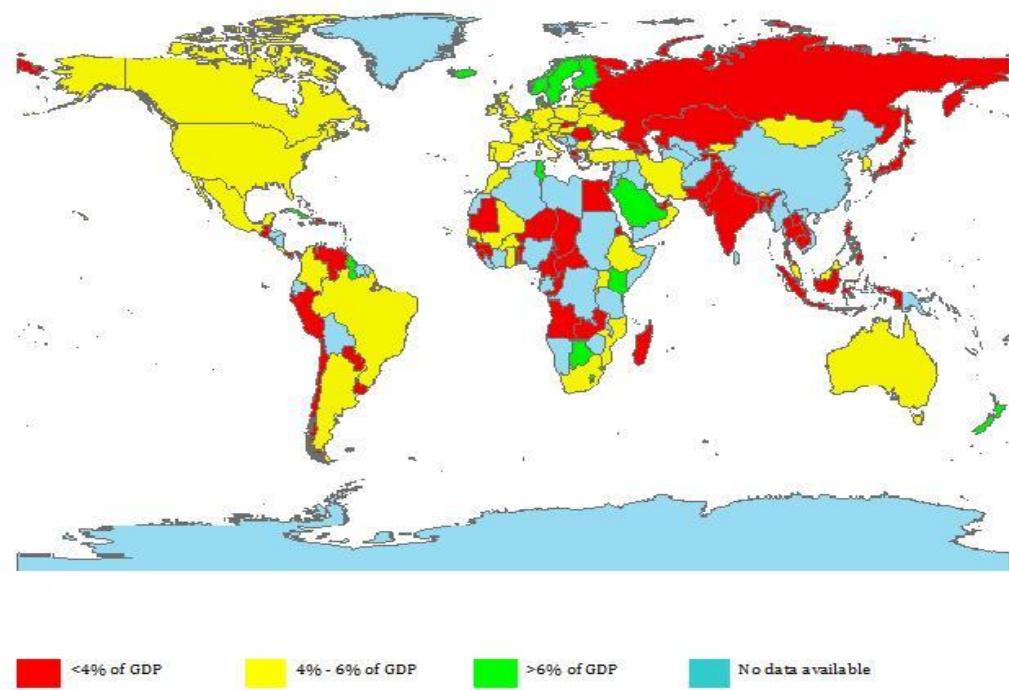
⁵⁶ MHRD response to Question No. 857, Rajya Sabha dated 30th November 2012

⁵⁷ XIIth Five year Plan, Planning Commission of India, New Delhi, 2012

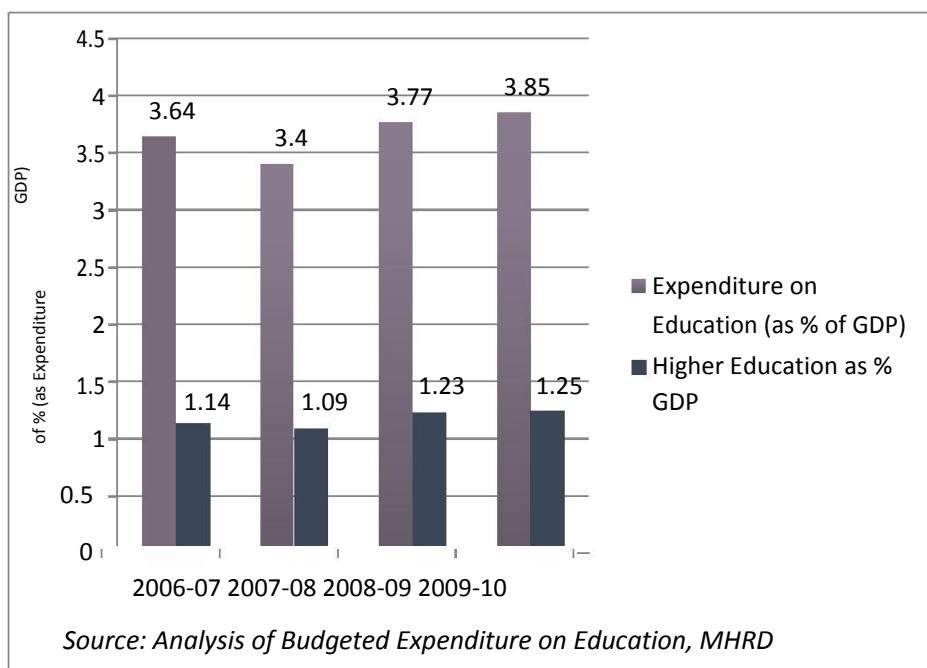
Education is widely recognized as public good, at least as a *quasi* public good as it produces huge set of economic, social, cultural, demographic and political externalities. The government has now recognized post- elementary education as a *Merit – 2* good (elementary education is recognized as a merit-1 good), that needs to be financed considerably by the state. Today Higher Education cannot be a ‘non-priority area’ anymore, and higher education institutions cannot be treated as if they are a part of non- essential sector. Therefore, Higher Education requires sustained funding from public exchequer.

While international comparisons have their own limitations, they nevertheless provide some broad indications on the relative positions of a country in comparison to others. Figure 44 shows the expenditure on education as a percentage of GDP.

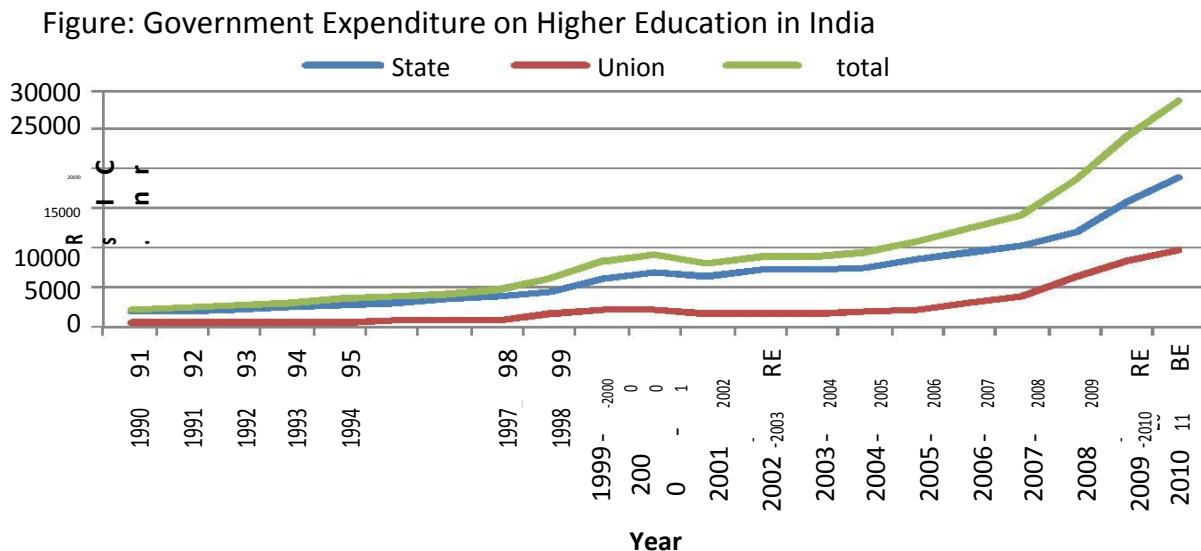
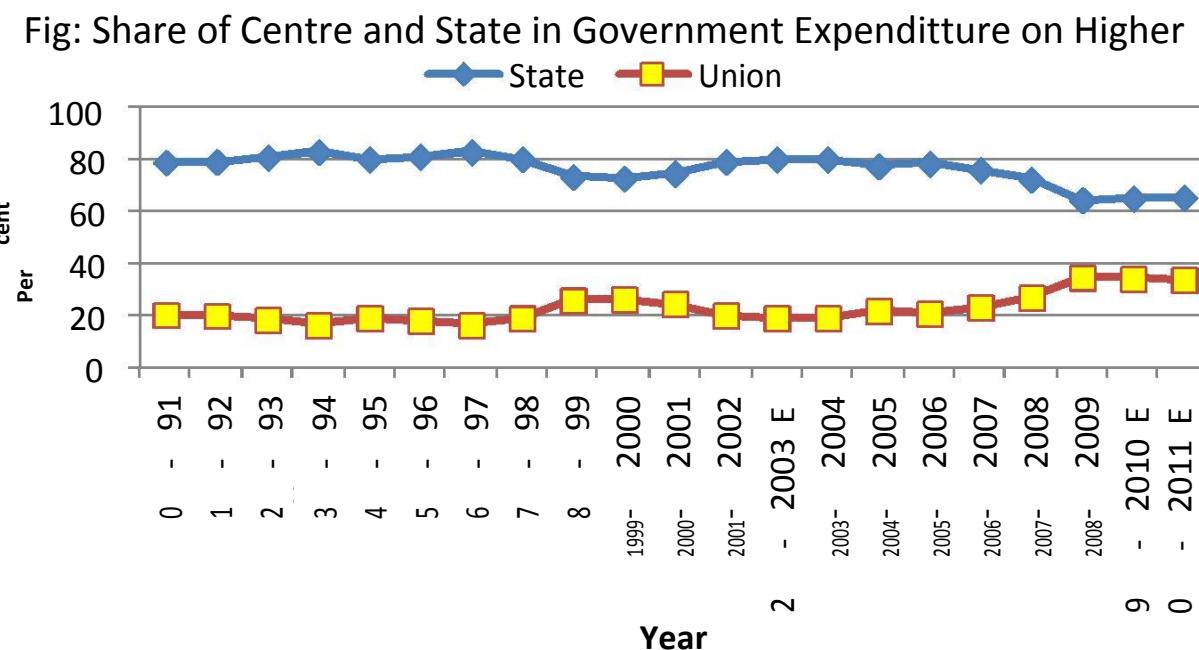
Figure 44: Expenditure on education at a % of GDP



Total expenditure on Higher Education has increased remarkably post independence period. From government expenditure on higher education has grown from Rs. 17crores at the inception of planning to nearly Rs.9000crores in the early years of this decade. Figure 45 shows the expenditure on Higher Education in India as a percentage of GDP during the fag end of the 10th and the 11th Plan period.

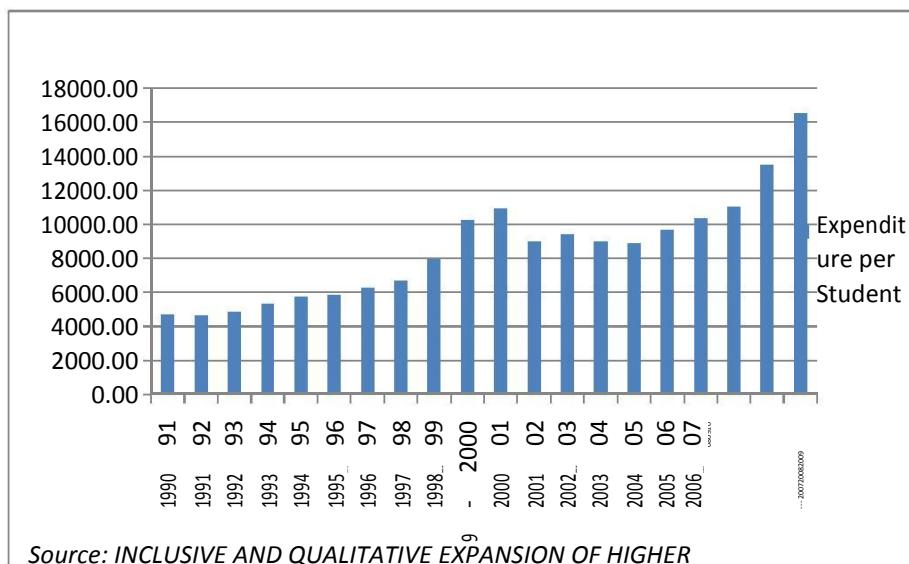
Figure 45: Expenditure on Higher Education in India (As % of GDP)

Public Expenditure on Higher Education has been subject to severe budget squeeze since the beginning of the 1990's. In real terms, Union Government's expenditure on Higher Education declined from Rs.646 crores (in 1993-94 prices) to Rs.559 crores. However, since the bulk of expenditure is incurred by state governments the total expenditure on higher education in the country as a whole did not decline so steeply. Figure 46a and b, shows the total public expenditure on higher education and the share of central and state government towards expenditure in Higher Education. While it is encouraging to see that central government share in public expenditure has increased, there is a decline in states share of public expenditure. Therefore, there is a need for state governments to increase their share of public expenditure in Higher Education.

Figure 46a: Government Expenditure on Higher Education in India**Figure 46b: Share of Centre and State in Government Expenditure**

Public expenditure per student on Higher Education in nominal terms has increased post independence period but the real expenditure has registered a negative growth for the period 1990-91 to 2002-03. However, the trend towards the public expenditure per student in the 11th plan period has been encouraging and needs to be continued for improving quality education.

Figure 47: Cost/ Expenditure per Student: 1990-91 to 2009-10



This section captures the state of the Indian higher education system from the perspectives of equity, access, excellence and finance. Having understood the general shortcomings, experience with the past plans and the magnitude of the challenges that face the country in the coming years, this learning must be built into the new scheme so as to effectively address all the relevant challenges. In the next section we look at an important and possibly the weakest sub-section of the higher education system, the state universities; the means through which higher education is administered and imparted to 94% of the students.

2**State Universities**

"Our university system is, in many parts, in a state of disrepair...In almost half the districts in the country, higher education enrollments are abysmally low, almost two-third of our universities and 90 per cent of our colleges are rated as below average on quality parameters... I am concerned that in many states university appointments, including that of vice-chancellors, have been politicized and have become subject to caste and communal considerations and there are complaints of favoritism and corruption."

— Prime Minister Manmohan Singh in 2007⁵⁸

With the rapid expansion of higher education institutions in India, the role and importance of state universities cannot be understated. Many state universities are in a state of disrepair today; they need greater financial support from the states and center, greater responsibility and accountability for the utilization of funds, reforms in their governance structures, academic and examination reforms and changes in the affiliation structure. Any effort towards improving the higher education system in India cannot exclude the state institutions from its purview. The transformation in state universities and colleges can only ensure that we usher the country towards the goal of "knowledge society". While centrally funded institutions are of a very good quality, they still remain islands of excellence, catering to the knowledge requirements of a few select students. The large mass of students in state sector remains cut off from the quality education excellence, and this trend needs to be reversed.

Of the students studying in public institutions, only 6% (0.5 million) are enrolled in the centrally funded public institutions while the state controlled public institutions cater to about 94% (7.9 million) of the students enrolled. Students studying in public institutions only constitute about 42% of enrollments; the remaining 58% are enrolled in private institutions including aided and unaided (Table 1). Most of the private institutions (especially colleges) come under the state university systems and depend on them for administration, curriculum, examination and other quality related aspects. It is evident that in order to achieve its objectives of access, equity and excellence, given the number of students that state universities cater to the thrust of future plans should be on strengthening state university system. Any new scheme

⁵⁸ Prime Minister's address at the 150th Anniversary Function of university of Mumbai, <http://pmindia.nic.in/speech/content.asp?id=555> as accessed on Sept 16th, 2012

for state universities should necessarily encourage restructuring and reforms in affiliated colleges.

Even as a case is made out in this chapter for allocating greater amount of funds to the State Universities, it is also true that the capacity of the State Universities to absorb funds is low and any new scheme must keep this critical bottleneck in mind. Providing larger quantum of funds cannot be the only solution; reforms in the entire state sector must be attended to simultaneously. Emphasis must be laid on removing the hurdles in fund absorption such as restrictive bureaucratic processes, slow decision making and archaic administrative systems etc. Hence, the scheme must incentivize reform processes in the higher education system as well as the Universities, which can only ensure optimum and timely utilization of funds.

Table 1: Enrollments by types of institutions (in lakhs)⁵⁹

Category	2007-08	2011-12	Increase	Growth Rate (%)
By type of institutions				
Government	68.07 (44.1%)	84.90 (42.0%)	16.83	4.5
Central	3.46 (2.2%)	5.10 (2.5%)	1.64	8.1
State	64.61 (41.9%)	79.80 (39.5%)	15.19	4.3
Private	86.41 (55.9%)	117.10 (58.0%)	30.97	6.4
By degree / diploma				
Degree	133.32 (86.5%)	169.68 (84.0%)	36.36	4.9
Diploma	20.89 (13.5%)	32.33 (16.0%)	11.32	9.1
Total	154.21	202.00	30.9%	5.6

2.1 Funding state universities

The growth in number of state institutions has been lagging in the past few plans. In the XIth Plan, central degree awarding institutions grew at a far greater pace (13%) than degree awarding institutions in states (4.5%). A lot of funds are invested in the creation of central institutions even though their capacity to enroll students is comparatively less and so is their accessibility. It is also worth noting that even though there has been an increase in the number of both state and central institutions, enrollments have not risen in the same proportion. This

⁵⁹ XIIth Five year Plan, Planning Commission of India, New Delhi, 2012

leads to the conclusion that the additional capacity created with new institutions is not being optimally utilized. Thus along with the efforts for increasing access through new institutions, the existing capacities must be fully exploited.

This difference in growth of state institutions (Table 2) also causes disparities in access and equity. Despite the heavy burden of enrollments on state institutions, they have not grown at the same pace as the central institutions. Meanwhile, the vacuum has been filled by private colleges. Though private colleges also increase access, the aims of equitable growth and quality enhancement are not necessarily fulfilled. Commercialization of education has already led to huge distortions in the educational landscape, socially as well as spatially. 80 percent of professional institutions are located in five states, mostly controlled by private sector. Education priorities cannot be left to vagaries of market forces. Commercialization entails that quality education becomes synonymous with affordability. The goals of equity and inclusion, the fundamental pillars of policy making in any democracy, might be the first casualties if unbridled profit making is instituted as a norm for the educational institutions in the private sector.

Table 2: Growth of institutions in the XIth Plan⁶⁰

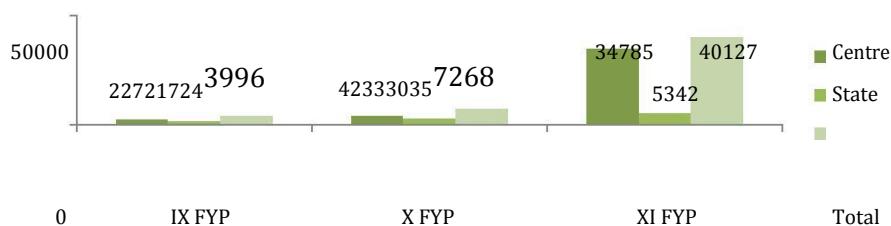
Category	2007-08	2011-12	Increase	Growth Rate (%)
Central Institutions				
Degree Awarding institutions	75	138	63	13.0
Colleges	58	69	11	3.5
Diploma institutions	14	24	10	11.4
Sub total	147	231	84	9.5
State Institutions				
Degree Awarding institutions	253	316	63	4.5
Colleges	9,500	13,024	3,524	6.5
Diploma institutions	2,151	3207	1,056	8.3
Sub total	11,904	16,547	4,643	6.8
Private Unaided Institutions				
Degree Awarding institutions	80	191	111	19.0
Colleges	13,706	19,930	6,224	7.8
Diploma institutions	7,220	9,541	2,321	5.7
Sub total	21,006	29,662	8,656	7.2
Total	33,057	46,446	13,383	7.0

The stark difference between the rate of growth and quality of central and state institutions is largely due to the lack of funds at the state level. As early as 1986, the National

⁶⁰ XIIth Five year Plan, Planning Commission of India, New Delhi, 2012

education Policy⁶¹, while dwelling upon the expansion of higher education, mentions the increasing support that the state will require from Government of India in order to develop new institutions and fund existing ones. Government spending on higher education has grown over the years however but; the growth has not been commensurate with the increase in enrollment and the rise in demand for better quality in education. The expenditure on public education institutions has fallen short of need and created the demand for private investment in education. Over the years, while the central funding has been increasing at an impressive rate, the state funding has not kept in pace with the central expenditure.

Figure 48: Plan funds (in crores) for Center and States⁶²



Kothari Commission was emphatic that most of the responsibility for the support of education should be on government funds and not on the private sector. The commission also argued against over dependence on private sector in education development. It stated, “It is undesirable to regard fees as a source of revenue. They are the most regressive form of taxation; fall more heavily on the poorer classes of society and act as an anti-egalitarian force.” Kothari Commission found that the then existing levels of fee contributions were much higher in India than in the educationally advanced and richer counter such as US and UK. The commission observed, *“in the long run education to some extent is self-financing because the increased incomes generated by a relatively better educated labour force would provide resources for greater allocation to education...additional resource are generated through the process of economic growth.”* The commission also observed, “the education tends to augment the flow of national product, though with some time-lag...”

Drawing from these reports, the Education Policy 1986, as modified in 1992, made a special mention of the immediate need for arresting the growing trend of commercialization of

⁶¹National Education Policy, 1986

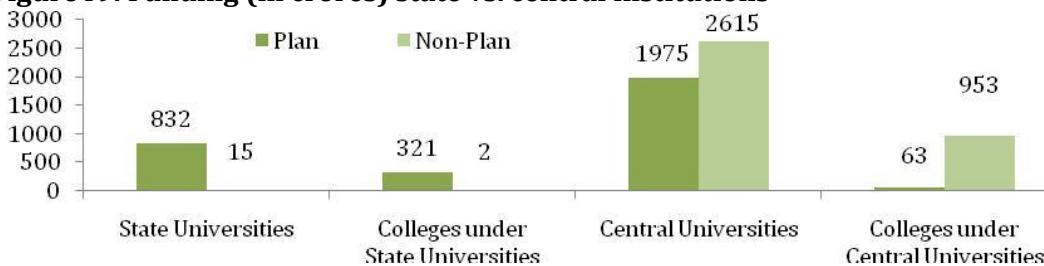
⁶²Planning Commission, as accessed on 24th October, 2012

education. The CABE Committee on Higher Education funding, which submitted its report in 2005, stated- “*... reduction in state funding for higher education, corresponding cost recovery measures and rapid growth in privatization of higher education – all begin to produce serious problems on access, quality, equity and efficiency in higher education.*”

Another aspect of funding is the central allocations to state institutions in comparison with central institutions. State system receives disproportionately small amounts of grants. The Yashpal Committee⁶³ pointed out in its report that even though state universities are a primary responsibility of the states, the development of students in both state and central institutions is a national responsibility and there cannot be any discrimination between the two.

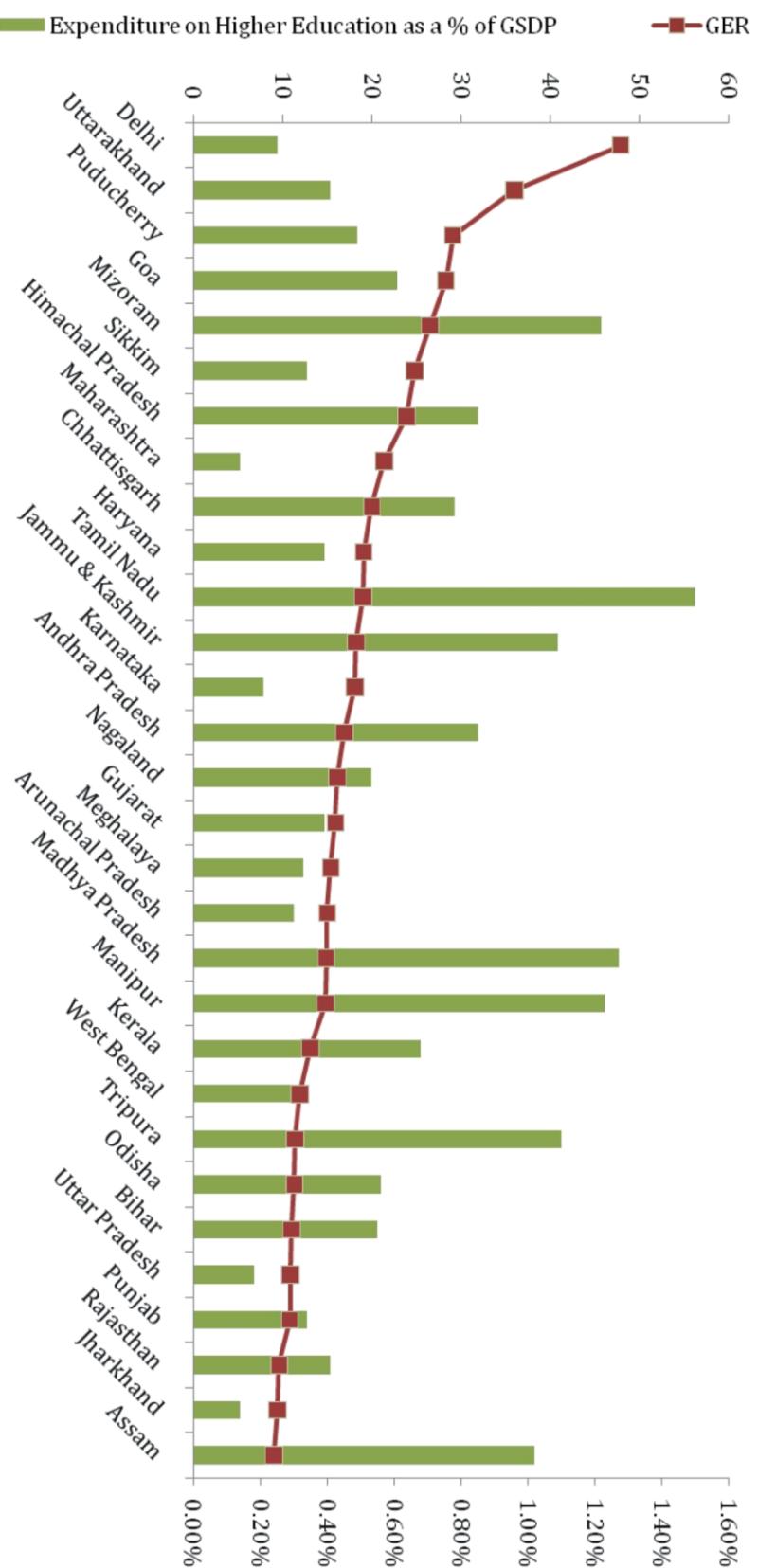
In the last three plan periods there has been clear evidence of the difference between allocations made to central and state institutions. As illustrated in Figure 22 and 23, central institutions have been the main beneficiary of the grants. In the XIth Plan this gap has widened further, the funds to states have only been one-sixth of those given to state institutions.

Figure 49: Funding (in crores) state vs. central institutions⁶⁴



⁶³ Report of ‘The Committee to Advise on Renovation and Rejuvenation of higher education’, 2009

⁶⁴ Annual Report 2010-11, University Grants Commission

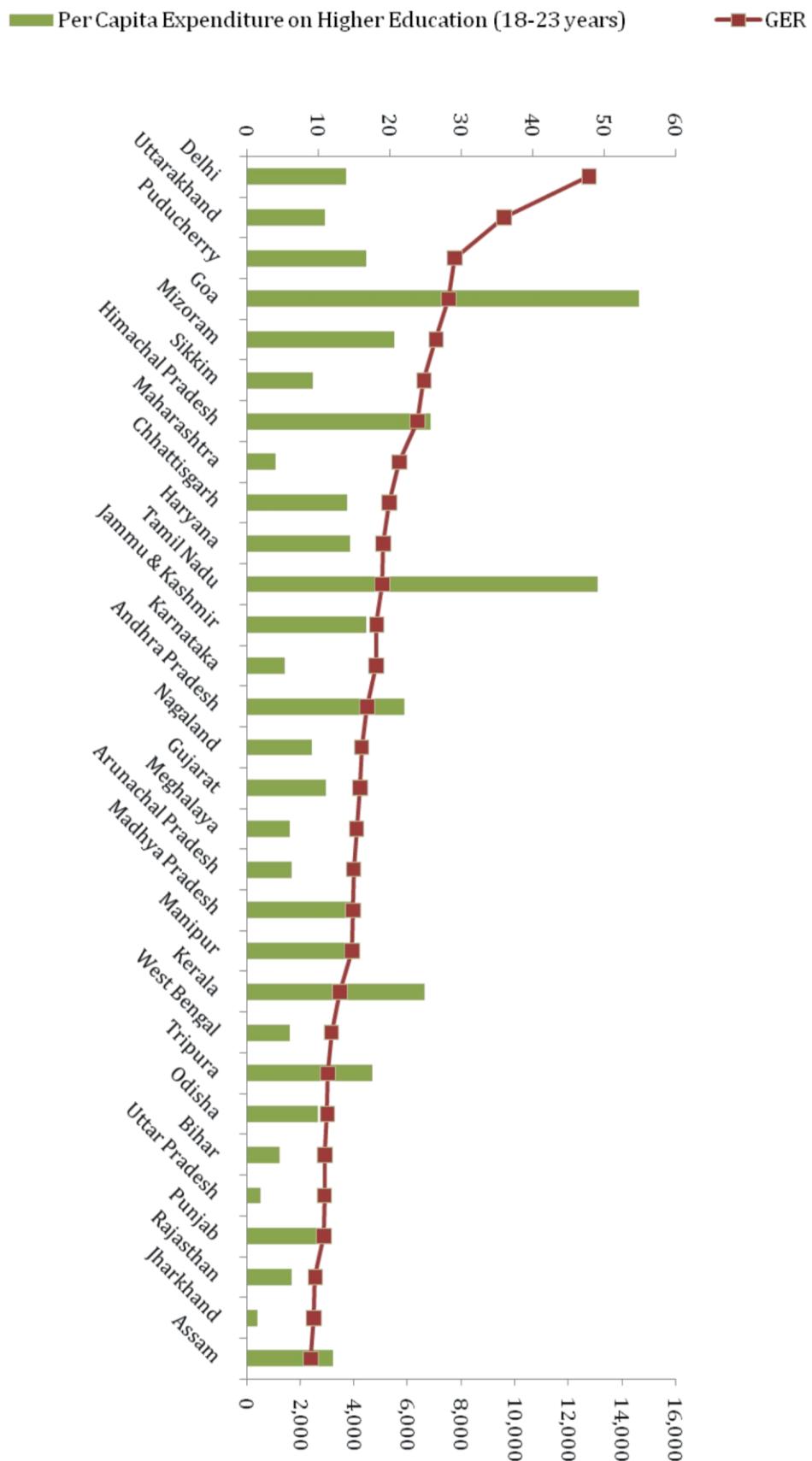
Figure 50: Expenditure on Higher Education as a % of GSDP for States⁶⁵⁶⁵ Refer to Annexure I: States at a Glance

The dwindling support to state institutions can be a recipe for disaster and there is immediate need to make the states realize this fact. In addition to the meager funding to state institutions, the states themselves do not spend adequate proportion of the Gross State Domestic Product (GSDP) on higher education. The average spend is about 0.5% of GSDP with figures as low as 0.14% for Maharashtra and Jharkhand (Figure 50, 51). States of Uttar Pradesh, Jharkhand, and West Bengal have very low GERs and very low % spends on higher education. States such as Maharashtra and Tamil Nadu, which have higher institutional density but low or average spend on higher education, most likely have high degree of private participation in higher education. This again creates distortions in the state Higher Education systems.

States such as Goa, Tamil Nadu, Andhra Pradesh, Kerela, Tripura and Mizoram have shown high per capita expenditure on higher education with reasonable GERs as compared to national average. This may also be because these states have had a history of positive intervention in Higher Education. States such as Delhi, Pondicherry and others have a high GER, while other states such as Maharashtra have a good GER but a low spends on higher education.

The low levels of investments in State Higher Education's notwithstanding, the funding to state institutions and universities is currently done on an ad-hoc basis, is poorly coordinated, and plagued by excessive bureaucracy. Instead of receiving block grants that facilitate better utilization of funds, institutions at times receive item-wise allocations that make it cumbersome to use all the funds. During the 11th Plan (2007-12) a conscious attempt was made by the central government to improve the condition of state universities by making a dedicated allocation of Rs 22,891 crores. However, out of it only Rs 7,652⁶⁶ crores was spent. This points to a lack of absorptive capacity of the state institutions as well as the cumbersome processes for the transfer and utilization of funds.

⁶⁶ XIIth Five year Plan, Planning Commission of India, New Delhi, 2012

Figure 51: Per Capita Expenditure on Higher Education for States⁶⁷⁶⁷ Refer to Annexure I: States at a Glance

Not only the funds themselves are meager; their reach is also very limited. This fact coupled with low levels of monitoring renders the financing completely ineffective. Under the current financing provisions, requisitions are made on a year-on-year need basis without a planned outlook or accountability regarding the use of funds. Lack of a cohesive vision and planned approach is leading to uncontrolled expansion of institutions in some areas while others continue to remain grossly underserved.

Given the limited finances the State Universities have (even after the addition of the allocations that State governments make for higher education), it is interesting to analyze the nature of expenditure made by them. According to the estimates of Ministry of Statistics and Program Implementation (Annexure II), on an average, states only spend 10% of their total expenditure on Capital works and 5% of other categories. The lion's share goes towards paying salaries of the employees of the higher education system. When the system is expanding and crying need of the hour is to create additional capacity to absorb larger number of students, this abysmal allocation on Plan and Capital items must be looked at very critically. This points to the fact that state governments require additional support to improve and strengthen their faculty (given the faculty shortages that the State governments already face) before they can be expected to improve infrastructure and make other capital investments in capacity building.

2.2 Planning and funding at state level

The present system of grant disbursement is archaic. The system that started in 1956 has continued unchanged till now. The grants are not given as block grants; they are scheme and project based. The need for a radical shift in funding criteria has been felt in an acute way. Funding needs to be made more criteria-based and performance based. Instead of allocating funds on the basis of demands made by higher education institutions under specific schemes, normative and performance-linked funding would improve the performance of universities, lead to better utilization of public funds and increase transparency and accountability within the system.

UGC which is the primary fund allocating body to state institutions, is constrained to fund new institutions or even fund the existing ones since Section 12B of UGC Act has to be followed. This creates a vicious cycle inhibiting new institutions to come in states. Section 12B presupposes all facilities and infrastructure to be in place before the funding by UGC begins. But the colleges and universities which lack such facilities are the ones which should be supported first. UGC was created when there were very few institutions of higher learning in the country. It

has become virtually impossible for the UGC to manage and monitor fund disbursements to a large number of institutions. The need today is to create a new system wherein manageable number of units are created in order to ensure proper planning and monitoring of fund allocations and spending.

A system wide planning is required to foster synergies between the state and central spending. The large number of institutions and their wide variety necessitate the use of state as a unit of planning and coordination. State level planning would yield more focused solutions to the problems of access and equity as they differ in nature and magnitude from one state to another. The central initiatives need to be in tandem with the state level plans for improving access, equity and quality. The National Education Policy⁶⁸ had emphasized about the creation of state Councils for higher education for a similar purpose. Though the idea gained wide acceptability at that time, very few states actually went ahead to create these councils. In states where there are no such councils, the decisions about policy and planning are taken at level of bureaucrats or political executive, with no or little representation from academia. Consequently, the entire approach reeks of favoritism, ad-hoc decision making and myopic perspectives.

A comprehensive university reform program needs to be designed and implemented jointly by central and state governments for promoting strategic planning and recognizing performance at the university level for accessing resources. Such a program should address gaps at all levels, spatial, academic and physical infrastructure. It must take into account the quality gaps, institutions-industry linkages, skill provision and curricular up-gradation. It is, therefore, imperative for each state to prepare a comprehensive State Higher Education Perspective Plan, which will effectively assess the needs and requirements of state institutions for a better, equitable and balanced allocation of resources. Currently no state has such a plan, and if the state has such a plan, neither UGC nor MHRD is aware of the same.

⁶⁸ National Policy of Education, 1986

International experience: Funding and Norms**Denmark⁶⁹**

Funding is based on the number of students who pass an exam. Institutions receive 30% to 50% of their funding based on this indicator. For instance, universities receive around \$19,000 per completed bachelor degree graduate within higher technical education (which is classified as medium cost). The disadvantage of this indicator is that institutions may artificially increase pass rates of the exams to receive more funding. The model requires a strong quality assurance mechanism, professional standards among university staff, and/or other funding incentives.

France⁷⁰

Funding is based on the number of students enrolled and 50% of the total budget for tertiary education is invested via formula-based funding. The advantage of the French model is that it is easy to track spending and funding allocation information. The funding criterion is also easy to understand for everyone. On the other hand, the disadvantage for this indicator is the weak incentives for universities to provide quality education and ensure efficiency by avoiding dropouts during the school year and delays in student completion.

Australia⁷¹

Australia uses performance indicators based on The Australian Graduate Survey (AGS), a national survey of newly qualified higher education. Graduate outcomes data forms a core component of a range of performance indicators that providing information on transition of students from study to the labor market. Indicators are designed around graduation rates, graduate destinations, learning outcomes, work readiness, teaching experience, teaching resources, institutional reputation, community engagement etc. Individual Universities sign “Compacts” with the government that include the institution’s larger mission and vision and goals related to teaching, learning, targets of performance funding and research.

⁶⁹Planning Commission, NUEPA, World Bank Report on Higher Education, 2011

⁷⁰ibid

⁷¹Coates, H. Defining and monitoring academic standards in Australian higher education. *Australian Council for Educational Research (ACER)*, 2010, as accessed on October 24th, 2012

England⁷²

The Higher Education Funding Council for England (HEFCE) distributes public money to universities and colleges. The recurrent funding is divided amongst teaching funding and research funding; non-recurrent funding is given for capital projects. The criterion for allotting the funding includes a mixture of the type of institution, number of students, the subjects taught and the amount and quality of research undertaken. Institutions receive most of their funding as a ‘block grant’. They are free to spend this money according to their own priorities within broad guidelines.

2.3 Academic and affiliation issues in state universities

Wide variations exist across and between state universities in terms of basic provisions, infrastructure and faculty. Fund shortage generally contributes to the unevenness in the quality of higher education in state universities. Apart from finances, state universities also have to grapple with bureaucratic processes, inefficient administration, lack of accountability, burden of the affiliation system and political interferences.

Table 3: Universities with largest number of Affiliated Colleges⁷³

University	Number of Colleges
Osmania University, Hyderabad, Andhra Pradesh	901
Pune University, Pune, Maharashtra	811
Rashtrasant Tukadoji Maharaj, Nagpur, Maharashtra	800
Rajasthan University, Jaipur, Rajasthan	735
Bangalore University, Karnataka	687
Mumbai University, Mumbai, Maharashtra	711
Tamil Nadu Teachers' Education University, Tamil Nadu	661
Gautam Buddha Technical University, Uttar Pradesh	614
Andhra University, Andhra Pradesh	614
Rajeev Gandhi Health Sciences University, Karnataka	560
M.L.C National Journalism & Communications, Madhya Pradesh	549
Kakatiya University, Andhra Pradesh	480
Jawaharlal Nehru Technological University, Andhra Pradesh	451
Maharishi Dayanand University, Haryana	448
Kurukshetra University, Haryana	435
Sant Gadge Baba University, Maharashtra	401
Dr. NTR Health Sciences University, Andhra Pradesh	400

⁷² Guide to Funding, Higher Education Funding Council for England, as accessed on October 24th, 2012

⁷³ University Grants Commission, 2012

Barkatullah University, Madhya Pradesh	386
Swami Ramanand Teertha Marathwada University, Maharashtra	370
Rajeev Gandhi Prodyogiki University, Madhya Pradesh	365

Table 3 shows the twenty Universities in the country with the largest number of affiliated colleges. Affiliated colleges enroll about 86.7% of all students and are the mainstay of the higher education system. They enroll 90% of the undergraduate students, over 70% postgraduates and 17%⁷⁴ of doctoral students. From the perspective of the state university, affiliation system is a lucrative option of raising funds as it brings affiliation and examination fees. However, the rampant rise in number of colleges affiliated to universities has deteriorated the quality of higher education significantly. The active university resources and systems are diverted towards management and conduction of exams with consequent dilution of focus on academic quality and research. There is hardly any incentive for the affiliated colleges to undertake any meaningful quality improvement programme in teaching and research.

There are a number of weaknesses in the existing affiliation system. First, the relationship between state university and affiliated colleges is one of administration – affiliation, course recognition, syllabus prescription, and examination. The university departments as source of academic strengthening of college teachers, are generally very weak and unstructured.

Secondly, since a typical affiliating university has to cater to hundreds of colleges, it cannot provide customized curricula to meet the local needs of colleges, but instead offers the same curriculum to all. The academic condition of affiliated colleges also prompts strong resistance to curriculum revision. The university departments and affiliated colleges are then reduced to common, minimal curriculum with no scope for improvement and innovation. One of the schemes of UGC, namely ‘Autonomous Colleges’ scheme does encourage colleges to acquire autonomous status, but there are systemic problems encountered, with the result that only about 400 colleges in the country have acquired that status so far.

In most Universities, the Board of Studies is an important structure, which looks at curriculum related issues. The composition of Board of Studies, therefore becomes very important since the course design and framework is its responsibility. Ideally, the Board of Studies should be different for undergraduate and postgraduate programs and institutions.

⁷⁴ XIIth Five year Plan, Planning Commission of India, New Delhi, 2012

However, in some of the affiliating Universities, there is a single Board of Studies, which caters to both undergraduate and post-graduate programs offered by colleges and Universities. For instance, in case of most Universities in Maharashtra, there exists a single Board of Studies for designing and implementing curriculum changes in colleges and Universities. Members of the Board of Studies are elected as per the provisions of the Maharashtra Public Universities Act and this sometimes results in undergraduate college faculty chairing the Board of Studies, where a post-graduate faculty from a University or even the Chair of a Department from the University is a member and has limited say in the curriculum being designed for the University. As a consequence, faculty in the University Departments has very little say in curriculum design and also setting up of exam papers.

In most affiliated colleges, faculty strength is inadequate and mostly filled with ad-hoc contract faculty. This does not facilitate quality enhancement and continuity. Teaching-learning facilities available at the affiliated colleges are inadequate with very limited access to current literature – books and journals etc. Hence the quality of education suffers further.

The affiliation model separates teaching from assessment and separates research from teaching. A teacher needs to use student assessment in order to adjust his or her teaching to the needs of students and to provide feedback to students on their performance; but the affiliation system envisages that the assessment is done away from the college. These features significantly reduce the accountability for results. The affiliation system also means that research is done at the university while teaching is done at the colleges, so the latest knowledge is not available to those teaching undergraduates, except through the laborious process of curriculum reform. In the same way, teachers of colleges are denied all opportunities of self-improvement, continuous upgradation, and access to resources and research facilities. Students coming through the affiliated colleges miss a whole lifetime of opportunity for all round personality development, access to good faculty, laboratories, libraries and consequently lack both soft and applied skills. This naturally gets translated into lower levels of employability for affiliated college pass-outs.

The state university departments also lack capabilities and the wherewithal to support and strengthen the quality of curriculum and teachers in affiliated colleges. Since university departments are short of faculty, having had no regular recruitment since a long time, they are

forced to manage with minimum faculty – a few seniors and the rest being contract faculty. Quality teaching and research is not possible in such a context.

Learning from other States⁷⁵

Maharashtra and West Bengal (Kumar, 2009)⁷⁶ have embarked on **comprehensive legislative reforms** in higher education. States such as Karnataka are devising strategies of addressing the affiliation issue through a **single university managing both the affiliated colleges and the post graduate and research programmes through separate units**.

Kerala, Andhra Pradesh, West Bengal have robust and effective buffer bodies - **State Council for Higher Education** – to assist the states' higher education departments to re-think the role of the university.

Formation of Councils has been a less positive experience in Maharashtra, where the Council has not met for two years (Kumar, 2010)⁷⁷. However, Dr.Anil Kakodkar, has recently recommended setting up of the Maharashtra State Council for Higher Education and Development (MAHED) as a standalone independent statutory body with appropriate and adequate autonomy.

Finally, the lack of mobility, differentials in salary, retirement age and benefits between affiliated colleges and state universities in relation to centrally funded universities and booming private sector institutions is drawing out the best faculty from state universities. In such an academic environment, the economically blessed and bright students enroll in central universities and private institutions leaving a large mass of students from rural, tribal and underprivileged communities to enroll in state universities (Kumar & S.Parasuraman, 2011⁷⁸). Thus, the present system tends to perpetuate inequities rather than reducing them and the affiliated colleges (public) stand at the bottom of this academic caste hierarchy. This condition is not conducive to producing high quality students capable of contributing to scientific, economic and social development. A key element of State Higher Education reform, therefore, must be to

⁷⁵World Bank Report on Reforms in Higher Education, Madhya Pradesh, 2012

⁷⁶Kumar, B.V., Governance Reforms in State Universities. *Economic & Political Weekly*, 2009

⁷⁷Kumar, B.V., Implementation of the Maharashtra University Act, *Economic & Political Weekly*, 2009

⁷⁸Kumar, B. V. & Parsuraman, S. *Devising Strategies for 12th Plan, Improving Financing and Governance of State Universities*, Tata Institute of Social Sciences, 2011

address the affiliation system as a whole and quality of higher education in affiliated colleges, in particular.

The Yashpal Committee⁷⁹ report talks about the urgent need for improving the condition and quality of affiliated institutions as they have a bulk of enrollments. It is pointed out that good affiliated colleges sometimes suffer due to the bureaucracy at the university level while some good universities suffer because of the limited vision of affiliated colleges and their inability to accept change. The committee suggested that better colleges be allowed to function separately from the university to ‘lighten the load’ of the university in general administrative and examination work for colleges.

The National Knowledge Commission⁸⁰ recommended reforms in the system of affiliated undergraduate colleges. It put forth the idea of creating department-based universities and giving greater autonomy to existing colleges. As a part of his report on higher education submitted on behalf of National Knowledge Commission, Sam Pitroda argued for higher education reforms, adoption of course credit system, decentralization of examination system, internal assessments as well as criteria-based resource allocation for strategic growth in higher education. Another important suggestion was the setting up of the central and state Boards of Undergraduate education to control quality, conduct examinations and reduce the administrative burden of universities in terms of affiliated colleges.

There can be multiple ways of improving the affiliation system. The first option is to reduce the total number of affiliating colleges by encouraging the better performing colleges to become autonomous. The better affiliating colleges could be encouraged, with additional support as necessary, to become approved as autonomous by the University Grants Commission. By becoming ‘autonomous’, a college would gain academic autonomy – and so become responsible for curriculum and assessment aspects – as well as administrative autonomy over its budget, as also becoming eligible to receive funds directly from UGC. An autonomous college does not, however, have the right to award a degree. Hence, autonomous colleges must be encouraged to develop into Universities. In 2011, there were about 371⁸¹ autonomous colleges in the country; such colleges can be groomed over time into Universities

⁷⁹ Report of ‘The Committee to Advise on Renovation and Rejuvenation of higher education”, 2009

⁸⁰ National Knowledge Commission Report, 2007

⁸¹ Annual Report 2011, University Grants Commission

that share resources and expertise with the colleges surrounding them. A good example of the same is the Presidency College, Kolkata that was granted University status.

The bigger task, however is to improve the quality of education provided in the larger number of colleges. One option is to establish a specific unit of the proposed State Higher Education Councils or the affiliating university to monitor and built capacity in these colleges. Similarly, it would be possible to establish one University exclusively for affiliations, (or a dual Model for a few Universities like in the case that is being proposed in Karnataka) with the remaining become exclusively teaching/research institutions. However, such initiatives should not defeat the very concept of university, as laid down by the Radhakrishnan Commission.

One of the other models of managing the problem of affiliation is to have the University divided into several campuses with each having colleges around its vicinity affiliated to those campuses. This model is being currently discussed in Maharashtra in the case of University of Mumbai. Such a model would help in ensuring that colleges are regularly monitored for quality. A possible suggestion that the more advanced colleges “mentor” the newer ones could also be examined by the states.

As noted above, a key constraint on reform of the affiliation system is that affiliating universities receive a significant proportion of their revenues from affiliating colleges. It therefore implies that the issue of financing of state universities must also be considered alongside structural reforms.

2.4 Governance issues in state universities

There have been many concerns regarding the internal governance and administration of universities. There are multiple points of influence by external agencies in internal bodies of the universities, notably in the Executive Council and the Finance Committee. The Chancellor or representatives of the state Government nominate the external people that undermine the administrative power of the Vice Chancellor in two critical bodies, notably the Executive Council and the Finance Committee, thus hindering the smooth functioning of the university. Further, it creates multiple points where consensus between external stakeholders (Chancellor and government) needs to be reached.

Different states and central Government follow different patterns for selection of Vice Chancellors, which require some deliberation. How a university, especially a new one, evolves and grows is dependent upon the leadership and vision of person who heads it. Hence the

importance of the role of the first Vice Chancellor of the university cannot be overemphasized. Also, subsequent appointments need to be made with great care, after using appropriate and fair search methods by credible people. It is therefore imperative that prescribed procedures in these matters are adhered to, in order to ensure transparency and selection of deserving candidates. Selection of Vice Chancellors should be a process in which there should be least political interference, if not nil. But the trend in some of the states is quite disturbing, wherein the selection of VCs is made through considerations other than purely of merit and leadership qualities.

The higher education sector is greatly in need of professionals to manage the administrative affairs of universities and institutions. Like the health sector, with professional cadre of hospital management and administration, there is a need to develop professionals for the higher education sector also. Given the heavy involvement of the government in the sector, the option of outsourcing certain functions has not been explored traditionally. However, it is time to look at the option of bringing in specialized agencies to undertake functions which are not the core functions of higher educational institutions. Academic leadership is another area of deficiency; there are not enough number of academicians who have been groomed to take positions of responsibility in institutions. Academic Staff Colleges in states may have to be rejuvenated and strengthened to bridge this gap.

Autonomy must also simultaneously inculcate a greater sense of responsibility and accountability. This can only be ensured if the institutional and systemic reforms are carried out within the university system. Therefore, while minimizing external influences on the university governance, the internal process and mechanisms need to be made more democratic and transparent. The students, faculty and even non-teaching staff, parents etc must become partners and participants in the decision-making processes. The need is to adopt a systematic and well-calibrated program, which encourages competition amongst institutions for excellence and prestige.

2.5 Autonomy of state universities

There are generally three main forms of autonomy: academic, financial, administrative. While the universities currently have some level of administrative autonomy, there is a need to devolve more authority to the universities in the areas of academic, finance and human resources. For example, the universities should be recognized as experts in academic matters and be given the authority to take all decisions including curriculum and examinations. In the

areas of finance, the universities could be given autonomy to manage their own budgets including sourcing their own funds and authorization to keep them subject to well-defined audit and reporting parameters. In the areas of human resources, it is proposed that universities should be allowed to select and recruit their own staff (both academic and non-academic). This gives the university more flexibility and enhances its effectiveness and competitiveness; leading to an overall improvement in the quality of education.

In essence, it can be said that reforms in the entire state higher education sector are long over-due and any further delay can only exacerbate the glaring inefficiencies in functioning of state institutions and derail the entire process of transformation of state higher education sector. The new scheme is designed to spur the states to undertake all these reforms in a holistic manner.

3

Rationale for Strategic Intervention

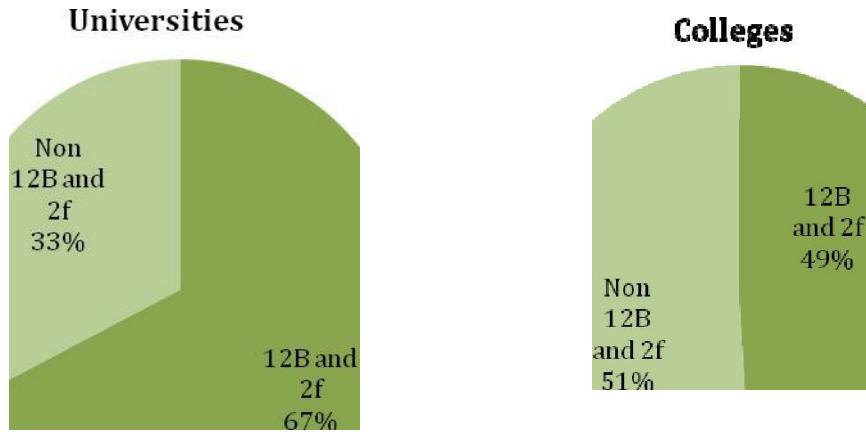
The success of Sarva Shiksha Abhiyan (SSA) and Rashtriya Madhyamik Shiksha Abhiyan (RMSA) has led to greater demand for higher education. The discussions in the previous sections regarding the condition of state higher education institutions, their importance in the higher education system and the limitation of University Grants Commission point towards the need to undertake strategic interventions for the improvement of higher education with respect to state higher education institutions. There is a need to establish a new institutional mechanism, which makes every stakeholder a partner in the process of higher education transformation.

The current method of funding state universities and colleges through the UGC route needs to be reviewed. While the state Governments feel that the money directly flows to universities and College without the knowledge of the states (therefore they have no reasons to monitor them), the universities and colleges feel that very often the procedural bottlenecks and red-tapism lead to enormous delay in the disbursement of funds and resultant under-utilization of resources at the institutional level. There has also been by and large an issue of a lack of absorptive capacity at the institutional level, which often results in the resources not being utilized completely. Thus, there is a need for a scheme that focuses on and incentivizes governance reforms, process re-engineering and related issues at the state and institutional level. There are multiple mechanisms in extant schemes that can be used as models for improving the funding and monitoring processes (such as the Pradhan Mantri Gram Sadak Yojana, National Rural Health Mission and other CSS models), the financial devolution scheme⁸² and the three tiered outcome quality monitoring method which will help in improving control and reduce transaction costs.

UGC can only fund those HEIs, which are 2f and 12B compliant. As of 31st March 2011, the higher education sector consists of 623 universities and 33,093 central/state/private colleges. 171 Universities of these are not covered under Section 12B of UGC Act and only 6,417 colleges are eligible for central grants under 12B and 2f⁸³ (Figure 52). That leaves a significant number of colleges and universities not eligible for UGC grants. A new scheme is really needed to ensure that all colleges and universities (public funded) must receive the requisite state and central support in order to reach critical levels of efficiency and infrastructure.

⁸²XIIth Finance Commission

⁸³University Grants Commission Annual Report, 2010-11

Figure52: Coverage of colleges and universities by UGC

Unfortunately many of the institutions in the non-12B and 2f category are devoid of any resources from the UGC, thereby making them financially crippled despite the fact that many of them contribute significantly to the triad principles of access, equity and excellence. Any support to this set of non-12B and non-2f institutions will require a change in the statutory provisions in the UGC Act, for them to be eligible for grants. Such a process is time consuming since it is legislative in nature. With the XIth Plan already in operation, it is desirable that support to the entire state university System may be provided by this proposed new mission mode project, while a long term solution would be to reform the statutory regulatory bodies at the national level.

The Twelfth Plan document also underlines the need to provide significantly more central funding to State higher education.

"There will be a strategic shift in the manner in which State universities and colleges, which account for 40% enrolment, will be funded and supported by the Central Government. In place of central funds directly or via the UGC for individual universities and colleges across different States, central funding would be done for the States higher education system as a whole. This is essential for four reasons. First, the circumstances and level of development of higher education varies widely across the states. Due to this variance, different States require different types of interventions and support. Second, the Indian higher education is now too big for effective planning and coordination, State higher education systems are more manageable units. Third, it is seen that mobility of students across the States is minimal except for top-tier"

institutions that attract students from all over the country or North-eastern region, where students in large numbers move out for higher studies. Finally, limited central funding could be strategically used as a powerful tool for change in chosen matters and central funding could stimulate competition between states. Thus, the States are effective units for planned and coordinated development of higher education.

The central funding would be used to induce the States to increase government spending on higher education. States would be encouraged to fill up large teacher vacancies in the state institutions. This would be used to reduce gaps in higher educational attainments; create enabling environment to undertake academic and governance reforms which includes reforming affiliating college system to promote quality and excellence, promote clustering approach, make provision for common facilities for institutions. The plan should specifically address the problem of faculty shortages and create enabling environment for upgrading the curricula and promoting innovative pedagogic practices. This plan should lay foundation for high quality state universities and colleges based on performance linked competitive grants. Such a plan should take a holistic view and take within its purview central as well as private institutions, so that all three segments of higher education within the state can develop to bring about quantifiable change. By encouraging private investment including public-private partnerships, encouraging norms-based funding and internal resources generation, the plan should build on a financially viable model.

Central funding should be based on ‘State Higher Education Plans’ prepared jointly by the State Government (involving the State Council for Higher Education). The State must present their plans that encompass the different segments of their tertiary education, including private education. The funding may be done through RUSA. This should have a clear focus on ‘Triple Es’ – Expansion, Equity and Excellence through academic and governance reforms”⁸⁴.

The Committee headed by Sri B. K. Chaturvedi, constituted by Planning Commission had recommended amalgamating plethora of centrally Sponsored Schemes (CSSs) presently running concurrently in order to harmonize the objectives and also to achieve economies of scale. It had recommended the integration, also keeping in mind the fact that different institutional structures and administrative set ups were being created which at times led to parallel schemes aiming at similar objectives. Hence, the Planning Commission had requested to Ministry to examine the possibility of amalgamating different CSSs catering to similar objectives. The new CSS, discussed in the subsequent section, will be an instrument to harmonize national programs

⁸⁴ XIIth Five Year Plan, Planning Commission, 2012.

for funding state universities and colleges through an over arching umbrella scheme in CSS architecture.

Further, the current provision as per the law does not allow UGC to fund State Governments or a body created by them, except educational institutions. Given that many state Governments have been advocating need for greater involvement in the process of monitoring the functioning and performance of state universities and colleges, it may be advisable to route the resources through a state mechanism for effective monitoring and implementation. This also makes eminent management sense, since managing such a large higher education system in two-tier mode is a near impossible proposition. It is now imperative for the central higher education strategy to make states equal partners in planning and monitoring.

The UGC since its creation has expanded its scope and today, from 30 Universities in 1950-51 to 564 universities in 2010-11 (634 as of February, 2012) and 7,000 colleges in 1950-51 to 33,023 colleges 2010-11⁸⁵. UGC also gives grants under schemes; currently it has about 62⁸⁶ schemes meant for higher education institutions. Dealing with so many institutions through a plethora of schemes is a management challenge and it leads to underutilization of funds. The operationalization of the new scheme should be in such a way that it streamlines and harmonizes with the activities of the UGC. The institutional framework needs to be structured in order to ensure that there is UGC's role is not undermined, but rather UGC is made as an equal partner in the entire process. Therefore UGC's role in the new CSS needs to be clearly defined and institutionalized.

Affiliation reforms and governance reforms in the state universities have emerged as an urgent need for improvement of quality in education. So has the belief that for better utilization of funds, the funds must be linked to measurable performance indicators. The current system does not allow this sort of incentivization to institutions or states which encourages them to carry out some base line reforms and follow best practices as necessary pre-requisites to be eligible to access at least part of the central funds. This is a feature of some recent CSSs like Jawaharlal National Urban Renewal Mission (JnNURM).

⁸⁵ University Grants Commission, Higher Education at a Glance, February 2012

⁸⁶ <http://www.ugc.ac.in/page/XI-Plan-Guidelines.aspx#univb> as accessed on September 28th, 2012

Strategic Shift in central funding for State Higher Education

- Enable a systemic view and benefit from synergy in spending by the central and state government
- Based on comprehensive State Higher Education plans that uses interconnected strategy to address issues of access, equity and excellence together
- Linked to academic, administrative and financial reforms in State Higher Education Sector
- Planned expansion linked to the demand from the school sector on one hand and the needs from the economy and society on the other

As mentioned earlier, the growth of degree granting institutions in State public sector has been only one-third of the same growth in Centrally funded institutions. One reason could be that States are not getting any support from UGC for setting up new institutions: consequently there is no incentive to allocate resources and plan for new public funded institutions. The CSS on incentivisation was precisely meant to address this lacuna. However, it could not be sanctioned in the XIth Plan.

4

Rashtriya Uchchatar Shiksha Abhiyan

Keeping in view the recommendations of the Planning Commission, the need for reforms in state higher education sector, using central funds in a strategic manner to ensure holistic planning at the state level and enhancement of allocations for the state institutions, a new centrally sponsored scheme is proposed. The scheme would be spread over the two plan periods (XII and XIII), and would be an over arching scheme for funding the state universities and colleges to achieve the aims of equity, access and excellence. This scheme is called Rashtriya Uchchatar Shiksha Abhiyan (RUSA).

- It is an umbrella mission mode project scheme that would subsume other existing schemes in the sector.
- The central funding would flow from MHRD/UGC to institutions, through State Councils of higher Education.
- The funding to states would be made on the basis of critical appraisal of state plans of higher education. The plans would address each state's strategy to address issues of equity, access and excellence in higher education.
- All funding under the RUSA would be norm based and future grants would be outcome dependent. Certain academic, administrative and governance reforms will be a precondition for receiving funding under RUSA.

Centre-State funding to will be in the ratio of 90:10 for North-Eastern States & J&K, 75:25 for Other Special Category States (Sikkim, Himachal Pradesh and Uttarakhand) and 65:35 for Other States and UTs. Funding will be available to even private-aided institutions, subject to their antiquity, for permitted activities (not all) based on certain norms and parameters, in a ratio of 50:50.

4.1 Goal

The objectives of RUSA would be to achieve the target of GER of 30%, which the central Government has set for itself, by the year 2020. Gol aims to improve the quality of state universities and colleges and enhance existing capacities of the institutions to become dynamic, demand-driven, quality conscious, efficient and forward looking, responsive to rapid economic and technological developments occurring at the local, state, national and international levels. The salient objectives of the scheme can be enumerated as follows:

- Improve the overall quality of existing state institutions by ensuring that all institutions conform to prescribed norms and standards and adopt accreditation as a mandatory quality assurance framework.
- Usher transformative reforms in the state higher education system by creating a facilitating institutional structure for planning and monitoring at state level, promoting autonomy in state universities and improving governance in institutions.
- Ensure academic and examination reforms in the higher educational institutions.
- Enable conversion of some of the universities into institutions of excellence at par with the best in the world.
- Create opportunities for states to undertake reforms in the affiliating system in order to ensure that the reforms and resource requirements of affiliated colleges are adequately met.
- Ensure adequate availability of quality faculty in all higher educational institutions and ensure capacity building at all levels of employment.
- Create an enabling atmosphere in the higher educational institutions to devote themselves to research and innovations.
- Expand the institutional base by creating additional capacity in existing institutions and establishing new institutions, to achieve enrolment targets.
- Correct regional imbalances in access to higher education by facilitating access to high quality institutions in urban & semi-urban areas, creating opportunities for students from rural areas to get access to better quality institutions and setting up institutions in un-served & underserved areas.
- Improve equity in higher education by providing adequate opportunities of higher education to socially deprived communities; promote inclusion of women, minorities, SC/STs and differently abled persons.

4.2 Scope

Project will support all state universities and colleges (Both 12B and 2f and non-12B and non-2f) from all states and Union Territories (UTs) across the country. Subject to eligibility, an estimated 316 state universities and 13,024⁸⁷ colleges will be covered under this initiative to improve the learning outcomes and employability of the Graduates and scaling-up research, development and innovations. The project will also support these institutions to improve their

⁸⁷ XIIth Five year Plan, Planning Commission of India, New Delhi, 2012

policy, academic and management practices. While public funded colleges and universities would be eligible for all the components, the private aided colleges would be entitled to some components (including infrastructure support) but the funding ratio would be 50:50. Funding to such colleges would be decided based on their antiquity and relevance. Funds would be provided both for infrastructure as well as for quality improvement. Each institution will have to prepare a perspective plan for all the components, which will be then aggregated at the state level, after imposing a super layer of state relevant components.

The project would also enable and empower the states to develop sufficient capabilities to plan, implement and monitor the higher education sector. Each state must undertake a Baseline Survey (as illustrated in the Institutional and State Plan templates) followed by preparation of state perspective plans for higher education, which would be further broken down into annual plans. These annual plans will constitute the basis for determining the funding to states. The plans would have mainly two components, state component and institutional plans (aggregated). RUSA will support the states to create new systems and processes.

4.3 Approach

RUSA will fund the institutions under a few key components. The yardstick for deciding the quantum of funds for the states and institution will be the norms that would reflect the key result areas (access, equity and excellence). The State plans will capture the current position of the states and institutions on the basis of these norms as well as the targets that need to be achieved. The State Higher Education Council (discussed in following sections) will undertake this process of planning and evaluation, in addition to other monitoring and capacity building functions. The State Higher Education Councils will be the key institution at the state level to channelize resources to the institutions.

In order to realize the intended outcomes, certain prior commitments have to be made by the states towards reform processes. Some of these conditions will be in the nature of a-priori and non-negotiable interventions, i.e., commitments made by the states as well as institutions, for them to become eligible for funding under RUSA. These prerequisites include academic, sectoral and institutional governance reforms, creation of State Higher Education Councils, state accreditation agencies funding commitments by states, filling faculty positions (or a commitment to do so in a fixed time frame) etc. Under the scheme an initial, preparatory amount can also be provided to the State government to prepare them for complying with the a-priori requirements. Once eligible for funding under RUSA after meeting the prerequisite

commitments, the States will receive funds on the basis of their achievements on the norms. Future funds flows would be determined based on outcomes and achievements against the targets. The emphasis would be not only on physical output, but also on the intended outcomes.

4.4 Strategic Focus of RUSA

The need for strategic funding of State institutions must ensure that the issues of quality and access are addressed in an equitable manner. This would entail encouraging the States to prepare perspective plans duly keeping the following aspects in mind:

- Spatial and regional planning after due mapping
- Programme and discipline planning
- Mandatory accreditation and quality improvement
- Reforms – governance and academic
- Infrastructure saturation
- Review of the affiliation system
- Transparent and norm-based funding
- Outcome-based reimbursements
- Faculty planning
- Equity interventions
- Focus on research and innovation

The broad components of RUSA, therefore, would be creation of new universities, new engineering colleges and new degree colleges by the State Governments. Reforms in the areas of governance of universities, academic and examination reforms and affiliation system of State universities would be another important component of the scheme. The details are discussed in the succeeding Sections of the Report. RUSA would also focus on capacity expansion through increase in intake of new degree colleges, infrastructure improvement of universities and colleges. The objectives of RUSA would be achieved through need-based and customized equity interventions, quality improvement programmes, incentivizing institutions to apply for and obtain accreditation. Faculty issues would be addressed through creation of new posts, faculty improvement programmes.

Figure53: The approach to RUSA

4.5 Strategy

The project will be implemented through the Ministry of Human Resource Development (MHRD) of the Government of India as a “Centrally Sponsored Scheme” with matching contribution from the State Governments and Union Territories (UTs). Since five year time frame is not advisable for such an ambitious project, the project will be spread over two plan periods of 12th and 13th plans. MHRD and states will share the project cost. Project cost in the public funded institutions (12B and 2f as well as non 12B and non 2f) for all sub-components will be shared between the central Government and state governments in the ratio of 90:10 for North-Eastern States & J&K, 75:25 for Other Special Category States (Sikkim, Himachal Pradesh and Uttarakhand) and 65:35 for Other States and UTs. Funding will also be provided for private-aided institutions, for permitted activities based on certain norms and parameters, in a ratio of 50:50. The states would be free to mobilize private sector participation (including donations and grants through philanthropy) through innovative means, limited to a ceiling of 50% of the state share.

A set of eligibility criteria for states will be enforced to achieve a high and sustained impact of the project. The criteria will seek to give the states and project institutions adequate decision-making powers that will enable and encourage them to deliver quality education and undertake research and innovation in an efficient manner. Primary endeavour is to transform

the Governments' traditional role of input-control towards a role of focusing on outcomes, and incentivizing improvements in higher education.

The project will require the project institutions to implement academic and non-academic reforms for their self-conceived development programs that focus on quality and relevance, excellence, resource mobilization, greater institutional autonomy with accountability, research and equity.

The project will lay major emphasis on monitoring and evaluation. The prime responsibility of monitoring will lie with the institutions themselves. The management structure at the Institutional level i.e. the Board of Governors (BoG) will monitor the progress of Institutional projects on a regular basis and provide guidance for improving the performance of institutions in project implementation. The information from project institutions will be collected through a scalable web-based Management Information System (MIS). State Governments will also regularly monitor and evaluate the progress of institutions. The Government of India will conduct annual reviews of the project with assistance from the Project Appraisal Board in MHRD. The monitoring will be based on action plans prepared by each project institution and achievements made on a set of norms, which are defined in the Institutional Development Plans. The monitoring will focus on implementation of reforms by institutions, achievements in project activities under different components, procurement of resources and services, utilization of financial allocations and achievements in faculty and staff development and management development activities.

4.6 Components of RUSA

RUSA is envisaged as a prime vehicle for strategic funding of state institutions so as to ensure that issues of access, equity and quality are addressed in an equitable manner with the state as a composite unit of planning. The following are the primary components of RUSA that capture the key action and funding areas that must be pursued for the fulfillment of the targets:

1. Creation of new University and Colleges
2. Converting existing Colleges/cluster of colleges into Universities
3. Expansion of courses and disciplines (with special focus on inter and cross disciplinary learning)
4. One Model College in each district of the country by creation/upgradation
5. Research and innovation grants/funds- one University to be made Research University
6. Creation of State Higher Education Councils

7. Creation of Accreditation agencies
8. Infrastructure upgradation of existing institutions with special focus on quality and equity (e.g girls hostels, toilets, libraries and laboratories)
9. Expansion of quality distance learning programmes and improvements in usage of ICT for leveraging learning efforts.
10. Establishing Management Information System
11. Faculty support – recruitment and capacity building
12. Administrative/ governance reforms
13. Academic and examination reforms
14. Affiliation reforms (target being less than 100 colleges for each university)
15. Leadership development of Educational Administrators

The broad components of RUSA therefore would be creation of new universities, new engineering/professional colleges and new degree colleges by state Governments; reforms in the areas of governance of universities, academic and examination reforms. Reforms in the affiliation system of state universities would be another important component of the scheme. RUSA would also focus on capacity expansion through increase in intake of new degree colleges, infrastructure improvement of existing universities and colleges. The objectives of RUSA would be achieved through need based and customized equity interventions, quality improvement programs, incentivizing institutions to apply for and obtain accreditation. Faculty issues would be addressed creation of new posts, faculty improvement programs.

Equity interventions are being built into the scheme rather than as stand alone, low impact interventions. The following components would address the equity issues in a more holistic and integrated manner, thereby making a significant impact on enrolment facilitation of deprived and marginalized sections:

- ⌚ Girls Hostels and girls toilets
- ⌚ New hostels wherein 50% of capacity would be used for marginalized sections
- ⌚ Converting existing buildings into fully disabled friendly environs (e.g. ramps, tactile pathways)
- ⌚ Special facilities/equipments of disabled (e.g computers, lab equipments)
- ⌚ Model colleges in each district
- ⌚ Special innovative programmes for focus groups and ODL strategies

4.7 Guiding Principles of RUSA

RUSA is structured on certain inviolable guiding principles. These tenets constitute the foundational premise and all the decisions taken under the scheme must be guided by these foundational principles. It is necessary to list these principles upfront so as to ensure that this scheme does not degenerate into some kind of infrastructure support scheme. The states are expected to keep these principles as guiding posts while formulating their state plans and planning their strategies.

4.7.1 Performance based outlays and outcome based reimbursements

The cornerstone around which RUSA is designed is that the states and state institutions will be funded on the basis of their performance on the targets mutually agreed to between the states and the center. The funds given to a state will be linked closely with the outcomes it can achieve in the sphere of higher education. These results and parameters of performance will be defined through norms that will focus on key areas of equity, access and excellence.

4.7.2 Incentivizing and dis-incentivizing

RUSA will also be using the principles of incentivizing desirable actions of states and institutions and dis-incentivizing the undesirable actions. Not only will compliance of rules and fulfillment of norms be supported by incentives, non-performance or non-fulfillment of prerequisites and norms will invite sanctions/penalties/reduced allocations for states and institutions. This is intended to make these scheme not only demand driven, but also competitive. The states and institutions will be encouraged to compete with each other in order to reap benefits of competition based formulaic grants.

4.7.3 Apolitical decision-making

Another basic tenet of RUSA is that the decision-making regarding the center's allocations to various states will be done in an unbiased and apolitical manner, on the basis of performance of states on the predefined norms. The process of decision-making and its result will be transparent and the methods of decision-making will be impartial. It is expected that states also exhibit the same alacrity while planning and ushering governance reforms at the apex level. It is expected that selection of leadership positions in state universities would take into account the imperatives of merit and performance alone and be divorced from the ad-hoc, politically expedient decisions.

4.7.4 Disclosure based governance

4.7.4 Disclosure based governance

Both the institutions and the states must have full disclosure policy in terms of their decision-making and outcome achievements. Disclosure based governance must be followed not just by the RUSA authority but also by the states councils and institutions that come under it. RUSA envisages a higher education system that has a greater participation of all stakeholders, where the institutions are responsible for their quality not just to the regulatory authorities but also to the students, parents and the society. A policy of full disclosure and clean governance are the first steps towards establishing such a system of higher education. This policy alone can curb the growing ill effects of crass commercialization in education sphere.

4.7.5 Autonomy

Autonomy is sine qua non for quality and accountability. The Radhakrishnan Commission, Kothari Commission, NKC and YPC have all stressed the need for universities to be autonomous entities. RUSA will aim to operate in such a way that greater autonomy of institutions and states in terms of decision-making is facilitated. The states and institutions are expected to be guided by the principles laid down under RUSA and to achieve the objectives of greater equity, access and excellence. The day-to-day functioning as well as the approach they adopt to achieve these goals will be decided by the states and institutions. This principle is of special importance as it also applies to the relation between states and the institutions. Institutions of higher learning such as Universities and colleges must be given greater autonomy, accompanied by accountability measures, for the creation of more dynamic, agile and goal-oriented institutions. This scheme is unique in the sense that it does not lay down any prescriptions, it only lays down the goals and objectives. The states and institutions will have full liberty to plan specific interventions depending on their special needs and requirements.

The issue of autonomy is crucial to the growth and development of higher education. Autonomy has been a subject of discourse in the Reports of the Commissions and Committees set up from time to time, since our independence, to review the system of education and to initiate the needed reforms and innovations. A study of such Reports not only shows expression of sensitivity towards the erosion of the principle of autonomy in the academic institutions but also the overall environment of lack of accountability in the higher education system in the country. It is acknowledged that there is an interesting interplay between the issues relating to autonomy and accountability and it is not easy to separate the two.

Higher education system in India covers a wide spectrum of institutions. On the one end, we have premier educational institutions like the Indian Institutes of Technology (IITs), Indian Institutes of Management (IIMs), old and established Central and State Universities, on the other, we have some universities established in the private sector which are in their formative years. The issues of autonomy and accountability relating to all these institutions ought to conform to the same set of norms which are essentially required for achieving intellectual excellence in the growth and development of knowledge.

Autonomy broadly emphasizes the freedom to function to achieve academic excellence and to administer the institution through its own rules and regulations. The university autonomy should percolate down to the various organs of the university system. The university autonomy in the present context is not absolute as it has to function within the regulatory framework enforced by the State as the university is established by an Act of Parliament or State Legislature, which sets the limits of its autonomy. The objectives, functions, governance structures and powers of different functionaries and bodies are enunciated in the Act itself which limits the scope of autonomy to function in the absolute sense. This may call for revisiting the Acts of the universities to provide for autonomy in the various facets of their functioning.

Autonomy of university cannot be and should not be delinked from its accountability. A university is accountable to the society, future of the students, and future of the country. At another level, the university has also to be accountable to the generation of new knowledge and establishment of truth. The society has to put in place appropriate mechanisms to ensure enforcement of the norms of accountability. Each university is under obligation to ensure that it does what it is expected to do in the discharge of its commitments towards the responsibilities entrusted to it and uses the resources provided in a responsible manner to ensure the delivery of outcomes of the tasks undertaken.

The institutional autonomy lies principally in the fields namely, selection of students, appointment and promotion of teachers, determination of courses of study, pedagogy, assessment, areas of research and use of resources. Appointment and promotion of teachers should be based on a nationally determined transparent set of criteria, associating persons of eminence with the process of selection. The determination of courses of study, methods of teaching, and the implementation of evaluation procedures are best left to the academic expertise of the universities. Identification of areas and problems of research which can elevate the status of basic and fundamental research should be undertaken as priority while not ignoring areas of research which

lead to solution of critical problems of concern to the nation. Resources of the universities should be suitably apportioned to the prioritized areas of study identified by the university itself.

Any uniform prescription for admissions applied to all universities in such a vast country as ours is likely to put them in difficulty. Though the Centre may evolve a national system of entrance examination for various common programmes, the individual universities may be given a free hand to join it or to conduct their own entrance examinations.

4.7.5.1 Levels of University Autonomy

Administrative: The levels of autonomy in the higher education system spans institutional administration, including the Vice-Chancellor, Registrar, Finance Officer, Controller of Examination, Governing Bodies of the University, Departments of the University, teachers and students. Universities should not become administration or administrator oriented. The principal function of the administration is to serve the academic interests of the university. Universities should be visualized as an integrated community in which the teachers are, as it were, 'senior scholars', the students are 'junior scholars' and the administration is a service agency to both. There is too much centralization in the process of decision making in the universities. The governance structures should be such as are conducive for the preservation of autonomy. They should have enough space for consensus making on the basis of discussion and debate. The focus should be to develop such conventions as would largely shift the centre of gravity of authority to the academic wings of the university's governance. The Academic Council should be the final authority in all academic matters. The tendency to attach importance to ideas and proposals merely because they emanate from persons who happen to hold important positions is unhealthy and particularly out of place in the university system where they must be judged objectively and on their intrinsic merit.

Academic: The Departments of a university are its main operational units on the academic side; wider administrative and financial powers should be delegated to them. Good teaching Departments could be considered for grant of status of Autonomous Departments within the university set up. Such Departments should enjoy academic autonomy within the universities.

Faculty: The kingpin of the university autonomy is the teacher; he/she is the pivot on which the excellence of the institution will depend. His/her academic freedom coupled with accountability to the concerns of truth and generation of new knowledge have to remain paramount in the system of higher education. His/her role is not just to execute the dictates of the hierarchical authority but to make his/her personal intellectual contributions to the

advancement of the goals and concerns for which the universities stand. It is evident that there is low involvement of faculty and also students in most policy decisions.

Students: The Education Commission, 1964-66 stated that the students should be encouraged to take part in institutional governance and to make them realize their responsibilities in the day to day functioning of the institution. Representatives of student community should be associated with Academic Councils and all other statutory bodies of the university. The issue is not without its elements of concern and may need to be seriously deliberated by the universities, examining its practical implications. But a support to such involvement is found in some foreign universities where alumni are associated with the governing bodies of the university in the process of decision making.

4.7.5.2Enforcing University Autonomy: Some Key Concerns

Revisiting the Acts: There is a need to revisit the Acts of various State universities to find out if there are some clauses detrimental to their autonomy. Such clauses should be replaced by clauses more conducive for the enhancement of autonomy.

Streamlining the Recruitment Process: The universities must have the autonomy to recruit the most competent faculty as per the laid down procedures and purely on the basis of merit. Only persons of impeccable integrity, strong credentials and high achievements in their fields should be nominated on the selection/search committees. The faculty should be recruited purely on the basis of merit and not on any other consideration.

Membership of Governing Bodies: A university is administered by the senior functionaries under the guidance of its statutory bodies like executive committee, syndicate, senate, etc. The persons to be nominated on these bodies must have specialized knowledge in the relevant disciplines and should not have conflict of interests so far as decision making in the university is concerned. These bodies should not be packed with ex-officio members and government nominees.

Institutional Leadership: It is the duty of the Vice-Chancellor to safeguard the university autonomy. This is possible only when the Head is a ‘Leader’ in true sense of the term in both academic and administrative matters. There is qualitative difference in the management of an educational institution and that of an administrative department. The increasing trend of appointing civil servants as Heads of educational institutions needs to be reviewed. Special orientation programs or conferences on the management of universities should be organized to

enable the Vice-Chancellors, Directors, Pro-Vice Chancellors, Deans, and Heads of Departments to hone their management skills.

Changing Role Perceptions of Public Representatives and Civil Servants: The political class and civil servants in education ministries must appreciate that their role vis-à-vis institutions of higher education is restricted to policy making, enactment of legislation and also to monitoring and enforcement of norms of accountability. They must realize that they do not have any legitimate role in the administration of the institutions.

Autonomy and Accountability: Recommendations

The issues of autonomy need to be addressed in terms of their implications for academic, administrative and financial autonomy governing the university system. This triangular grouping focuses on integrated understanding avoiding water-tight compartmentalization of issues. Many issues related to university autonomy are as relevant today as they were any time before, but for non-implementation, their importance has remained relevant even today and hence reiteration of the same in the context of this Report of the CABE Committee. The relevant issues have been flagged below:

(a) Academic Autonomy

- Designing of curriculum with a focus on innovation and experimentation to transform teaching and learning into a fascinating and rewarding experience for teachers as well as students; introduction of new courses to meet local, state, national and global needs.
- Undertaking innovations for periodic revision of curriculum making the process of revision simplified, less cumbersome and less time consuming.
- Autonomy to design own procedure for selection of research fellows with potential for research to enable them to utilize their talents and contribute to quality research.
- Research endeavours not to suffer for want of funds; faculty to be accountable to research of acceptable standards evidenced by publication in reputed journals.
- Adoption of choice-based credit courses along with semester system.
- Switching over to internal evaluation of students over a period of time.
- Setting up an Internal Quality Assurance Cell (IQAC) to continuously assess the performance of the Institution on objective and pre-defined parameters and making the output performance public to ensure transparency and accountability.

- Autonomy of departments within the institutional set-up.
- Transparency and objectivity in the selection of faculty, to be open on All-India basis.
- Performance Appraisal of teachers with adequate weightage for research work based on quantifiable parameters.
- Internal resource generation to fund and encourage participation in national and international consultations, seminars, workshops, conferences, etc.
- Programme for developing human resource for new and emerging realities in the field of higher education.
- Quality of research with the focus on use of international benchmarks such as Citation Indices, Patents, etc.
- Synchronization of academic calendars, at least to begin with for institutions within a State, to ensure mobility of students from one institution to another, if the need so arises.
- Institutional mechanism, infrastructure and facilities for attracting international students and to enter into collaborative arrangements with their counterparts.
- Autonomy to establish linkages for academic and research collaboration with their counterpart academic and research institutions, industry and professional organizations both in India and abroad.
- Development and observance of a Code of Professional Ethics for university and college teachers.

Administrative Autonomy

- Management system in the university to encourage best practices of governance, speedy decision making, networking, team effort and collective responsibility to meet the emerging challenges.
- Head of the university/department to have autonomy to determine both the rank and the number of positions of Professors, Associate Professors and Assistant Professors in accordance with the tasks envisaged in the development plan of the university.
- Outsourcing of non-academic activities to achieve better efficiency and greater effectiveness by reducing the overall burden of normal responsibility of running the administration.
- Expeditious disposal of litigations on service matters – a case for a Central/State Higher Education Tribunal; grievance redressal mechanisms.

- Norms of accountability for individuals and institutions to be evolved which must be open, participative and data-based.
- Charter of responsibility and devolution and delegation of authority defined for different levels within the university system.

Financial Autonomy

- Provision of funds to individual universities in an untied manner to ensure greater degree of freedom in setting up priorities.
- Mechanisms for deciding the fee structure.
- Freeships and scholarships to meritorious and deserving students coming from lower economic strata of the society.
- Undertaking consultancy assignments and sponsored research projects.
- Inducing user agencies of the Central and State Governments to contribute to development and growth of the university system by earmarking certain percentage in their respective budgets for such purposes.

4.7.6 Equity based development

In the creation of any development or expansion plans, both states as well as institutions must keep in mind the guideline of equity-based development. In chasing the goal of greater access, the question of equity must not be given a go-by. Any growth in the higher education sector must create equal opportunities for women, disadvantaged classes and differently-abled. Also, development must have a greater focus on serving the rural and tribal areas. The plan appraisal process would take this aspect into account while deciding the allocations. Special interventions through innovative strategies will be encouraged in the scheme. Well calibrated equity strategies must be built into the entire state planning.

4.7.7 Quality and research focus

Another fundamental guiding principle of RUSA is a greater focus on better quality of research and innovation in higher education. The aim is to reconcile the conflicting goals of massification of higher education with quality standards. States will be encouraged to promote research and innovation amongst their institutions. Research is a critical component of higher education; it improves the quality of undergraduate and postgraduate education, it will also be vastly helpful in improving the quality of teachers that are recruited into the higher education

system. Since research focus can be judged both from input efforts and outcome signs, the state plans are expected to have a rounded appreciation of such circumferences. States and institutions are expected to honestly declare their present status in this area and outline specific strategies for improvements. Each state can think of re-orienting one university in state as a Research University. Similarly, one existing college in each district can be upgraded into a Model Degree College. It is expected that state institutions would make full use of ICT strategies in such efforts. The key parameters of research efforts are set out in the templates.

There is an imminent need to clearly define the research role of State Universities in the context of national and international expectations in the domain of knowledge generation. Research in universities has at times been under criticism for not being innovative, original and of high quality. While the essential mandate of the universities is to train and produce high quality personnel who can enter into the challenging assignments of the dynamic society and who can meet with most varied tasks and environments of employment, the fact remains that good teaching evolves out of good research and from teachers who engage themselves in research.

For quality research and innovation to happen in the State universities, the basic infrastructure in the universities has to be improved considerably. Funding is a major constraint, as well as critical mass of faculty in each Department. Coupled with this, in-breeding also contributes to poor output in research. Most State universities fail to attract faculty from other States. Research is centered around individuals and the best students are attracted to those individuals who are engaged with high-end research. Industry partnerships in research are not much in vogue in our university system. Basic and fundamental research ought to happen in the university departments since the same does not take place in industry. Criteria such as the number of research publications, impact factors of journals, citations, the amount of funding attracted, etc., should be drawn up for faculty promotions.

To promote and incentivize research, funding of research through the UGC should on the pattern of Council of Scientific and Industrial Research (CSIR). It should be focused and outcome-oriented. Also part of the infrastructure (one time) funding for research purposes received by the

universities should be converted into recurring grants for research. The process of acquiring, especially importing, scientific equipment for laboratories should be simplified. Mobility of researchers is important and should be facilitated. Equally important is the mobility of the research assistants, which also needs to be addressed.

The issues of research and innovation need to be addressed at various levels, namely: (i) the way the research programmes such as M.Phil and Ph.D are organized and carried out; (ii) time and energy devoted by the faculty in carrying out independent research projects (iii) the outcome and quality of researches undertaken by the faculty; and (iv) integrating research with teaching. There is a need to enhance the involvement of faculty working in the postgraduate and research departments, and colleges to engage themselves in research; presently they are predominantly engaged in classroom teaching. The initiatives taken by the UGC in this direction need to be supported and supplemented by creating appropriate mechanisms and structures in the State universities and the colleges so that teachers could be motivated to undertake research as an important agenda of their professional commitments .

State universities that have had a long and reasonably good academic culture of research and innovations have also been facing serious procedural problems such as lack of administrative support, delay in clearance of research proposals, timely release of funds and institutional monitoring of research needs. Most of our universities need to strengthen the support for Intellectual Property Rights (IPR) related initiatives in order to encourage successful patenting as well as innovation in teaching and research.

State universities require serious attention and support to improve the quality of teaching and research. State and Central governments should enhance the quantum of inputs in this area. The following are the specific suggestions to promote innovation and research in the State universities:

(i) *Specialization-Oriented Inter-University Centres (IUCs)*

More speciality-oriented Inter-University Centres (IUCs) may be created, particularly in view of the enormous benefits presently accruing to the faculty/scientists from the existing IUCs. Provision of "Central Instrumentation Facility" catering to all the faculties should be made. To maintain the instruments and their running costs, a Corpus Fund with the support of the

UGC may be created in each State university. A data bank of all the major equipment may be maintained at the State university level and shown on the university web page to enable collaborations and for optimal utilization by all the stakeholders. An IUC for informal knowledge systems pertaining to cultures, communities, heritages, endangered languages, etc. should be set up by the UGC at the national level.

(ii) Innovation Clusters / Innovation Incubators:

University Innovation Clusters should be set up in all geographical locations with the State university acting as a nodal point of such a cluster, with a view to building an innovation network with industry, other universities and Research and Development (R&D) laboratories. This would ensure optimum use of human and infrastructural resource. An Innovation Incubator should be established to create the necessary linkages between the State university, relevant local/national industry, research labs. / Institutions, Civil Society and the Government. The funding for such initiatives on creating clusters and incubators be realized through PPP. For State universities/institutions located in remote/rural/ less developed areas special steps should be taken to develop their human resource and infrastructural capacities. These steps may include 'mentoring' by reputed National Institutions/Labs./ Industry/Individual's, etc.

A concerted and collective effort may be made by the State universities and research institutions located in various geographical regions to access, coordinate and develop cross border resources and knowledge pools. Measures like incentive networking with the cross border academic and research institutions and exchange of scholars, professionals and experts could be undertaken in order to facilitate the same. To encourage university-industry partnership, adequate measures should be taken including fiscal incentives.

(iii) Research Grants:

The UGC should provide block grants of Rupees 20-40 crore per annum (depending on the size of the State universities) to the State universities and give them full autonomy of its utilization. State Governments or the UGC may allocate sufficient fund (@ 2.5 lakh/annum/teacher) to all teachers per year for the promotion of research. Funds for development of research infrastructure facilities like Special Assistance Programme (SAP) programme be given to each PG department of the State university. Separate funding for enhancing research for State universities of high reputation in research like PURSE scheme need to be enhanced. Generous funding should be given to the State Universities for carrying out quality research so that high calibre human resource is produced.

(iv) *Industry-Academia Interaction:*

The faculty of the State universities could be allowed to take up consultancy and collaborative research with industry and other private stake-holders. Every State university should enhance the relationship between universities and industries for the scientific advancement as well as for developing quality workforce.

(v) *Incentives to Faculty:*

For the promotion of research activity, the State Government should encourage the college teachers by providing seed money or grant for research projects. Faculty with higher performance and output in terms of research should be considered for incentive promotions. There should be a non-lapsable pool earmarked for research work at the State university level with due incentives, awards and recognition for outstanding research work. At the State level, a body involving distinguished scholars / researches having distinction in different areas both at the national and international level, should be constituted. Teaching faculty should be considered for reimbursement of travel, accommodation and other related expenses on duty travels on par with industries and private sector.

(vi) *Research Facilities:*

A separate common fund for developing sophisticated facilities is necessary for developing research capabilities of the State university system. Common research facilities should be available to researchers of all universities in the State. The scholars should be given appropriate research scholarships and the universities should be able to build up facilities like well-equipped laboratories, language laboratories, libraries, archival collections, etc.

(vii) *Intellectual Property Rights (IPR) Cells:*

The scientist inventing the IPR should be given priority in sharing the IPR along with the sponsoring agency and the State University and should be encouraged to develop, disclosed patent and commercial intellectual property.

(viii) *Data Bank:*

A data bank be created on problems faced by industry / enterprises / society for undertaking research projects in the State university. The interdisciplinary expertise, equipped laboratories, students, library services in the State universities / affiliated colleges should be

State should also be created.

(ix) *Research Publications:*

Research publications by the faculty of the State universities, on acceptance by international journals could be considered for funding towards full or partial cost. The faculty should be allowed to draw royalty income from transferring of their inventions to industry. They should also be encouraged to take up paid consulting work for companies or positions in Advisory Boards.

(x) *Foreign Collaboration:*

The government should liberalize the policies for collaboration with foreign countries and to receive the grants for research.

(xi) *Research Incentives for Students:*

The government should increase amount and number of student fellowships. Fellowships should be given at different stages starting from entry to graduate programme. The conducting of course work for Ph.D. should be undertaken by the recognized research guide in collaboration with the University Departments and, if necessary, invited experts from outside the State University. The UGC should provide funds to introduce Masters-Ph.D. integrated courses in the State universities for at least for 20% of students in each subject.

(xii) ICT:

ICT content development be made compulsory at the State university level. The research scholars should be motivated to opt for innovative inter-disciplinary research to make advantage of the convergence of technologies.

Centres of Excellence in Research and Development will be created in at least 10 important and specific areas chosen by an expert committee. Joint ventures and Memoranda of Understanding with world class universities and premier institutions across the world would be encouraged

(xiii) *Seniority-cum-Performance-based Promotion:*

To introduce seniority-cum-performance based promotion to attract and retain world class

talent, the following is suggested:

- Performance appraisal of teachers may be initiated based on Memoranda of Understanding (MoUs) with each faculty member.

- Points can be allocated to teaching, learning and evaluation activities, which include tutorials, lectures and practical; research activities and co-curricular activities.
- An “Internal Quality Assessment Cell” will maintain an annual database for individual and institutional performance.

(xiv) *Creating Centres of Excellence:*

The State universities may develop at least one centre of excellence in a discipline considering its own human resource endowments and regional requirements. Existing models either in the central universities or research centres in this regard may be studied. It is also necessary to study success models of coordination and collaboration between State universities and Central Universities and Research Laboratories.

(xv) *Innovative Academic Programmes:*

Promoting quality research requires, apart from other things, quality Research students. One initiative suggested is introduction of four year programme with a provision for master Programme with additional credits. This has to be supported not only to augment quality input but more important to retain them for research.

(xvi) *Funding for Cutting-edge Research:*

Top academicians prefer to join only those special institutions which have good research funding rather than a university. This trend is very much against the international practice where the cutting edge research is carried out in the universities and not in the institutions outside the university system. Carrying out cutting edge research in a university has a merit that there is always a fresh blood and also the young minds are motivated to take research as their career. It is most important that the cutting edge research is brought into the State university system commensurate with funding so that high calibre human resource is produced by the university.

In respect of Research and Innovations, the following need to be done;

- Earmarking of budget allocation for research and innovations for individual universities.
- Establishment of specialization-oriented Inter-University Centres (IUCs).

- Establishment of Innovation Incubators to create necessary linkages between the universities, relevant local/national industry, Research labs, civil society, through PPP mode.
- Issue related to Intellectually Property Rights (IPR).
- Role of University Innovation Clusters for building an innovation network with industry, other universities and R & D Labs to ensure optimum use of human and infrastructural resource;
- Enhancing the number as well as amount of Research Fellowship;

However, there is a need to further identify and deliberate on key areas of concern in order to convincingly make our way forward. Research and innovation capabilities needs to be developed with social accountabilities. There should be a social relevance in the research. University can develop a thrust area of their researchers. Based on it some incentives should be provided with special grants to the R and D Programmes of the Universities. The research capabilities of the individual's researches should be enhanced and encouraged through the packages of incentives.

4.8 Prerequisites

A cornerstone of RUSA will be the stipulation of Prerequisite conditions, certain commitments that must be made by the state government as well as institutions in order to be eligible for receiving grants under RUSA. This is an essential element of strategic central funding. These conditions are in the nature of categorical policy imperatives which would ensure that the higher education in the country is guided on desirable paths by all states.

The prerequisites are at two levels, commitment given by States to Center and the commitment given by Institutions to States. Unless these commitments are fulfilled, the States and institutions will not be able to avail of grants under RUSA. The states are expected to fulfill the a-priori requirements and also honour the commitments made towards certain conditions which must be fulfilled during the course of the RUSA implementation.

Table 4: Prerequisites

Prerequisite	
for the States	<ul style="list-style-type: none"> • State Higher Education Council • State perspective Plan • State contribution to higher education in terms of GSDP • State funding commitment – share and timeliness <ul style="list-style-type: none"> ▪ Agreement to create separate fund for UGSA • Filling faculty positions • Affiliation and examination reforms • State accreditation agencies Governance/administrative reforms
for the Institutions	<ul style="list-style-type: none"> • Institutional governance (administrative) reforms • Academic reforms and inter and cross disciplinarily • Examination reforms • Affiliation reforms • Separate project management teams <ul style="list-style-type: none"> ▪ Perspective planning • Equity commitments (esp aided sector) • Commitments on research and innovation efforts • Mandatory faculty recruitment and improvement • Establishment of Management Information System Regulatory compliance

4.8.1 State Higher Education Council

In order for the State Higher education system to function effectively, states need to set up State Higher Education Councils. State Councils may be formed through an executive order, in the beginning, but within five years they must be converted into statutory bodies by Acts of the State Legislature. The Councils will perform multiple roles such as strategy and planning, monitoring, evaluation etc. Subsequent section would detail the way these councils have to be structured and formed.

4.8.2 State plan

The States must make a detailed State Plan in the prescribed format duly keeping in mind the norms and indicators prepared under RUSA. These plans would constitute the primary vehicle for the States to plan for accelerated growth and equitable development of the higher education sector in the respective states. The plans must be formulated keeping in view the targets that the state wishes to achieve in about ten-year time frame. These targets would then be broken down into yearly milestones and targets. Each state plan has to comply with the timelines prescribed under RUSA. A Project Approval Board at the national level would appraise and evaluate each of the plans. Future allocations would be based on the achievement of targets and the past performance of the States. The detailed prescription for the State Plan is attached as an Annexure. The template is only meant to be a guide and states are encouraged to elaborate upon it further and also make it more comprehensive.

4.8.3 State contribution to higher education

It has been observed that many state universities have not been able to perform well for want of adequate resources from the state exchequer. Plan and non plan support from the states is either stagnating or coming down. That has compelled many institutions to seek alternate sources, thereby creating a vicious spiral wherein self financed courses and affiliation fees have become primary sources of revenue. Faculty recruitment in many states have been practically stopped for the fear of incurring additional non-plan liabilities. While RUSA would very handsomely compensate the states for their efforts, it is expected that states too would announce their intent and commitment for the state higher education by means of higher outlays. The State government must commit 4% of its GSDP for the state higher education sector if not in the first year of RUSA, but at least within 3 years of RUSA implementation. Any state which was spending more than 4% of its GSDP on higher education is expected to maintain the same level; at least it should not be brought down.

4.8.4 State funding commitment – Share and Timeliness

This program envisages for Centre-State funding to be in the ratio of 90:10 for North-Eastern States & J&K, 75:25 for Other Special Category States (Sikkim, Himachal Pradesh and Uttarakhand) and 65:35 for Other States and UTs. Funding will be provided for government-aided institutions, subject to antiquity, for permitted activities based on certain norms and parameters. While the central government has committed to allocating (65%/75%/90%) of the

resources, it is important that the state also commit (35%/25%/10%) the resources as per the center-state share upfront. Such a commitment from the State government will help in timely disbursement of grants for the implementation of the State higher Education plan.

In addition to the state providing its share, it must also ensure that the monies are transferred to the State Councils within the time stipulated by RUSA. It is highly essential to also ensure separate fund creation and pooling systems so as to take the RUSA allocations out of the regular budgetary stipulations. Experiences in other CSSs show that sometimes states do not transfer the matching grants in time to the institutions without which no progress can be made on the plans, as the institutions do not have enough funds to embark for any activity. Hence, the timely disbursal of the matching grants through a dedicated channel is essential.

4.8.5 Filling faculty positions

The faculty forms the backbone of any good educational institution. State Universities in most cases suffer from acute faculty shortages, both in terms of poor student-faculty ratios as well as a large proportion of faculty positions (out of those sanctioned) remaining vacant. In the previous sections, we have explored the reasons behind the faculty shortages; mostly the lack of financial resources restricts the states from appointing faculty. Long bureaucratic processes for appointing faculty as well as ban on faculty recruitment in some states further exacerbate this problem. However, for any significant changes in quality, in some cases even for the routine functioning of institutions, it is necessary to appoint full time faculty in adequate numbers. Hence, the States must ensure that the faculty positions are filled on a phase-wise manner. If any state has imposed a ban on regular recruitment of faculty, the State must ensure lifting of all bans on recruitment, and requisite proof must be produced. States must also present a coherent action plan to fill up all the vacant positions in a time bound manner. This should also take into account the ideal student faculty ratio and the states must be aware of this requirement. Not more than 15% of the faculty positions can remain vacant at any time in the state. If any state has more than 15% faculty positions remaining vacant by the end of first year of RUSA, such states may lose the entitlement for any further grants. The appointments made as well as the faculty already appointed must be remunerated according to UGC regulations and the latest pay scales as prescribed. The procedural bottlenecks in the recruitment processes must also be actively eliminated.

4.8.6 State Accreditation Agency

Assessment and accreditation in the higher education, through transparent and informed external review process, are the effective means of quality assurance in higher education to provide a common frame of reference for students and others to obtain credible information on academic quality across institutions thereby assisting student mobility across institutions, domestic as well as international. Presently, accreditation is voluntary as a result of which very few colleges and universities are accredited. Mandatory accreditation in the higher education would enable the higher education system in the country to become a part of the global quality assurance system.

Mandatory accreditation in the higher education would require a large number of competent and reliable accrediting agencies to be recognized, monitored and audited for academic competence through an independent but accountable institutional mechanism.

The process of assessment and accreditation in the higher education needs to be performed by recognized agencies on the basis of norms and standards of academic quality specified by the concerned appropriate statutory regulatory authority in the field of knowledge in higher learning. Registered agencies would accredit higher educational institutions through transparent processes and assessment of academic quality in teaching, learning and research and their contribution to enhancement of knowledge. The assessment would include physical infrastructure, human resources (including faculty), administration, course curricula, admission and assessment procedures, governance structures including infrastructure and governance structures of the institution.

In view of the above, it is therefore proposed to establish one or more state level accreditation agencies, which would be invested with the responsibility of accrediting higher educational institutions including universities, colleges, institutes and programs conducted therein. Institutions imparting higher education beyond twelve years of schooling would be mandatorily accredited. Each state would set up the Accreditation Agencies and make it mandatory for state institutions to go in for accreditation. For this purpose, National Assessment and Accreditation Council (NAAC) would act as a facilitator and a guide to help states create these agencies on a professionally competent and sound basis. The state accreditation agencies must get an authorization from NAAC before commencing accreditation operation.

4.8.7 Affiliation reforms

In the previous sections, the problems that arise out of the affiliation system have been discussed in detail. In order to solve the problems of poor quality, lack of control and additional administrative burden on the universities, the affiliation system reforms are an imperative. A large number of institutions and enrollments are under the affiliated college system and any serious attempts at improving the quality of higher education institutions must necessarily remove the ills of present affiliation system. Given the financial support that the affiliate colleges give to the university, there is always reluctance on the part of the universities to undertake these reforms and the same must be adequately addressed, if affiliation reforms are to succeed. Another aspect which requires active consideration and a futuristic policy of the states is on the issue of opening of private colleges and private universities. Private colleges, after establishment, seek affiliation from a university. The states must ensure that approval of only such colleges is accorded as are really needed. A tight fisted policy on new private colleges in an already saturated sphere is quite essential at this juncture. It is expected that states would disclose their policy on such private colleges and private universities in the plan documents.

Under RUSA, the State Government's commitment to undertake reforms in the affiliation system is an a priori condition to getting the funding. Following are the paths that can be taken in reforming the affiliation system:

- (i) Limit the number of colleges to be affiliated to any University to 100⁸⁸. However, this would mean establishing more affiliating universities than the present numbers.
- (ii) Establish campuses of existing Universities to better serve colleges in their physical proximity. In this case, all academic and administrative responsibilities regarding colleges will fall on the offices of the various campuses.
- (iii) Large autonomous colleges can be encouraged to develop into Universities.
- (iv) Create College Cluster Universities by clustering a minimum of 50 colleges in the area surrounding a city or district giving the university its own independent establishment, degree granting powers and governance.
- (v) A number of colleges could be encouraged to merge, to create a larger institution. It is likely that this larger institution would have the capacity to become autonomous. This would also ensure inter disciplinarity and cross disciplinary learning.

⁸⁸ UGC- Affiliation Reforms Committee Report, 2011

- (vi) Establish new constituent colleges where there is a large youth population. A number of constituent colleges can be under a University like the case of Jawaharlal Nehru Technological University in Hyderabad. Unlike the affiliated colleges, which are managed by college management committee, the University will have the administrative control of the constituent colleges. Recently Punjab University has followed this model in setting up four constituent colleges in collaboration with the State Government.
- (vii) Tight regulation and control on establishment of new colleges in private sector. Prohibiting an already saturated university from further affiliating private colleges may have to be resorted to in extreme cases.
- (viii) Every state should be mandated to prepare a road map on higher education which could contribute to the formulation of a scientific policy on affiliation. An effective, and not routine or mechanical, monitoring of the colleges by the affiliating university is urgently required. Conditions are usually laid down while granting affiliation, but the universities are not normally able to monitor the fulfilment of such conditions. This practice needs to be changed. A college not fulfilling the required standards in teaching-learning process and governance should be disaffiliated after giving prior warnings. Of course, in such eventualities, the interests of the students, teachers and staff have to be preserved.
- (ix) The Acts and Statutes of the State universities may be amended suitably to accommodate the vision for a higher enrolment ensuring social equity as well as quality of education. The existing Acts and Statutes may have to be fine-tuned to address the educational issues of the present century. The union government or the UGC may constitute a committee to frame a model University Act and Statutes, on the basis of those existing in the Central universities and Institutions of National Importance for consideration for adoption by the State universities. A grace period of two to three years can be given to the States within which the amended Act and Statutes can be brought into force. The UGC can link the eligibility of grants to this provision.
- (x) It is important to ensure that accreditation is not limited to universities and colleges but also made mandatory for individual departments and programmes of the university. Funding should be contingent on accreditation. This should lead to more or less uniform quality assurance.

- (xi) The 12th FYP document of the UGC envisages large scale direct funding for the State universities. Performance-based accreditation should be made mandatory for such funding. A one time grant amounting to Rs.100 crore may be made available to the State universities for augmenting academic and infrastructural facilities. The total amount required will be about 15% of the total outlay envisaged for 12th plan period by the UGC.
- (xii) The States may not be permitted to constitute uni-disciplinary universities under any circumstances and central funding may be cut to such Universities. Multi-disciplinary synergy is an inalienable element for any university to be worth the name. The UGC and the Centre should view this trend seriously.
- (xiii) The 12th plan UGC document envisages that no University shall have more than 50 affiliated/constituent colleges and 50,000 students. Funding restrictions may be imposed on universities which cross this limit. College Cluster Universities having 50 colleges and 50,000 students (limit) shall be formed within a grace period of two to three years so that the affiliation burden of the State universities is mitigated.
- (xiv) Colleges in the government and aided sector having more than 25 years standing and having National Assessment and Accreditation Council (NAAC) Grade A may be considered for being given autonomous status and those with more than 50 years standing and NAAC Grade A may be accorded degree-granting status.
- (xv) On an average, an Indian university enrolls 3,400 students and a college 400 students. Hence capacity building in universities and colleges may be encouraged so that the GER may be doubled to that of the current status. This will be a better option than starting new universities and thereby avoiding additional expenses, lapse of time, land acquisition problems, etc.
- (xvi) Since self-financing colleges and self-financing courses of aided colleges alone have job-oriented interdisciplinary courses, the students who are economically weaker and enrolled in the State colleges are not getting the opportunity to benefit from such courses. Hence State colleges and aided colleges must be supported by the State government to introduce job-oriented inter-disciplinary courses.
- (xvii) The affiliated colleges located in rural areas are unable to attract qualified faculty to serve in these institutions. To overcome this drawback, the faculty should be given incentives by the government to motivate them to serve in the rural areas.

(xviii) More than 70% of the universities in India have a large number of self-financing colleges. In the absence of any regulatory mechanism, these colleges do not follow the government-laid down reservation policy both in the student admission process and in the faculty selection process. An effective regulatory mechanism must be drawn up to be followed in all such institutions.

4.8.8 Establishment of Management Information System

The states must ensure that all the institutions are linked to the Management Information System through which RUSA will be monitored and implemented. The National Knowledge Network (NKN) already provides high-speed Internet connectivity with wide availability and scalability. It also provides facilities for distance learning etc. The states must ensure that the institutions take advantage of these facilities provided by NKN. it is therefore essential that the state institutions create the LANs or WANs in order to fully utilise this facility. The entire Information flow must be online and real time. the processing and approvals are all expected to happen online by creating an ERP package. The Institutions and states must ensure availability of sufficient and qualified manpower to manage the ERP, uploading of data and information etc.

4.8.9 Governance Reforms

There are in particular two strands of governance that must be improved:

- Sector governance: Managing the higher education system with a strategic framework and appropriate accountability so that institutions achieve the state objectives.
- Institutional governance: The structures and processes within which institutions are given autonomy to plan and manage their affairs so as to achieve both the state and their own local/regional objectives.

These two aspects of governance have been subject of extensive debate since independence. While sectoral governance was discussed in the initials reports of committees set up by the Government of India - the Radhakrishnan Commission (1948), the Kothari Commission (1968), which laid the basic framework for the National Education Policy in 1986, signifying the five cardinal principles on the basis of which higher education in India needs to be viewed – greater access, equal access(or equity), quality and excellence, relevance and value based education. More recently some committees and commissions have debated around both these aspects in governance through the National Knowledge

report on reforms in Centrally Funded Institutions (2011).

4.8.10 Sectoral Reforms

The major sectoral problems of Governance are that the state governments micromanage Universities. The interactions between institutions and regulatory bodies are cumbersome and do not promote expansion of quality institutions. The quality assurance mechanisms in the sector are weak. In addition to this, financial planning and allocation are not linked to performance. It is therefore important for States to very clearly define their role and not only give enough autonomy to Universities but also build in strong accountability mechanisms. Therefore the State may have to do the following:

- Legislation/amendments to legislations ensuring existence of state universities as autonomous independent entities
- Withdrawal of the state from certain detailed control and management functions and the devolution of responsibility to universities themselves
- The creation of buffer bodies or agencies (State Higher Education Councils) to carry out some of the detailed financial control and supervision functions in the sector or to provide sector wide services
- Adoption of funding models that give institutions greater freedoms and that encourage them to explore new sources of income
- Creation of external agencies that monitor the quality of all courses and programmes delivered by institutions
- The development of new forms of accountability through reporting on performance and outcomes in achieving nationally set targets for the sector, as well as institutionally set targets
- Gradual withdrawal of the state from decisions on appointment of Chairpersons of the Executive Council or Vice Chancellor and members of the Executive Council. Collegiums concept is worth exploring in this regard

4.8.11 Institutional Governance (Administrative) Reforms

The current challenges that Universities and Colleges encounter to seek better institutional Governance may be enumerated as follows:

- Methods of appointing Vice-Chancellors

- Rationalize the size and composition of decision making bodies (Executive Council, Academic Council, Senate)

- Human Resource policy(Faculty appointment and Non academic staff)
- Process re-engineering : Finance facilitation and approvals from government
- Restructuring of Affiliating system

It has been observed that there is political interference at all levels, in particular in the appointments of key functionaries in the Universities' decision-making bodies. The manner in which many of the decision-making bodies have been composed has at times resulted in these bodies becoming ungovernable. This has led to low levels of accountability seriously compromising the quality of State Universities and Colleges. *The following options are being suggested as a way forward in bringing about better institutional governance:*

Introduce more autonomy in universities: There are generally three main forms of autonomy: academic, financial, administrative/human resources. While the universities currently have some level of administrative autonomy, there is a need to devolve more authority to the universities in the areas of academic, finance and human resources. For example, the universities should be recognized as experts in academic matters and be given the authority to take all decisions including curriculum and examinations. In the areas of finance, the universities could be given autonomy to manage their own budgets including sourcing their own funds and being allowed to keep them subject to well-defined policy and reporting parameters. The block grants concept must be encouraged to infuse such autonomy in financial matters. In the areas of human resources, the proposal is that universities should be allowed to select and recruit their own staff (both academic and non-academic). This gives the university more flexibility, and enhances their effectiveness and competitiveness; leading to an overall improvement in the quality of education.

Establishment of a Board of Governors: As the universities are given more flexibility and autonomy, it is important to put in place a sustainable and independent framework to guide the university senior management in key decisions. There is a need to develop models of governance along the lines of governance framework, which exists in some of our premier institutions of higher learning, namely, Indian Institutes of Technology (IITs), Indian Institutes of Management (IIMs), Indian Institute of Science (IISc) etc. In the subsequent discussion on the proposed model for higher education system, certain key features from these institutions have

been adapted and the most recent recommendation made by the Madhava Menon Committee (2011) on ‘Autonomy in Central Educational Institutions’ have also been incorporated.

More specifically, it is proposed that a Board of Governors (BoG) be established which will be the final approving authority on key matters of the university. The BoG will be responsible for setting the university’s strategic directions and development, and will be the final approving authority for policy matters including finance and human resources (within approved policy parameters and guidelines), and making and reviewing statutes and ordinances. The BoG will also be given the flexibility to decide on the internal governance structures of the university. In institutions where Executive Councils already exist, they can perform the functions of Board of Governors.

Like the international practices found in the USA and Europe as well as that adopted by the IITs and IIMs, it is recommended that the size of the BoG is kept small to enable effective decision meeting. The BoG could be a 10-15 member body chaired by an eminent individual. The Chairman need not be an academic but must have prior experience in a similar capacity (whether in the educational sector or industry). Similarly, the Board members should comprise eminent individuals from institutions, State Government, society, industry as well as academia. It is recommended that at least 50 percent of the board members should be external to the institution and have significant interest in the higher education sector. Partly self selecting BoGs may be a very good idea to ensure least interference from outside.

Selection Committee for the Vice-Chancellor (VC): Akin to international practices as well as local ones found in the States of Karnataka, Maharashtra, Rajasthan and West Bengal, it is suggested that the VC be selected via a transparent, objective and competitive selection process. A selection committee comprising three to five independent well-respected representatives from the Board, society, industry, government and academia could be formed and tasked with the responsibility of selecting the candidates. The BoG should be the final approving authority that appoints the VC. Key selection criteria should include academic credentials, management experience and expertise, leadership potential, integrity and values. An innovative way forward could be to constitute a collegium and create a database from which selections can be made as and when needed. This will greatly speed up the process of selection of VCs. A separate cadre of education managers may also be created by more pro-active states.

Accountability Framework for the Universities: With autonomy and greater responsibility given to both the BoG and university senior management, there is a need to put in place an

accountability framework to ensure the proper usage and accountability of public funds. This accountability can take varied forms as follows:

- Establish key performance indicators such as student attrition and transition rates, graduate employment survey results etc which are reviewed on a yearly basis by the State Government and universities;
- Put in place a system of regular monitoring and updates of the university's development and performance; web based disclosure and a state higher education portal for students and parents may also be a welcome intervention;
- Develop and implement a Quality Assurance and Accreditation (QAA) mechanism and process to ensure the delivery of quality education; and
- Ensure information transparency by requiring key information and documents (such as the results of graduate employment surveys, summaries of the QAA reports, ranking of colleges etc) to be published

Activation of Grievance Redressal Committee: On the lines of the recommendation made by the UGC and All India Council for Technical Education (for all technical institutes in the country), the States must ensure the establishment and activation of Grievance Redressal Committees in state universities to address the concerns of students, parents and others. The information regarding the existence, constitution and functioning of the cell should be publicly available on the website of the university, prospectus, notice boards etc. The students, parents and others may first approach the Redressal Committees in case of concerns and may then take the matter to appropriate authorities. Recent UGC regulations on students' entitlements and creation of Ombudsmen must be followed by all institutions.

More Autonomy should be given to Universities and Colleges. Linked to the above two issues is the need for greater autonomy in the areas of academic, finance, administration and human resources to the state universities and better-performing colleges. University Grants Commission⁸⁹ also recommends that affiliated colleges should be groomed and, when adequate capacity is ensured, the college should be conferred with the status of autonomous colleges. This would allow the colleges to design their curriculum, rather than having to depend on the affiliating university. There is certainly a need to put good internal governance practices in place

⁸⁹ Inclusive and Qualitative Expansion in Higher Education, 12th Five year Plan (2012-17), UGC, 2012

in colleges so that there is minimalistic interference from external agencies. Effort should be to ensure that every college eventually acquires the autonomous status.

4.8.12 Academic Reforms

An action plan is needed for the phase-wise introduction of substantive academic reforms in the institutions of higher education in the country. Academic reforms are a key towards imparting better quality education that is oriented towards employability and innovation. The sections above have discussed the major lacunae in the current system of examinations, curriculum development etc. In addition to changes in the existing system, we need to introduce new policies that make the higher education system more flexible to the needs of the students and the society. Following are the details regarding the academic reforms that must be undertaken by the states and institutions.

1. Semester System

For long, educational institutions have had the format of academic session, spread over 10 to 12 months. This format suffers from several limitations, which is why most institutions of higher education in Western Europe and North America follow a semester-based system. The semester system goes far beyond a time format. It enlarges curricular space and encourages and supports accelerated learning opportunities for all concerned. Further, it has the ability to accommodate diverse choices that dynamic and motivated students may like to make.

In India, too, several professional and technical institutions have adopted semester system. Reportedly, it is working satisfactorily. Given this fact, it is right time that the semester system is made mandatory for all the institutions of higher education in India, and all the universities are asked to switch over to the semester system. The implementation of semester system calls for several interconnected steps that will have to be undertaken by the universities and colleges. These are as follows:

- Deliberation and resolution on the semester system in appropriate academic bodies of the institution at different levels to develop a time line.
- Decision on the student-faculty contact hours during a semester in different programs, that is, certificate, diploma, undergraduate and postgraduate. M.Phil. and Ph.D. students also to do course work.
- Re-configuration and revision of curricula (while the quantum of instruction work of faculty members remains about the same, the number of papers or credits would be twice as many).

- Determining the amount of work to be completed (or credit points to be earned) by the students in undergraduate, postgraduate, M.Phil. and Ph.D. programs.

- Decision on the time-distribution on class room-work, field-work, laboratory-work, workshop practice and /or other curricular work. Distribution will vary from subject to subject.
- The implementation of semester system may be completed within two calendar years in all the central universities and within three years in all the state universities.

2. Choice-Based Credit System

Choice-based credit system (CBCS) has several unique features: Enhanced learning opportunities, ability to match students' scholastic needs and aspirations, inter-institution transferability of students (following the completion of a semester), part-completion of an academic program in the institution of enrolment and part-completion in a specialized (and recognized) institution, improvement in educational quality and excellence, flexibility for working students to complete the program over an extended period of time, standardization and comparability of educational programs across the country, etc

The CBCS eminently fits into the emerging socio-economic milieu, and could effectively respond to the educational and occupational aspirations of the upcoming generations. In view of this, institutions of higher education in India would do well to invest their available resources into introducing CBCS. Aided by modern communication and information technology, CBCS has a high potency to be operationalised efficiently and effectively - elevating students, institutions and higher education system in the country to newer heights.

It might be added that a large number of universities and institutions in the country already have their undergraduate and post-graduate 'papers' subdivided into units and sub-units. In switching on to CBCS, the task of such institutions would be relatively easy. In a generalized manner, the sequence of CBCS would be: Paper - Unit – Sub units - Credits.

For implementing the CBCS, institutions of higher education need to take the following steps:

- Review of curricular contents (study papers, term papers, assignment, workshop-assignment, experiments etc.) of certificate, diploma, under-graduate, post-graduate, M.Phil. and Ph.D programs.

- Foundation credits/courses on English language, written and oral communication, and presentation skills for students who might require improvement in these areas.
- For the sake of clarity of faculty, students and examiners, all the curricular contents are specified, and sub-divided into units and, if need be, into sub-units, which are subsequently assigned numerical values and termed 'credits'.
- Faculty of the concerned 'Department' deliberates and decides on (a) core credits, and (b) elective or optional credits for different levels of academic programs.
- Departmental faculty evaluates and decides on the relative Weightage of the core and elective credits.
- Decision on the 'total' credits to be earned (or completed) by students undergoing certificate, diploma, under-graduate, post-graduate, M.Phil. or Ph.D. programs.
- Generally core credits would be unique to the program and earning core credits would be essential for the completion of the program and eventually certification.
- On the other hand, elective credits are likely to overlap with other programs or disciplines of study (for example, languages, statistics computer application etc.).
- Students enrolled for a particular program or course would be free to opt and earn elective credits prescribed under the program, or under other programs within the department, faculty, university or even outside recognised university/ institution of higher education.

3. Curriculum Development

The hallmark of vibrant educational institutions and disciplines is their curricular content, which evolves continuously and comprehensively. Curricular revision should be an ongoing academic activity involving all the faculty members. Not only does it endows academic programs with quality but also adds to their contemporariness and relevance. Available information indicates that universities and institutions of higher education in the country do undertake revision of the syllabi of the programs offered by them, but priority and periodicity remain somewhat uncertain. The process of revision also varies with disciplines- professional and technical disciplines are comparatively more vigorous in this regard. Nonetheless substantial thought and attention have to be devoted to curricular development in all disciplines and in all the academic programs- whether under-graduate, post-graduate, M.Phil. or Ph.D. In a general way, following steps need to be adopted on priority basis:

- All the academic programs (certificate, diploma, under-graduate, post-graduate, M.Phil. or Ph.D.) should be subjected to updatations or revision, to a limited extent in every academic year(for professional and post-graduate courses) and substantially every three years for all the courses.
- Updatations and revision of the curricula is to be carried out in terms of (a) current knowledge, (b) national and international developments, and (c) relevance of new ideas, concepts and knowledge of the concerned discipline.
- This important academic function requires "curricular transaction' and the synergies of all faculty members in the departments, centres or Schools and is based on the principle, 'teach and update curriculum'.
- Towards this, faculty members are called upon to be discerning and given to notes-keeping on current knowledge, especially related to their teaching assignments.
- To achieve this, faculty members are to regularly draw upon books and journals - and internet search engines.
- In this regards, UGC promoted INFLIBNET, INFONET, and E-journal would also make for a good resource.
- Faculty members would also have the flexibility to develop, for one or more semesters, topical courses falling within their academic interests and in keeping with the thrust of the program, alongwith the indication of credit values.
- All curricular updatations are to be reviewed and endorsed by Departmental, Schools or committee and other university and college authorities.

4. Admission Procedure

The process of admission of students to educational institutions is the first and most critical step that should ensure access, inclusion, equity and quality. With the fast changing socio-cultural milieus and growing demand for higher education, the importance of admission process can hardly be over-emphasized. It can no longer be left to 'well meaning intentions' and ad hoc decisions. Admissions ought to have objective based and transparent procedures.

As a part of academic reforms, universities and institutions of higher education in the country need to pay very serious attention to the procedures for merit based admission to their certificate, diploma, undergraduate, post-graduate, M.Phil. and Ph.D. programs. In this direction, the following points may be taken into consideration:

- To ensure transparency and credibility in their admission procedure, universities and institutions of higher education need to make a liberal use of 'notice board', print media, electronic media, website, etc to declare their admission procedures.
- Institutions and universities need to properly publicise their academic calendar, highlighting the number of seats (in all the courses including M.Phil. and Ph.D. programs), required qualifications and important dates in the admission procedure for various courses.
- The candidates' answer sheets need to be assigned confidential codes, that is, they are encoded, before being passed on for evaluation/assessment. The candidates for under-graduate, post-graduate or doctoral programs who have been assessed by recognised national or regional agencies (JET, NET, SET, etc.) may be granted exemption from the written examination.
- Depending upon the course requirements, candidates may also undergo group-discussion, interview or any other competency examination.
- The assessment as reflected by marks or grade in the written examination, group-discussion, interview and / or any other competency examination, must be treated as strictly confidential, and be known to authorities only on 'need to know' basis, till the results are finally complied/announced.
- The marks or grade in written examination, group-discussion, interview and/or any other competency examination must be communicated, promptly and directly, to tabulators or to the computer centre, and the successive examiners / evaluators must not be privy to these marks or grade.
- Relating to Ph.D. program, appropriate university bodies should decide as to which categories of faculty-members would be eligible to advice or guide doctoral students, and how many doctoral students could be assigned to different categories of faculty-members.
- University and college authorities, while finalising admissions, would take cognisance of 'reservation provisions' as announced by central and concerned state governments, and would take an affirmative action.
- Following admission, university and college authorities would initiate measures, depending upon the need pattern of newly admitted SC, ST, OBC and minority students, so as to organise remedial or bridge courses in language, communication, subject competency etc.

- Following admission, university and college authorities would take proactive action to communicate to newly admitted SC, ST, OBC, minority students, and those from low income families, regardless of the level of their course, the availability of tuition-waver, free-ships, loans and scholarships available to these categories.

4.8.13 Examination Reforms

Higher education in India has thus far been largely examination centered. Examination only at the end of academic session or year, more often than not, insulates students from the quest of knowledge, the excitement of discovery and joy of learning. Often the annual examination, along with marks, percentages and divisions, leads to insensitive cramming up of superficial information. It is surprising that, in several instances, university certified degree holders are subjected to fresh written examination, before they are accepted for jobs in public and private sectors.

Most *universities* and institutions of higher education in Western Europe and North America base the assessment of their students wholly on "internal evaluation", following the principle, 'those who teach should evaluate'. However, looking to the prevailing conditions in India, an adoption of this approach would be too radical or abrupt. Given these considerations, it may be more prudent that the assessment of the student performance be carried out through a combination of internal and external evaluation.

1. Continuous Internal Evaluation

Aiming to assess values, skills and knowledge imbibed by students, internal assessment is to be done by the concerned faculty member, Department, School or the Centre. It would comprise following steps: All the certificate, diploma, under-graduate, post-graduate, M.Phil. and Ph.D. courses offered by a university, college or institute are to have specified components for internal evaluation(e.g. essay, tutorials, term paper, seminar, laboratory work, workshop practice etc).

- Components of internal evaluation are to have a time frame for completion (by students), and concurrent and continuous evaluation (by faculty members).
- The evaluation outcome may be expressed either by predetermined marks or by grades.
- The evaluation report submitted by all the faculty members are to be reviewed, from time to time, by the Department, School or Centre Committee, in order to ensure transparency, fair play and accountability.

- Following the review by the Department, School or Centre Committee, the outcome

of the internal evaluation is to be announced and displayed on the notice board and

/or website as per the time frame or academic calendar.

2. End-of-Semester Evaluation

This is to be carried out at the end of each semester, and will aim to assess skills and knowledge acquired by students through classroom, field work laboratory work and workshop practice. The evaluation can be in form of written examination, laboratory work and workshop assignment. Evaluation process should be verified and transparent. Towards this end, the following steps may be adopted:

- All the students pursuing certificate, diploma, undergraduate, postgraduate and research courses have to undergo external evaluation at the end of each semester as per syllabi or credit schedule.
- With regard to practical and workshop assignment, the internal faculty may associate themselves with external examiners in the examination process.
- In case of written examination, whatever the format (objective type, essay type etc.), test paper could be moderated by committees proficient in the subjects.
- Answer books or -sheets are to be 'encoded' (before being passed onto examiner/evaluator, and decoded before tabulation).

3. Integration of Continuous and End -of- Semester Evaluation

The following points need to be considered for effecting the integration of continuous and end-of- semester evaluation:

- The integration procedure should be applicable to all the students pursuing certificate, diploma, undergraduate, postgraduate, M.Phil. and Ph.D. courses.
- University committees on the recommendations of Department committees and concerned faculty would discuss and decide on the relational Weightage of continuous and end-of- semester evaluations. This Weightage could be flexible and could vary from institution to institution.
- Relational Weightage assigned to internal evaluation may range from 25 to 40 percent.
- Following the integration of internal and external evaluations, the results may be

expressed either in marks, grades or both, as per the policy of the university.

- It will be useful if universities try to go beyond 'marks' and 'divisions' and, in keeping with the global trend, give Cumulative Grade Point Score (CGPS) which would place students into overlapping broad bands.
- The CGPS may be based on a 5 point or 10 point scale and it could vary from institution to institution.
- As soon as the integration of internal and external evaluations has been completed, the result should be announced, in keeping with the academic calendar, to facilitate students' academic or occupational pursuits.

4.8.14 Leadership Development for Educational Administrators

One of the major ways in which quality of higher education can be improved is through the twin approaches of high quality leadership and a requisite governance structure. Institutional heads are generally chosen from among academics with certain expectations. The Vice-Chancellors come across a plethora of situations requiring innovative handling. Hence there is a need for professionalizing academic administration by building the competencies in the domain of leadership, strategies, developing relevant systems and processes, inculcating appropriate skills and attitude at all levels in the administration. There is a need develop leadership acumen in current incumbents at various levels of university administration (VC, Pro VC, Registrars, Deans, and Heads) in the institutional hierarchy. There is equally a need to create a leadership pipeline in each institution to prepare for future leadership requirements. Presently, faculty members assume such responsibilities on rotation based on seniority without any formal exposure or induction to management domain which can help them to effectively handle their roles and responsibilities. Most importantly benchmarking of standards and ensuring the academic growth of a nascent institution is dependent upon the kind of leadership that the institution receives. Hence the importance of appointment of the first director/vice chancellor/principal cannot be overemphasized. States need to invest resources in developing a talent pool of such leaders.

4.8.15 Research University – an introduction

Research Universities stand at the center of the 21st Century global knowledge economy and serve as flagships for higher education worldwide. They are elite, complex institutions with multiple academic and societal roles. They provide the key link between global science and scholarship and a nation's scientific and knowledge system. They are truly central institutions of the global knowledge society (Salmi 2009).

As national institutions, research universities serve only a minority of undergraduate students, usually the nation's best and brightest, and employ the best-qualified academics. They are the central universities for educating students at the doctoral level and produce the bulk of the research output. Smaller countries may have only one Research University, whereas larger nations may have many, although they are only a minority of the total tertiary education institutions in the country. In the United States, for example, there are perhaps 150 globally relevant research universities out of about 4,800 higher education institutions; India has few such universities out of its 35000 tertiary institutions and China about 100 among its 5,000 or so postsecondary institutions.

Research universities produce the bulk of original research – both basic and applied, in most countries – and receive the most funding for research. The organisation, reward structures, and indeed, the academic culture of these universities focus on research. Their budgets are larger than those of other universities and the cost per student is greater. Their financial support - largely from public sources in most countries - must be sustained if the institutions are to succeed and academic freedom is central.

Within the tertiary education system, **research universities play a critical role in training and professionals, high-level specialists, scientists and research needed by the economy and in generating new knowledge in support of the national innovation system** (World Bank 2002). Research universities are considered among the central institutions of the 21st century knowledge economies.

The set of factors at play in top research universities are:

- (a) A high concentration of talent (faculty members and students)
- (b) Abundant resources to offer a rich learning environment and to conduct advanced research
- (c) Favorable governance features that encourage leadership, strategic vision, innovation and flexibility.

4.8.15.1 The “Spirit” of the Research University

A research university is not only an institution, but also an idea. Creating and sustaining an institution based on a concept is not easy. **At the heart of the research university is its academic staff, which must be committed to the idea of disinterested research – knowledge for its own sake.** A research university is elite and meritocratic in such areas as

hiring and admissions policies, promotion standards, and degree requirements for staff members and students.

Another central element of the spirit of the research university - alongside its staff members and students – is the principle of academic freedom (Shils 1997b; Altbach 2007). Without academic freedom, a research university cannot fulfill its mission, nor can it be a world-class university. The key element of academic freedom is the concept of open inquiry as a core value of the university.

Research university professors typically have modest teaching responsibilities; they are given the time to undertake and publish research.

These universities must include those who teach and do research (the academic community) in the decision making (the governance) of the institution.

4.8.15.2 Need for Research Universities

Already the States have a well-functioning system of tertiary education. The majority of enrolment in tertiary education is in the State Universities and Colleges. The present research scenario in higher education institutions in India is quite inadequate in its funding as well as output. The share of research of Indian higher educational institutions is very low by global standards. While the scheme of UGC will focus on the three dimensions outlined above and help to build up few innovation universities, to kick start the research ecosystems in various states, dedicated Research Universities, state wise are required. Teaching and research are inseparable and in order to impart quality to teaching, a blend with research will have *quid pro quo* benefits. A vast majority of the existing State Higher Education institutions are only engaged in teaching and have not leveraged on the strengths of research in improving the quality of their institutes. Resource crunch is one of the factors inhibiting these institutions from taking up innovative research. Attracting talent to sustain this research is also a bottleneck. However, these institutions have an untapped potential of initiating research; given their already down systems and procedures and compliance with the regulatory framework.

4.8.15.3 Setting up of Research University

Each such Research University can be “seeded” and nurtured through the Abhiyan. In view of the timelines of the Abhiyan, it is more pertinent to upgrade existing institutions to the status of “Research Universities” rather than creating those institutions afresh.

These can be selected from existing universities having achieved a critical standing in terms of establishment, enrolment, rating, research etc. Its academic dimension can be gauged from its well-functioning number of Departments, enrolment of research scholars and research output. The university should have demonstrated an aptitude for research and innovation through more than one Department; whose work has been acknowledged globally. The institute should have demonstrated its research bent by having running collaboration with few industries. There should be a significant percentage of students engaged in research; in order to continuously engage the senior academia in these institutions towards research. The University should come up with agreed benchmarks on governance and compliance with regulatory framework in order to qualify for being a Research University.

4.8.15.4 Nurturing the Research University through the Abhiyan

RUSA would encourage and support the State's endeavours to create Research Universities by improving its infrastructure, creating enabling governance structures which would help achieve academic excellence, attract high quality talent, forge linkages with industry, peer institutions, the academia and other stakeholders and facilitate resource mobilisation for continued enhanced research activities.

The foremost criterion for a University to be termed world class is the quality and excellence of its research, recognized by society and peers in the academic world, which constantly stretches the frontiers of knowledge, contributes to the development of the knowledge society, and attracts outstanding faculty and top students towards it. Consequently, the synergies between teaching and research have to be exploited to create quality institutions. The University should come up with academic collaborations with foreign institutions to further assimilate state-of-the-art developments in its fields of specialization. The funding should take care of student aid and faculty support to actualize such collaborations.

The University should attract talent not only in its faculty but also in its research scholars. Talented faculty can be drawn from the international pool including the Indian diaspora through more attractive service conditions and perks, scheme of joint appointment, skill up gradation schemes etc. More attractive scholarships/ free ships/ fellowships/ other amenities should be offered to the research scholars to imbibe them in research at a younger age. They should have more exposure to industry and globally renowned institutions.

The Research University should be supported with complete autonomy in matters of administration, academics and finances for development of a vision for the future. The research corpus can be managed as per the academic needs of the University; decided through its Governing and Academic Council. Such Councils should be broad-based to include representatives from industry, globally renowned institutions and peer academic institutions.

4.8.16 Adherence to the norms set by regulatory bodies

Regulatory bodies have set certain norms for maintaining quality and standards for institutions that come under their purview. These norms are subject to review by them and are modified from time to time. It is essential that institutions that seek to get support under RUSA must adhere to the norms and standards set by the regulatory bodies.

5**Institutional Structure for RUSA****5.1 National Level Implementation Arrangements**

The composition and functions of the four bodies, namely the RUSA Mission Authority, Project Approval Board, Technical Support Group and the Project Directorate (in MHRD) at the central level for overall guidance, policy decisions and project management, coordination and implementation are described below (Figure 54):

Figure54: Institutional Structure for RUSA**5.1.1 RUSA Mission Authority****(i) Composition**

The Ministry of Human Resource Development (MHRD) will constitute a Mission Authority with the following composition:

- Union Human Resource Minister – Chairperson

- Secretary of the Department of higher education in the Union Ministry of Human

Resource Development, as the Vice-Chairperson,

- Chairperson UGC,
- Chairperson AICTE,
- Chairpersons of the State Council for Higher Education Councils of all states,
- Three Experts in the field of Higher Education,
- Financial Advisor to MHRD,
- Joint Secretary (Higher Education) – Member Secretary

(ii) Meetings

The RUSA Mission Authority will meet bi-annually or as often as required. It will be assisted in its functioning by the Project Directorate. The operational costs of the meetings, including sitting fees for non-official members, will be financed by the project through the MMER budget.

(iii) Functions

The RUSA Mission Authority, besides providing guidance and directions for maximizing gains from the project, will:

- Delineate overall policy and planning
- Review functioning of Project Approval Board
- Allocate funds to Project Approval Board for release to States
- Commission and Review findings from policy reform, thematic and evaluation studies.

(iv) Disclosure

The Minutes of all RUSA Mission Authority meetings will, for ensuring transparency in selections and other decisions, be regularly published on its website.

5.1.2 Project Approval Board (PAB)**(i) Composition**

The Project Approval Board will have the following composition:

- Secretary (Higher Education) – Chairman,
- Chairman UGC,
- Chairman AICTE,
- Chairman State Higher Education Council of the concerned State,
- Two experts in Higher Education Sector,

- Financial Advisor in MHRD,

- Joint Secretary (Higher Education) - Convenor

(ii) Meetings

The Project Approval Board will meet as and when required and will be assisted by the Technical Support Group.

(iii) Functions

The Project Approval Board will carry out the following functions:

- Examine and approve state plans
- Assess performance of states and institutions
- Approve release of funds

5.1.3 Technical Support Group (TSG)

(i) Composition

The composition of TSG will be contractual in nature. The TSG is expected to be an expert body manned by professionals who are hired on contract. The TSG would have Experts from all the fields of higher education.

(ii) Functions

The following functions will be performed by the TSG:

- Monitor flow of funds and information,
- Generate MIS reports as required,
- Provide all operational support to the Project Approval Board

5.1.4 National Project Directorate (NPD)

This will be located within the Department of higher education (DHE) in the MHRD and headed by the National Project Director (NPD).

(i) Composition

The National Project Directorate (NPD) will consists of the following:

- Joint Secretary – Project Director,
- Three Deputy Secretary/Director rank officers,
- Six Under Secretary rank officers,
- Adequate support staff

The National Project Directorate will be responsible for:

- Facilitate holding meetings of the Mission Authority and Project Approval Board,

- Overall project fund management,

- Overseeing project implementation at the central and state levels,
- Policy inputs for Mission Authority,
- Maintain statistical data and MIS reports,
- Engage project auditors as required

5.2 State Level Project Implementation Arrangements

The project would be steered in each states/UTs through an institutional mechanism called State Council for Higher Education (SCHE). The SCHEs would be supported in turn by the Project Directorate (in the State Government) and Technical Support Group. They would report to the SCHEs and will be directly responsible for management, coordination, implementation and monitoring of the project at the state/UT levels.

5.2.1 State Council for Higher Education

The formation of State higher Education Council forms the primary block towards building a sound planning and funding mechanism for higher education. As has been stressed before, given the number of state universities and the large number of students they cater to, it only makes sense to have state as the unit of planning for higher education. State universities, numerous as they are, cannot be monitored though a central system. Also, Center only has a partial role in funding these institutions while States provide the rest of the funding. The lack of coordination between States and Center produces an information gap that leads to faulty resource planning and allocation. The states have often expressed their need to stay informed regarding central allocations to state institutions (National Education Policy, 1886). Thus, it is necessary to create State Higher Education Council as a body that is at an arm's length from the state as well as center, synergizes their resources and fulfills these functions of planning, monitoring, quality control and co-ordination at the state level.

The State Councils for Higher Education would be responsible for planned and coordinated development of higher education in the State and to foster sharing of resources between universities, benefit from synergy across institutions, lead academic and governance reforms at the institution level, establish principles for funding institutions, maintain a databank on higher education and conduct research and evaluation studies.

The Council would be set up as an independent and autonomous body that would deal with the National Implementing Agency, with universities, with State Higher Education Funding

Council as well as the state government and UGC. State Councils may be formed through an executive order, in the beginning, but within five years they must be converted into statutory bodies by State Legislatures.

5.2.2 Composition

The composition of State Councils should reflect the needs and diversity of States for planning and requirement in the higher education sector. However, below is the description of the broad contours of the recommended institutional architecture of State Councils of Higher Education.

The State Higher Education Council should consist of twelve to twenty five members; each with a term of 6 years, of whom one-third will retire every two years. The composition may be as follows: -

- Chairman, an eminent Academic/Public intellectual with proven leadership qualities,
- Chief Executive, an eminent academic administrator with proven record (rank of a Professor) – Chief Executive,
- State Project Director
- Ten to fifteen members, individuals representing fields of Arts, Science and technology, culture, civil society and industry
- Five to Ten Vice Chancellors of State Universities

The Council must meet at least once every quarter. Quorum for the Council meetings shall be $1/3^{\text{rd}}$ of the strength, including the Chairman and Chief Executive.

Chairman

A search committee of three members will appoint the Chairman. Of the committee members, the Council will nominate two and the state will nominate one. The committee will recommend three names to state Government, which will make the appointment. The Chairman will have a three year term extendable by another three years OR one non-extendable term of five years

Chief Executive

A search committee of three members will appoint the Chief Executive. The State may prescribe composition of search committee. The committee will recommend three names to the

Council, which will make the appointment. The Chief Executive will have one non-extendable term of five years.

Members of the Council

At any point in time, seven members of the Council should be from the state and three members must be individuals of national eminence (outside the state). Each member will have a term of 6 years; 1/3rd of the members will retire every 2 years. The existing council will nominate 3 new members every 2 years

Secretariat and Administrative Staff

The council must have its own Secretariat and Administrative Staff. The staff will not be permanent to the Council but brought on deputation from other institutions and state government (for a maximum period of 5 years). Suitable talent maybe be drawn from the system or the industry and compensated adequately

Formation of Councils under RUSA - states with existing Councils

State will appoint a five-member selection committee to select 7 new members and 3 members from existing Council. Selection committee must consist of:

- 2 eminent scientists/social scientists
- 1 former VC of a state university
- 1 former director of Institute of National repute within or outside the state
- 1 former VC of a central university

When the Council is constituted, initially, one-third of the Council members (i.e. three members) should be given one non-renewable term of six-years. Another one-third should be given a four-year term and the remaining one-third should be drawn from existing members, who would be given a term of two years.

Formation of Councils under RUSA - states without existing Councils

The first Council will be appointed by a five-member selection committee to be appointed by the State, whose the members must be:

- 2 eminent scientists/social scientists
- 1 former VC of a state university
- 1 former director of Institute of National repute within or outside the state
- 1 former VC of a central university

When the Council is constituted for the first time, initially, one-third of the Board members (i.e. six members) should be given one non-renewable term of six-years. Another one-

third should be given a four-year term and the remaining one-third would be given a term of two years

Basic roles and responsibilities

The uniform functioning of RUSA across all states would require for the State Higher Education Councils to have the following responsibilities and powers. Under the guidance of this broad framework, the state may modify their individual Councils as required and grant them additional powers.

Table 5: Powers and functions of State Higher Education Council

Regulatory Function
Strategy and Planning
<ul style="list-style-type: none"> • Preparing the State Higher Education Plan (Perspective Plan, Annual Plan and Budget Plan) • Providing state institutions inputs for creating their Plans and implementing them • Coordination between apex bodies, regulatory institutions and government • Promoting use of technology in learning, esp deployment of ICT tools
Monitoring & evaluation
<ul style="list-style-type: none"> • Monitoring the implementation of State Higher Education Plan • Creating and maintaining the Management Information Systems • Compiling and maintaining periodic statistics at state and Institutional level • Evaluating state institutions on the basis of norms and Indicators developed under RUSA (the Council may, for its own use, develop additional norms as it thinks fit)
Quality assurance & academic functions
<ul style="list-style-type: none"> • Faculty quality enhancement initiatives • Quality of examinations • Maintaining quality of Curriculum • Promoting innovation in research • Protecting the autonomy of state institutions
Advisory functions
<ul style="list-style-type: none"> • Advising state government on strategic investments in higher education • Advising universities on statute and ordinance formulation • Advise on matters of regulation of existing private institutions and permission to new ones • Advise on Open and Distance Education (ODL) strategies
Funding Function

Funds managed by the State Higher Education Council will come from RUSA as well as the state government

- Determine the methodology for timely transfer of State's share of funds to institutions
- Disburse funds to state universities and colleges on the basis of the State Higher Education

Plan and transparent norms

State Higher Education Council – Learning from States

An interesting reform that is being witnessed in States is to have a buffer body - State council for higher education – an important goal of which is to assist the states' higher education departments to re-think the role of the university. In states such as Andhra Pradesh, Kerala and West Bengal there already exists a robust apolitical and effective State Council. There has been a less positive experience in Maharashtra, where the Council has not met for two years (Kumar, 2010). However, a committee constituted by the Government of Maharashtra chaired by Dr. Anil Kakodkar, has recently recommended in its report, the setting up of the Maharashtra State Council for Higher Education and Development (MAHED). It has also suggested that MAHED should be made a stand-alone independent statutory body with appropriate and adequate autonomy to help develop higher education right from funding to appointing vice-chancellors.

5.2.3 State Project Directorate (SPD)

(i) Composition

The SPD will consist of State Mission Director and such adequate support staff as may be required for the effective functioning of the State Project Directorate. The State Mission Director must be an IAS officer of the rank of Commissioner/Secretary.

(ii) Functions

The SPD will perform the following functions:

- Overseeing project implementation at the state level
- Maintain statistical data and MIS reports
- Engage project auditors as required

5.2.4 Technical Support Group (TSG)

(i) Composition

The composition of TSG will be contractual in nature.

(ii) Functions

The following functions will be performed by the TSG:

- Monitor flow of funds and information,
- Generate MIS reports as required,
- Provide all operational support to the State Higher Education Council

5.3 Institutional Level Implementation Arrangements

The project at the Institutional level will be managed by two bodies; the Board of Governors (BoG) and a Project Monitoring Unit.

5.3.1 Board of Governors

(i) Composition:

Each Institution will necessarily (please see eligibility conditions) have its own BoG as per the State Universities Act or as per the guidelines issued by regulatory bodies or, as the case may be, either appointed by the sponsoring Government or by itself through due procedure.

(ii) Meeting:

The BoG will meet at least quarterly or as often as required and the minutes of BoG meetings will be published on Institution's website as promptly as possible. It will perform the following functions in the context of this project.

(iii) Functions:

- Take all policy decisions with regard to smooth, cost effective and timely implementation of the Institutional project,
- Form, supervise and guide various Committees required for project implementation and internal project monitoring,
- Ensure overall faculty development,
- Enable implementation of all academic and non academic Institutional reforms,
- Ensure proper utilization of project fund and timely submission of Financial Management Reports (FMRs) and Utilization Certificates,
- Ensure compliance with the agreed procedures for procurement of Goods, Works and Services and Financial Management,
- Ensure compliance with other fiduciary requirements under the project such as Access, Equity and Excellence Assurance Plan (EAP), and Disclosure Management Framework (DMF), and
- Monitor progress in the carrying out of all the proposed activities, resolve bottlenecks, and enable the Institution to achieve targets for all key indicators.

5.3.2 Project Monitoring Unit

Each Institution will form an Institutional Monitoring Unit with appropriate representation from academic officials of the Institution, faculty, senior administrative officers, technical and non-technical support staff and students. The Unit, headed by the Head of the Institution, will be responsible for monitoring of the Institutional project. An institutional arrangement will be created separately for implementation of the project; it will be in line with the governance reforms proposed under RUSA.

The Institutional Unit will perform the following roles:

- Procurement of Goods, Works and Services,
- Financial management,
- Implementation of faculty and staff development activities and programs,
- Monitoring project implementation,
- Achievement of targets for all indicators as proposed and keeping MIS updated,
- Organizing efficient conduct of monitoring and performance audits, etc.

6**Role of Private Sector**

The scheme operates on the premise that State's will make a pre-defined matching contribution to the Central Government's share. Clearly, given that the volume of public resources is limited, the government has to find innovative and newer avenues for addressing access, equity issues in addition to funding, promoting research and upgrading quality while focusing on scale to meet the requirements. It is the commitment of RUSA to encourage private participation in the higher education, but with necessary caution to be exercised against profit objectives or commercialization. It will be possible for the state to mobilize 50% of the state contribution through private participation or contributions/donations etc. It is possible for the states or the institutions to garner these resources in shape of

- Philanthropic contributions
- Donations/Grants from private companies/trusts/NRIs
- Establishing chairs/Schools/Departments
- Public Private Partnerships
- Knowledge Parks/Innovation centers/Centers of Excellence
- 2% corporate social responsibility funds
- Viability Gap Funding
- Rural Infrastructure Development Fund
- Innovative debt instruments
- Specific research grants with IPR sharing

The corporate sector as key stakeholder in higher education can play a pivotal role in improving our current higher education system as well as in meeting future aspirations. Corporations can collaborate with the academia in several ways, with varying funding commitment:

- Direct ownership and management of institutions
- Collaborating with the higher education institutions in research, faculty development, infrastructure creation, student scholarships, and governance.

While the government can endeavor to transform a select group of Indian higher education institutions into world class institutions and attract investments for new institutions by easing current norms, overcoming systemic challenges, creating a conducive environment for higher education to thrive in and focusing on quality of the institutions and the outcomes

(students, research output), some issues need to be addressed to ensure productive participation from the corporate sector.

The government needs to transform itself from a provider of higher education to play key roles in enabling and establishing an appropriate regulatory framework to set quality standards for higher education.

1. Create enabling conditions to make the higher education system robust and useful to attract investments.
2. Improve the quality of higher education by focusing on research and faculty development, with corporate sector participation.
3. Engage the corporate sector to invest in existing institutions, set up new institutions, and develop new knowledge clusters.

To adequately leverage the corporate sector, it is important to look at the entire set of engagement models to ensure significant participation as well as diversity. The recommendations and ways to execute them effectively are suggested.

Corporate participation in the higher education sector is vital however, to encourage this participation, it is important to create an enabling environment in the existing higher education system that allows existing institutions to become world-class, as well as facilitate the establishment of new world class institutions.

A. Towards creating enabling conditions to make the higher education system robust and useful to attract investments.

1. Autonomy– in financial, regulatory, academic and administrative aspects
 - a. Accountability
 - b. Governance
2. Resources – ensuring availability of land, infrastructure and connectivity
3. Fiscal incentives – to encourage investments and attract funding
4. Enabling environment – (such as visas) for free movement of faculty and students to promote collaboration with world-class institutions abroad
5. Accreditation - Freedom to accredit with global accreditation agencies to put Indian institutions on par with the best
6. Access to funding for Students – through scholarships to enable students to pursue their chosen fields of study

B. Towards corporate participation in improving quality by enhancing research focus and faculty development.

7. Enhancing research focus – through dedicated funding for research, sponsored doctoral programs, and part-time Masters and PhD programs

8. Faculty development – by increasing the talent pool of faculty from corporates (working and retired), faculty development programs, and sponsorships of visits by expert faculty

C. Towards creation of new infrastructure through corporate investments in higher education.

9. Setting up of new facilities by the corporate sector in existing universities and higher education institutions either as Centers of Excellence (CoEs) or in the form of technology parks.
10. Creating new universities and higher education institutions. (through Public, Private & PPP)
11. Developing new knowledge clusters / hubs.

The recent recommendations of the Narayana Murthy Committee have identified three targeted outcomes from corporate sector participation in higher education system.

1. Upgrade up to 75 ‘top-of-the-class’⁹⁰ universities and higher education institutions at a typical investment of Rs.175-200 crores per institution.
2. Create 20 new ‘world class’ universities and higher education institutions by Pvt. or PPP at a typical investment of Rs. 500 crores per institution.
3. Develop 20 new national knowledge clusters in identified cities and educational hubs through the PPP model at a typical investment of Rs. 500 crores per cluster / hub.
4. Mobilizing an additional 5,500 faculty members through a mix of international recruitment (about one-third of the total), development and improvement in the quality of domestic PhDs, and involvement of leading practitioners from the Indian industry.

One of the cornerstones of RUSA is enhancing access of higher education to those areas and sections of society, which have so far been unserved or underserved, and improving infrastructure and facilities in existing institutions. Seeking private investment in such cases poses a challenge that needs to be met. Investment in higher educational infrastructure yields high social and economic returns, but the financial returns may not be adequate for an investor.

⁹⁰ Committee on Corporate Sector Participation in Higher Education submitted to the Planning Commission, May 2012.

States could look at incentivizing corporate/private sector participation by means of Viability Gap Funding (VGF), administered by the Ministry of Finance. In such cases, where the corporate/private sector would make bulk of the investment, the States could meet a portion of the cost, making the project viable. VGF is typically provided in competitively bid projects with those investors needing the least VGF support being awarded the project. The central government meets up to 20% of capital cost of a project being implemented in public private partnership (PPP) mode by a central ministry, state government, statutory entity or a local body. Under RUSA, the state government can pitch in with another 20% of the project cost to make the projects even more attractive for the investors.

Additionally States may make use of the Rural Infrastructure Development Fund (RIDF) instituted with the objective of providing low cost fund support to State Governments for completion of ongoing projects relating to rural infrastructure. While initially RIDF was for financing of ongoing rural infrastructure projects in the agriculture sector, since then projects in the area of rural education Institutions, public health Institutions, construction of toilet blocks in existing schools, especially for girls etc. have been supported. State projects under RUSA could also be considered for support under RIDF.

Both the Central Government and State Governments could always look at leveraging resources both from the Corporate Social Responsibility budget of the Public and the Private Sector, Philanthropic contributions of wealthy individuals and non-resident Indians.

7

Approach, Planning and Appraisal

Under RUSA, a detailed planning and budgeting exercise is taken up every year to fix the annual targets for program implementation and the required budget for them. To effectively implement and monitor the activities during the year, each Implementing Agency in the State is required to prepare a plan of action. This should indicate the physical targets and budgetary estimates in accordance with the approved pattern of assistance under the RUSA. These should cover all aspects of the program activities for the period from April to March each year, and are sent by each State/ UT to the Ministry of Human Resources Development, GoI for approval well before the start of the year. It is important that the action plan is realistic, practically implementable and correlates the physical outputs with the cost estimates.

7.1 Bottom up Approach

RUSA follows a Bottom Up approach for planning and budgeting. The process begins at the Institutional Level, which prepares the “Institutional Action Plan” based on inputs/ discussions with the multiple – stakeholders within its jurisdiction and sends to the SCHE. In addition, the SCHE should also engage in consultation with multiple stakeholders across the State taking into account regional requirements as also requirements in keeping with equity and access concerns (especially underserved and backward districts). These Action Plans are then aggregated to form a State Higher Educational Plan (SHEP). All SHEPs are reviewed and compiled to estimate the next year's fund requirements for program implementation activities under RUSA.

This requires setting up of planning teams and committees at various levels i.e. at Underserved and backward districts, regional zones, educational institutional level through active participation of multiple stakeholders which will help perform both planning and on-going monitoring functions. The process of giving inputs and consolidation of plans will be through a bottom up approach.

The States and SHECs should function not merely as agencies to aggregate the institutional plans at state level. They are required to consider the entire state as a single unit of planning. Their role is more towards ensuring a balanced development of higher education in the entire state. The state plan must include strategies to address spatial and geographical gaps, perspective discipline planning etc. The state has to identify un-served/under-served areas and make special provisions for the new institutions to come up in those areas. The plans must also

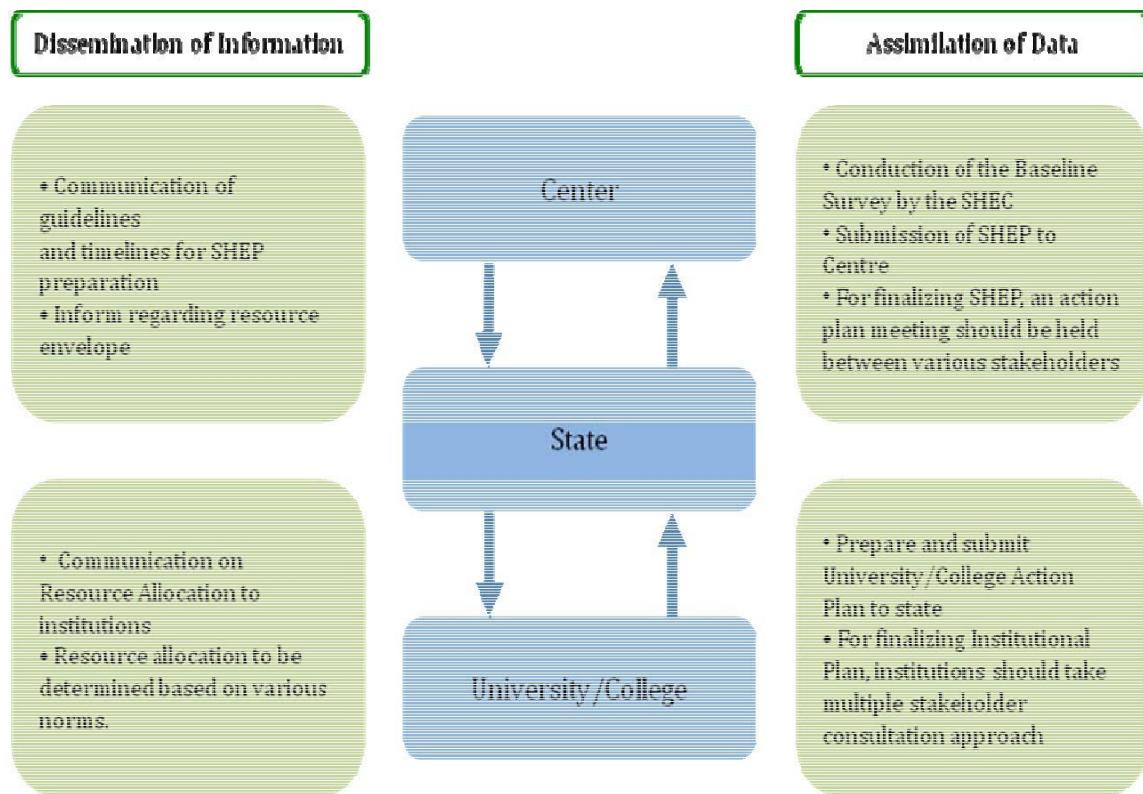
address the problem of institutional congestion and have a strategy to deal with the same. Similarly, state must also look at the state as a single entity to plan for affiliation reforms and creation of new universities etc.

7.2 Process of Preparation of Plans

The Ministry of Human Resource Development is the nodal agency administering the RUSA program. It receives the budget targets of participating states, reviews/ analyzes them & then gives approvals & makes disbursements, and so the entire process runs through a two-way mechanism:

- “Budgetary Demands” emanating from Institutions to the MHRD, GoI through the State Councils
- “Budgetary Approvals/ Allocations” conveyed from MHRD, GoI to the State Councils and in turn to the institutions

Figure55: Preparation of State Plans



7.3 Resource Allocation

The MHRD follows norm and performance-based approach to allocate funds to various States. The overall allocation is made on the basis of student population (18-23) of the states. An additional weightage has been assigned to the States to ensure enhanced allocation of resources to states with weak socio-economic and health indicators. Further, resources will be allocated on the basis of norms and further incentives will be provided on the basis of performance. The following will be the scheme for resource allocation to different category of States. This approach ensures more resources to the States which are critical for achieving the objectives of RUSA.

Category	States	Center: State Contribution
N.E states and J&K	Assam, Manipur, Meghalaya, Arunachal Pradesh, Nagaland, Mizoram, Tripura, Jammu & Kashmir	90:10
Special Category States (Others)	Sikkim, Himachal Pradesh and Uttarakhand	75:25
Other States and UTs	All other states/UTs	65:35
Private aided institutions	For all states/UTs	50:50

Under RUSA socio-demographic variables like rural/urban distribution; proportion of SC/ST and vulnerable groups; districts with adverse education indicators; difficult, most difficult and inaccessible areas, left wing affected districts etc. are considered while allocating resources to the districts.

7.4 Resource Envelop

The Resources allocated to a particular state for any given financial year is termed as the “Resource Envelope”. The resource envelope for a Financial Year consists of:

- Uncommitted Unspent Balance.
- GoI Allocation (BE) proposed for the year.
- State Share Contribution due for the year.

7.5 Institutional Higher Educational Action Plan

The IHEAP depicts the resource requirements at Institutional Level as well as at its sub units for program implementation in terms of infrastructure, HR, procurement, schemes execution etc. and provides an overall budget required for the Institution to execute those activities. The Institutional Governing Structure is responsible for the preparation of IHEAP that needs to be done by constituting a Planning team responsible for providing overall guidance and support to the planning process.

7.6 State Higher Education Plan

After submitting the Institution Plans to the SHEC, they are to be reviewed in detail at the state level and finalized through extensive meetings/ discussions with the various stakeholders. The requirements for all the areas/institutions are clubbed with the State level budgetary requirements to form the State Higher Education Plan. This annual SHEP will help the states in identifying and quantifying their targets required for program implementation for the proposed year. However while sanctioning the resources, MHRD would ensure that these plans are organically linked to the overall perspective plans. Therefore, a perspective plans in the required template would be the guiding document to ensure that over all objectives of the state plans are not lost sight of.

7.6.1 Key considerations while drafting SHEP

Some of the key aspects, which must be considered for preparation of SHEPs, are given below:

- Funds released under RUSA do not lapse at the close of the Financial Year but are carried over to the next Financial Year in the form of committed and uncommitted unspent balances.
- Clear demarcation of Committed Unspent and Uncommitted unspent balances has to be made. The states need to show the quantum of usage of funds in the previous year and the quantum of unspent funds lying with them. The previous year funds lying with the states need to be clearly demarcated and shown under the heads:
- Committed Unspent Funds: These funds are meant for those activities for which implementation have already started, are underway, or have been administratively approved but not implemented fully. These balances need to be indicated by the state activity wise while proposing the SHEP for the next Financial Year. The State/UT may also provide the estimated timelines for utilization of committed liability, preferably within next two quarters.

- Uncommitted Unspent Funds: The funds lying with Institutions which could not be committed for utilization during the year should also be worked out and incorporated in State level unspent balances.
- Ceiling on Civil works: A portion of state funds is used on civil works. Ideally the proportion of civil works would not cross 50% of the total resource requirements. This can be relaxed in exceptional cases with the approval of the Mission Authority. Also, all the civil construction work should be taken up only after including the manpower & equipment requirements so that a large portion of public funds is not blocked in unutilized buildings.
- Ceiling on Program Management Costs: A maximum of 6% of approved SHEP may be spent on program MMER activities (management, monitoring, evaluation and research) such as hiring of consultants coming under the ambit of program management, monitoring and evaluation, audit expenses, mobility support, office expenses, purchase of computers, office furniture & fixtures, fax machines etc.
- State's Share: The states participate with the centre in funding the RUSA program. States are required to contribute 10% to 35% of the total amount released. It should be ensured that all along the state expenditure on health increases in real terms and there is no substitution of the state expenditure by Central expenditure.

7.6.2 Format of SHEP

Another important aspect of the budget is the format in which it is presented. The format should be crisp, well defined and easily decipherable at all levels. For this, Ministry prepares the framework and guidelines for preparation of SHEPs that will be circulated to the States and UTs each year for submission and approval of their Budget for the forthcoming year. These guidelines aim to reduce the size of the framework and demand of information from the states, so as to make SHEPs less bulky without compromising with the strategic inputs and other essential information. The new format of SHEP will be made available online on the Mission website. As per the format, following are the broad contents of the SHEP:

- Executive Summary
- Outcome analysis of last SHEP
- Policy and Strategic Reforms in Strategic Areas
- Conditionalities
- Scheme/ Program under RUSA

- Monitoring and Evaluation
- Financial Management
- State Resources and Other sources of funds
- Priority projects if other resources are available

7.6.3 Approval Process

The Project Approval Board at GoI level undertakes detailed review of the SHEPs submitted by the states. It will also assess the performance of the State and look at the targets that have been set. The SHEP will then be approved by the PAB (in case any changes are made the states will make the changes and resubmit the same to PAB) and funds will be released to states accordingly.

7.7 Timelines

The Financial Year beginning from 1st of April is the commencement date of the Annual Project Implementation Plans. Hence, the budget needs to be approved and communicated at all levels before this date. This implies that it needs to be sent for approval and consented at all levels of authority before 1st April. The success of budgeting exercise is dependent on adherence to time schedules. Delays in submissions and approvals can delay the finalization of the SHEPs. Hence, RUSA will specify the dates by which submissions and approvals need to be carried out. The tabular representation of the time schedule to be followed is given below:

Table 6: Detailed Timelines (to be intimated to States at the start of the project)

Activity	Timeline
Submission of Institutional Plans	
Receiving of SHEP in MHRD	
Pre-appraisal meeting	
Discussion at National Steering Committee/PAB	
Approved SHEP sent to the SHEC after the approval at GoI	
Transfer of first installment of money to SHEC	
Receipt of Expenditure Statement/MHRD review	
Transfer of second installment	

7.8 Revision of Budget

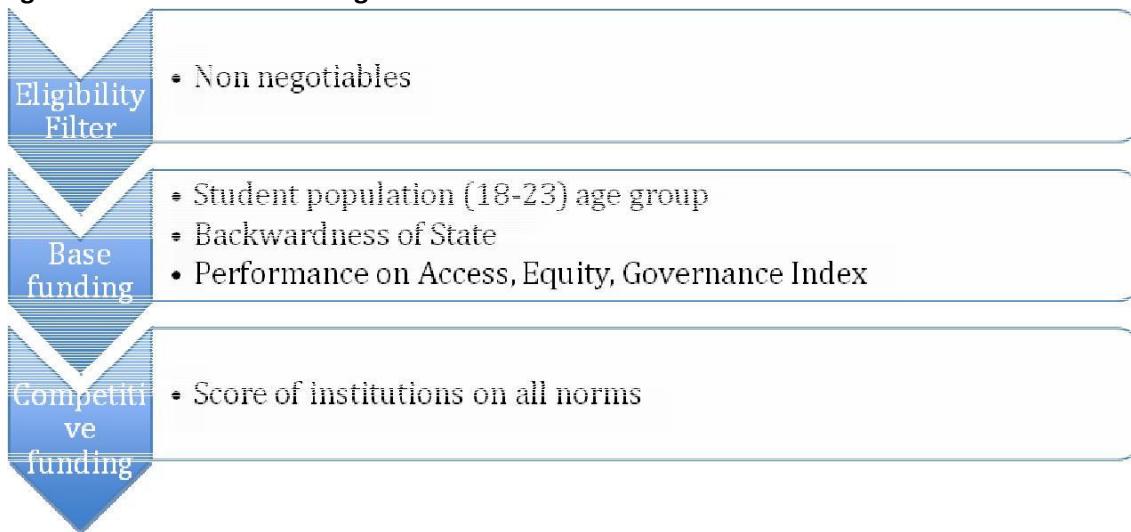
After the finalization of the SHEP, the states can place an additional demand for funds for any specific purpose to the Ministry. After review and feedback from the concerned program divisions, the Ministry may approve or disapprove the request. In case of an approval, a letter/corrigendum shall be issued to the state notifying the approved amount and the subsequent change in the RoP of the state.

8.1 Norm based funding

As already discussed, central funding should be strategic, based on State Higher Education plans which should be leveraged to stimulate enhanced state funding. It is imperative also that central funding is linked to academic and governance reforms. The most transparent and objective way to do so would be through norm-based funding for state universities and colleges. In addition institutions should be encouraged to raise their own funds through various legitimate means. Allocation of operating budget should be based on objective norms and new investments based on competitive grants and performance contracts.

The overall norm based funding schema should apply filters at the primary, secondary and tertiary levels to determine the eligibility of institutions to receive funding. At every level, the kind of funds for which the institution becomes eligible will be defined. The norms, which would determine the eligibility of institutions to receive funding, would also grade the institutions based on their level of compliance to regulations to determine the quantum of funding. The institutions will be given an objective score against these norms and it will decide the quantum of funds they will be eligible for.

This funding would necessarily have to be expended in the higher education sector in the state – and would not substitute state funding, since the state government would have to necessarily increase its annual investment by a fixed percentage. As such, the funding will not be cost-based in which the Center finances specific investments, rather the center's funding contributes to the state's investment program in higher education. As part of the design, it would be discussed to which degree the norms would vary in a pre-fixed and transparent manner across states to take into account differences in sizes, priorities, and sector characteristics.

Figure56: Norm based funding

8.2 Performance based funding

The other component of RUSA would be performance based funding. The State Higher Education Councils will create State Higher Education plans. These would serve as the benchmark against which the performance of the state and particular institutions will be graded. Depending upon the level of achievement in various spheres of the plan, the funding for the future would be decided. Of course, the funding for the future would also take into account the new Plans submitted by the Councils. This assessment would clarify the state and institutions ability to fulfill the targets it sets for itself; it will also trigger healthy competition amongst the institutions.

8.3 Flow of funds

RUSA will receive nearly Rs xxxxx over the next two plan periods. Various aspects pertaining to flow of information and flow of funds will be covered in the following sections.

8.3.1 Key Sources of Funds

The funds given to the State Council of Higher Education Societies mainly consist of the following components:

- Grants-in-aid - Made by or through MHRD, GoI
- Contribution by the State Government - As per RUSA Framework of Implementation, all States and UT all SHEC receiving grants from the Central Government. Centre-State funding to be in the ratio of ratio of 90:10 in the North Eastern states and J&K, 75:25 in special category states and 65:35 for other states and UTs.

Key requirements in this regard are given below:

- The state contribution made by the State Government will be booked as expenditure in the State Budget at the time of its release to the SHEC.
- The states would have to ensure availability of sufficient land for new construction activities free of cost. The cost of land acquisition, if any can not be made a part of the total outlays.
- For utilization, the state contribution must be proportionately utilized among the different programs.
- For reporting, the same may be reflected separately in the periodical FMRs and Statement of Funds Position (SFPs) and a separate Utilization Certificate of the total amount utilized along with unspent balance, if any, would be required to be furnished at the end of the financial year.
- The States/ UTs will also send the proof i.e. the copy of the bank statement showing the credit of the state share into the RUSA Account to Ministry.

8.3.2 Fund Flow from MHRD to State

FMG at the GoI level puts a proposal to the Integrated Finance Division (IFD) for fund release.

- Approval of Director Finance & (Appropriate Authority) has been taken for fund release to State/UTs concerned.
- After the approval, sanctions are issued to respective SHEC accounts after uploading on the website of the Controller General of Accounts (CGA). After this funds are transferred online to the states/ UTs.
- The State should also deposit its proportionate share to the SHEC in the same financial year and confirm the credit of State's share under RUSA (Based on total Releases under RUSA) within 7 days of such credit to the Ministry.
- The funds with the SHEC do not lapse at the close of financial year. SHEC is empowered to utilize the unspent balance during the next financial year for the same purpose for which the funds were allocated. The amount shall however be taken into account while releasing grants-in-aids for the next year. Also, the amount remaining unutilized at the close of the program shall either be refunded or utilized in a manner as decided by the Government of India.

8.3.3. Fund Flow from State to Institutions (Universities and Colleges)

SHEC should transfer the funds to the districts/institutions/executing agencies within 15 days of the receipt of funds from GoI. These funds include all components agreed to in the State Higher Education Plan as agreed to by the GoI.

- SHEC should directly credit to the bank account of the institutions
- The releases made to Institutions should be as per the approved Institutional Action Plans and after adjusting unspent balances from the previous year

8.3.3.1 Frequency of Fund Release

The funds are released in tranches based on the utilization of previous funds. Normally, the funds are released in a minimum of two or more tranches if required.

8.3.4 Key Conditions Precedent to Fund Release

Based upon the approval of the State Higher Education Plans (SHEPs) by Project Approval Board, RUSA Mission Authority will release funds to the SHEC in accordance with the General Financial Rules (GFR), 2005 of Department of Expenditure, Ministry of Finance, and Government of India. Rule 212(1) of GFR rules 2005 states that:

“Ministry/Department concerned should release any amount sanctioned for the subsequent financial year only after Utilization Certificates/FMR on provisional basis in respect of grants of the preceding financial year is submitted. Release of grants-in aids in excess of 65% of approved SHEP shall be done only after the Utilization Certificates and the Annual Audited Statement relating to grants-in-aids released in preceding year are submitted to the satisfaction of the Ministry concerned. Ministry or Department would, however, ensure even flow of expenditure throughout the year. Reports submitted by the Internal Audit parties of the Ministry or Department and inspection reports received from Indian Audit and Accounts Department and the performance reports, if any, received for the year should also be looked into while sanctioning further grants.”

It should be ensured at all levels that the funds provided for various programs are used for the purpose for which they were given and should not be mixed with other funds.

8.3.4.1 Tranche Release Arrangement

The tranches of funds are released by the PAB only when precedent conditions are fulfilled. The release of funds and conditions required to be fulfilled for each tranche are given below in tabular form:

(to be added)

8.3.5 Banking Arrangements

To facilitate movement of funds, proper banking arrangements at all levels is crucial. All funds are transferred through RBI approved banks. The transfer should take place through the CPSMS portal so as to ensure the following:

- Tracking Flow of Funds
- Online information of bank balance
- Track Utilization of money
- Ultimate e payment to the beneficiary
- Dissemination of relevant information to the end users
- Decision Support System for all levels of program heads
- Enhance transparency and accountability in public expenditure

The fund flow movement along with the banking arrangements is depicted in the flow chart given below:

8.3.6 Central Plan Scheme Monitoring System

The Central Plan Scheme Monitoring System (CPSMS), is a Central Sector Plan Scheme of the Planning Commission and is being implemented by the Office of Controller General of Accounts. The scheme aims at establishing a suitable on-line Management Information System and Decision Support System for the Plan Scheme of the Government of India. With 139 Central Sector Schemes (CSS) and more than 800 Central Sector Schemes (CS), along with State Plans and Additional Central Assistance (ACA), the CPSMS aims to track almost Rs.300,000 Crores. The system is envisaged to track the fund disbursement from Government of India up to the last beneficiary under Plan Schemes and ultimately report utilization under these schemes at different levels of implementation on a real time basis.

8.3.6.1 Objectives of CPSMS

1. Release of Funds:

- To capture all releases from the Central Civil Ministries to States / Special Purpose Vehicles (societies) / Autonomous bodies / NGOs / individuals
- To register all agencies receiving these releases.

- To capture component-wise releases expenditure from Special Purpose Vehicles (societies) / Autonomous bodies / NGOs to subsequent implementing agencies in the States/UTs.

2. Utilization of Funds:

- To capture beneficiary-wise and component-wise fund utilization by implementing agencies at the State, District, Block and lower levels under various Plan Schemes of Government of India.
- Payment to ultimate beneficiary through the banking channel.

3. Reforms in the area of Public Financial Management:

- Move from prescriptive fund release system to ‘just in time’ fund release system minimizing float with the banks hereby leading to a better fiscal deficit management.
- Moving from the system of booking fund releases as ‘expenditure’ to a system of booking actual utilization reported from the field as ‘expenditure’.
- Providing on-line status of fund utilization on a real time basis both under the fund devolved through the Treasury route and SPV route, leading to a better Decision Support System.
- It will help in online transaction monitoring

8.3.6.2 Operating the main Bank Account

In addition to the above points, the following points should be noted for compliance while operating the Group Bank Account:

- The main Group account will be utilized for crediting funds received under all RUSA Programs from GoI.
- Cheque signing mandate to be given to the bank having Group account will be as per guidelines issued on 14-12-2006 and in line with delegation of powers issued by Ministry and/or State Govt.
- The number of bank accounts at Institutional level may be kept at minimum so as to discourage scattered maintenance of RUSA funds as this results in weak financial management and poor internal controls

Do Nots

- No funds would be kept in the form of a Fixed Deposit or any other investments of any nature other than the saving bank account. Moreover, savings accounts should be vanilla/simple savings bank accounts and not smart savings bank accounts.
- Accounts at all levels may preferably be kept in government approved banks. In case there are no approved banks in the region then accounts can be maintained with the post office.
- No funds other than GoI releases and State's contribution should be kept in RUSA bank Accounts. Separate Bank Account to be maintained for funds received from other sources.

8.3.6.3 Signatories to the Bank Account

- Under RUSA, a mandatory practice of Joint Signatories exists which should be in accordance with the RUSA Guidelines on finance, accounting and fund flow
- A set of four designated signatories at State & designated signatory at Institutional level, to be notified. Any two of those can jointly sign cheques/issue electronic instruction for e-banking to operate all bank accounts.

8.4 Flow of information

Since RUSA's basic principle in norm-based funding, the backbone of the plan is the information on the basis of which norm-based and performance appraisal decisions can be taken.

University

The basic Unit of Information collection will be the university. The university will collect all the information from affiliated and constituted colleges. The information will be collected through the Management Information System that will be developed and installed in all universities for this purpose.

State Higher Education Council

The State Higher Education Council will collate this information at a state level. The responsibility of timely and accurate data collection and maintenance of the MIS systems is one of the major responsibilities of the State Higher Education Council. This information would have three-fold use for the Council:

- Assessing the performance of every university on an yearly basis, in terms of the norms set by RUSA and advising universities to improve their performance
- Assessing the performance of universities against specific grants or project based funding
- Formulation of the five/ten year state education Plans on the basis of the current performance and possible future growth

RUSA Mission Authority/Project Approval Board

The Information collected on a state- wise basis would be sent to the RUSA National Implementation Agency. At this level, the information will be used to ascertain eligibility of the institutions for further funding for the next financial period.

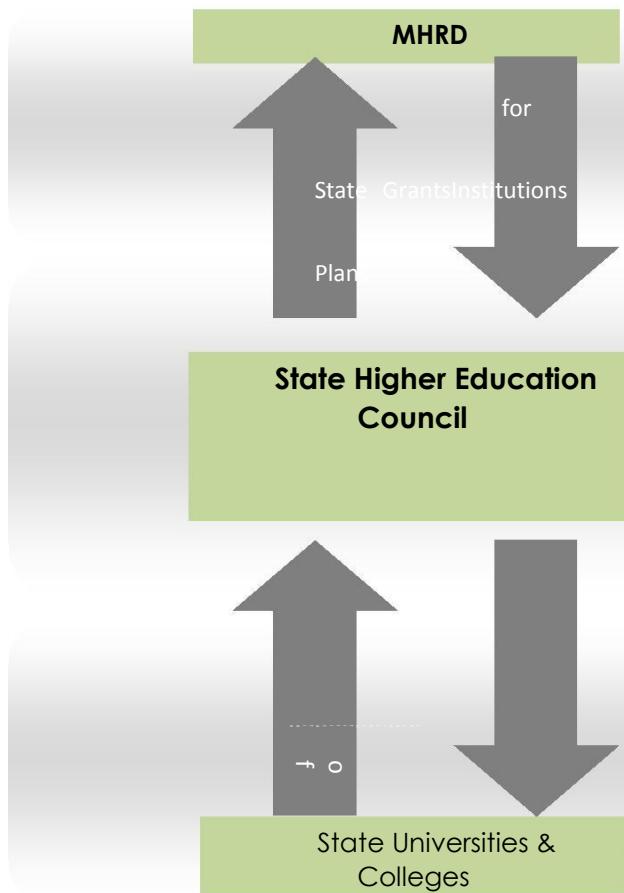
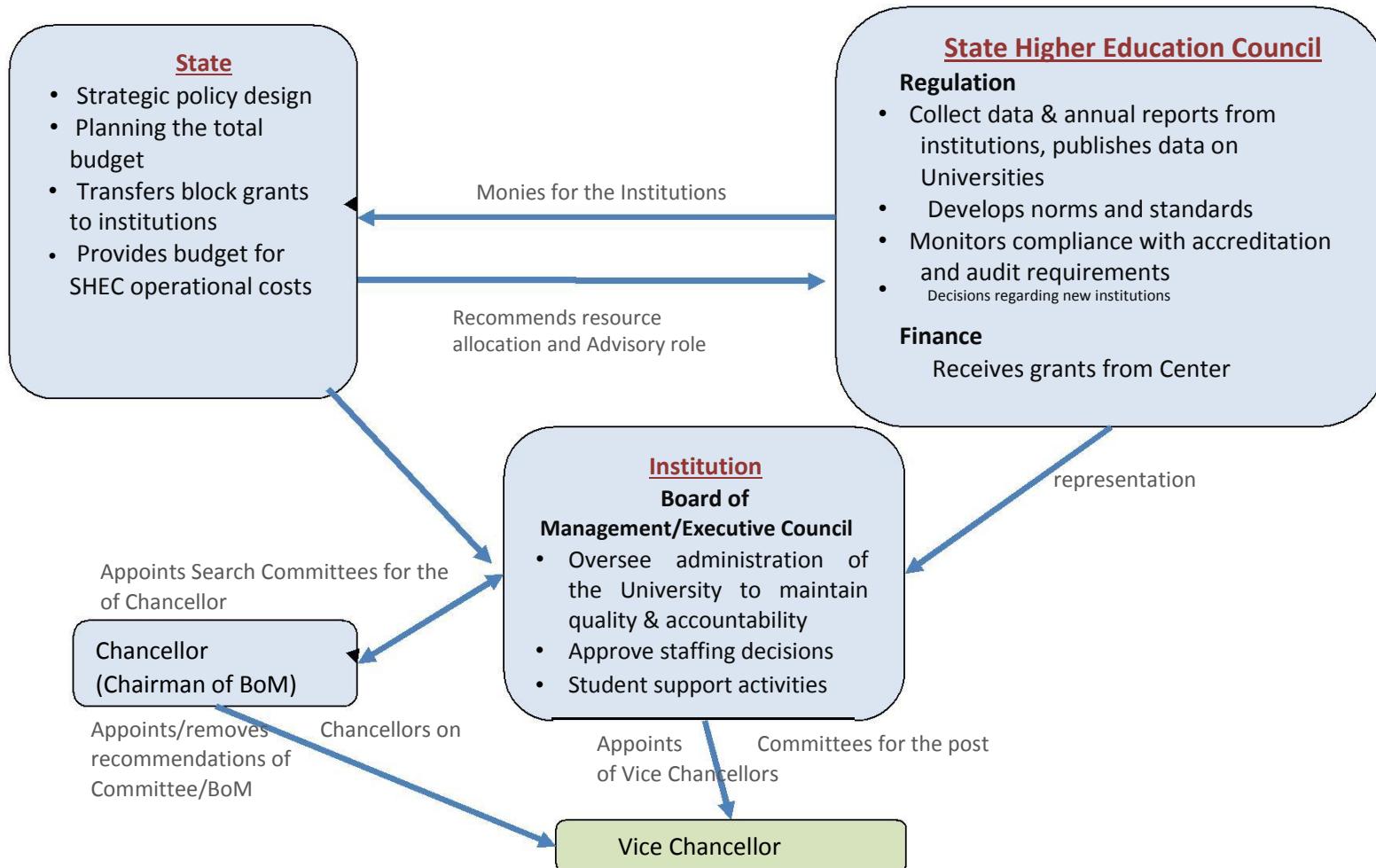
Figure57: Flow of funds and information

Figure 58: State Higher Education Council and other Institutions⁹¹



⁹¹ This model has been developed by Venkatesh Kumar, B. and Soumya Mishra from TISS based on their ongoing work on Governance Reforms in Higher Education in Madhya Pradesh as a part of the World Bank team.

8.4.1 Management Information System

Collection of data from state universities has not been attempted at this level ever. The existing mechanisms are inadequate to capture the required data in a timely fashion. Hence, the first step towards implementation of RUSA would be the installation of a new Management Information System, developed for all the institutions falling under the scope of RUSA. A common tool would be developed to get standardized information that would help in the calculation of norms.

Universities and colleges will be provided adequate infrastructural support to install the MIS and required training to the personnel for using the system.

Annexures

Annexure I: States at a Glance

States at a Glance

State	Population (18-23 years)*	GSDP** (in Rs Crores)	Total Expenditure on Higher Education* **	Expenditure on Higher Education as % of GSDP	Per Capita Expenditure on Higher Education (18-23 years)	Institutional Density **** (per 1000 sq kms)	Total Enrollment *	No of Institutions (Universities)*****	GER *	
Andhra Pradesh	9,775,299	676,234	5,760	0.85%	5,893	15.0	1,653,708	46	4066	16.9
Arunachal Pradesh	168,569	9,357	28	0.30%	1,679	0.2	25,329	3	16	15
Assam	3,654,299	115,408	1,183	1.02%	3,237	6.6	327,331	10	507	9
Bihar	11,776,553	262,230	1,438	0.55%	1,221	7.2	1,300,094	21	653	11
Chhattisgarh	2,821,539	135,536	1,060	0.78%	3,756	4.9	565,157	15	641	20
Goa	186,551	44,460	273	0.61%	14,646	15.1	52,844	2	54	28.3
Gujarat	6,731,761	513173^	1,991	0.39%	2,958	9.5	1,070,283	36	1836	15.9
Haryana	3,104,342	309,326	1,193	0.39%	3,843	20.9	593,895	22	902	19.1
Himachal Pradesh	780,865	63,084	535	0.85%	6,848	6.5	186,813	18	344	23.9
Jammu & Kashmir	1,525,690	62,365	682	1.09%	4,471	1.5	277,623	11	328	18.2
Jharkhand	3,858,431	465,552	164	0.14%	426	3.0	364,459	12	231	9.4
Karnataka	6,945,436	4,154	979	0.21%	1,409	16.3	1,260,038	42	3078	18.1
Kerala	3,325,791	326,693	2,208	0.68%	6,640	27.8	435,885	19	1063	13.1
Madhya Pradesh	8,331,284	259,903^	3,295	1.27%	3,955	7.3	1,239,756	28	2236	14.9
Maharashtra	12,815,936	1,029,621^	1,398	0.14%	1,091	15.2	2,737,264	44	4631	21.4
Manipur	332,126	10,188	126	1.23%	3,782	3.5	49,181	3	76	14.8
Meghalaya	359,172	17,459	58	0.33%	1,621	3.3	55,394	9	64	15.4

Mizoram	134,318	6,058^	74	1.22%	5,498	1.5	35,631	3	28	26.5
Nagaland	265,224	12,065	64	0.53%	2,419	3.6	42,727	4	55	16.1
Odisha	4,730,288	226,236	1,258	0.56%	2,659	7.2	536,374	19	1100	11.3
Punjab	3,235,528	259,424	884	0.34%	2,732	17.3	348,418	17	852	10.8
Rajasthan	8,004,549	323,682^	1,342	0.41%	1,676	7.2	767,656	48	2412	9.6
Sikkim	77,530	5,652^	19	0.34%	2,464	2.8	19,237	5	15	24.8
Tamil Nadu	7,287,994	635,044	9,550	1.50%	13,104	17.9	1,385,251	59	2267	19
Tripura	464,427	19,731	217	1.10%	4,675	4.0	52,786	3	39	11.4
Uttar Pradesh	23,358,655	676,083	1,219	0.18%	522	16.3	2,536,357	58	3859	10.9
Uttarakhand	1,205,298	87,350	354	0.41%	2,941	7.1	434,203	19	360	36
West Bengal	10,464,321	549,876	1,698	0.31%	1,623	10.9	1,249,659	26	942	11.9
Andaman Nicobar Islands	53,001	4,241	0	-	-	0.7	13,872	0	6	26.2
Chandigarh	149,413	20,704^	0	-	-	245.6	41,792	3	25	28
Dadra & Nagar Haveli	44,211	n.a.	0	-	-	2.0	1,947	0	1	4.4
Daman & Diu	44,147	n.a.	0	-	-	35.7	1,037	0	4	2.3
Delhi	2,160,269	313,934	798	0.25%	3,693	180.7	1,035,122	25	243	47.9
Lakhshwadeep	7,789	n.a.	0	-	-	93.8	410	0	3	5.3
Puducherry	148,632	13,724	67	0.49%	4,479	187.9	43,207	4	86	29.1
Total/Average	138,329,238	8,279,976	39914.35	0.53	-	10.2	20,740,740	634	33023	15.0 ^^

* Higher Education Statistics, Ministry of Human Resource Development, 2010-11 (data as of September 2009)

** Directorate of Economics & Statistics of respective State Governments, and for All-India, Central Statistics Office. GSDP as of 1st March, 2012

*** Estimate of Expenditure towards Higher Education (2009-10), Ministry of Statistics and Programme Implementation

**** Census 2011 (Provisional)

***** UGC Higher Education at a Glance 2012, data as of December 2011

^ Data as of 1st March, 2011

^^ According to the All India Surevy of Higher Education (as of 31st July, 2012) GER is 18.8. Compilation of state-wise data is under progress.

Annexure II: States at a Glance – Statement of Expenditure

States at a Glance – Statement of Expenditure*

State	Capital expenditure as a % of total expenditure	Salary expenditure as a % of total expenditure	Other expenditure as a % of total expenditure	Ratio of transfers to total expenditure by State**
Andhra Pradesh	15%	75%	10%	57%
Arunachal Pradesh	0%	91%	9%	16%
Assam	2%	87%	12%	39%
Bihar	10%	87%	3%	81%
Chhattisgarh	12%	83%	5%	10%
Goa	11%	78%	11%	40%
Gujarat	9%	84%	7%	48%
Haryana	16%	80%	4%	59%
Himachal Pradesh	23%	73%	4%	26%
Jammu & Kashmir	19%	78%	2%	47%
Jharkhand	35%	64%	1%	61%
Karnataka	10%	88%	2%	57%
Kerala	2%	95%	3%	12%
Madhya Pradesh	8%	90%	3%	40%
Maharashtra	5%	92%	3%	44%
Manipur	8%	84%	7%	18%
Meghalaya	10%	89%	1%	82%
Mizoram	0%	96%	4%	29%
Nagaland	9%	80%	11%	29%
Orissa	2%	98%	0%	7%
Punjab	2%	94%	5%	62%
Rajasthan	6%	91%	3%	28%
Sikkim	10%	85%	5%	13%
Tamil Nadu	2%	90%	9%	7%
Tripura	53%	45%	2%	24%
Uttar Pradesh	5%	95%	0%	83%
Uttarakhand	9%	87%	4%	30%
West Bengal	1%	98%	1%	91%
Delhi	19%	70%	11%	24%
Puducherry	4%	92%	4%	79%
Average	10%	85%	5%	43%

* Directorate of Economics & Statistics of respective State Governments, and for All-India, Central Statistics Office. GSOP as of 1st March, 2012

** Ratio of transfers to institutions shows the ratio of total expenditure that the State makes through institutions. Higher ratios show higher degree of decentralization, lower ratios show that most of the expenditure is made by the State directly through the Higher Education Departments. In most cases high ratios are accompanied by high salary expenditure showing that many teachers are employed by the State directly and not through Universities/Colleges.

Annexure III: State Plan Template

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Executive Summary

A summary of the contents of the State Plan must be presented. The Executive summary can cover the part performance, vision, key initiatives, main challenges faced etc.

Chapter 1: Introduction

State Mission

A mission statement is fundamental to strategic planning. It is an assertion of a state's raison d'être, or purpose, and should clearly define its ideals as well as the services it offers to various stakeholders. It informs a state's financial planning, budgeting, staffing and academic programming. One aspect of a mission statement relates to students, in terms of both State commitments and expectations.

The mission statement should be a general statement of values, aims and goals of the state. An effective mission statement will be clear, precise and transparent about commitments, long-term goals and values. It usually includes a commitment to high standards and levels of performance, discussion of the context of the state environment, recognition of state obligations to the community, the nation and the world, and commitment to its students. A mission statement ordinarily consists of two parts:

- A high-level preamble that encapsulates the gist of the state mission; and
- A narrative portion that lists the particularities and elaborates on the implications of the mission statement in practical terms.

Vision

An effective vision statement is vital to a strategic planning process. A vision statement describes what a State aspires to become in the future and the values it enshrines. It captures in detail what things could be like at the state level if it were functioning effectively and focuses on the contribution the state will make to society. In the long run, a successful strategic plan must be premised on state values, such as:

- Academic freedom;
- State autonomy;
- High quality;
- Equal access; and
- Non-discrimination (by race, ethnic affiliation, religion and gender)

Goals

State goals help translate the state vision and mission into action. Goals should state clearly the conditions for effectiveness, and the norms and expectations of students and staff. They should present a broad statement of the aims of the State. The goals must consist of clear statements based on objective criteria and capture the main targets that the state has set for itself.

Chapter 2: Background

State at a glance

It should give all the relevant figures like geographical area, population, number of districts, number of municipalities etc

Demographic Profile of the State

Population

Male, female, rural, urban

Literates/illiterates

SC, ST, OBC, minorities

Higher Education Profile

State map showing districts and all universities/colleges

Faculty-students ratio for the state as a whole – further divided into categories Districts without any college

Districts with only one college

GERs across different categories, including SC, ST, OBC and minorities

Institutional density – universities, colleges (for the state as a whole)

- ⦿ Universities per one lakh population (of relevant age group) (separately for public and private)

- ⦿ Aided Colleges per 10,000 population (of relevant age group)

- ⦿ Un-aided Colleges per 10,000 population (of relevant age group)

- ⦿ Public funded Colleges per 10,000 population (of relevant age group)

District wise GERs

SUGGESTED FORMAT: GERs for districts

District	SC		ST		General		Total	
	Male	Female	Male	Female	Male	Female	Male	Female
A								
B								
C								
D								
E								
<i>State total</i>								

SWOT Analysis

Key hurdles such as low access due to low income, large tribal population etc

Key strengths such as existence of strong education hubs, industry clusters etc

Academic Information

Type	No of Universities	Enrolments		
		Male	Female	Total
Central University				
State University				
Private University				
Other degree awarding institution declared by University				
Deemed University				
Other				
Total				

Type	No of Colleges	Enrolments		
		Male	Female	Total
Government funded				
Government aided				
Private unaided				
Autonomous				
Other				
Total				

Type	No of Colleges	Enrolments		
		Male	Female	Total
Autonomous colleges				
Affiliated colleges				
Constituent colleges				

Other				
Total				
Type	No of Colleges	Enrolments		
General		Male	Female	Total
Engineering/professional				
Medical Colleges				
Others				
Total				

Accreditation of Universities

Agency	Status	Score Range	No of Institutions
Not accredited	Not accredited	-	
NAAC	Accredited and revalidated after 2007	A	
		B	
		C	
		D	
	Accredited but not revalidated after 2007	A	
		B	
		C	
		D	
State Accreditation Authority	Accredited	A	
		B	
		C	
		D	

Accreditation of Colleges

Agency	Status	Score Range	No of Institutions
Not accredited	Not accredited	-	
NAAC	Accredited and revalidated after 2007	A	
		B	
		C	
		D	
	Accredited but not revalidated after 2007	A	
		B	
		C	
		D	
State Accreditation Authority	Accredited	A	
		B	
		C	
		D	

Faculty Status (Regular/On - Contract Faculty as on March 31st, 20XX)

Faculty Rank	Sanctioned of No. Regular	Present Status : Number in Position by Highest														Numb er regular positio n faculty in	To tal Vacanc ies	Tot al Numbe r contract positio n faculty in			
		Doctoral Degree				Masters Degree				Bachelor Degree											
		Engineering Disciplines		Other Discipline Engineering		Disciplines		Other		Discipline		Engineering Disciplines		Other							
		R	C	R	C	R	C	R	C	R	C	R	C	R	C						
1	2	3	4	5	6	7	8	9	10	11	12	13	14			15=	16=	17=			
Prof																(3+5+7+9+11+13)	(2 - 15)	4+6+8+10 +12+14)			
Assistant Prof																					
Associate Prof																					
Total																					

R=Regular, C=Contract

Chapter 3: Analysis of past performance**Summary**

Summary of the performance of the past year against the major targets set and the major reasons for non-performance

Detailed Analysis

- Performance against specific goals
- Analysis of the expenditure made against the allocations, committed unspent and uncommitted unspent balances
- Any particular Universities that need to be mentioned for above or below average performance
- Reasons for non-performance
- Affiliation reform progress with data on the number of affiliating universities and number of affiliated colleges for every university
- New strategies adopted for improving equity, access and excellence – any new and innovative practices adopted by the State

Chapter 4: Preparation of the State Plan**Methodology**

The steps used for development of the Plan

Stakeholder Consultation

Which were the stakeholders that were consulted for the process of developing the Plan and what were their major contributions.

Chapter 5: Five-year Perspective Plan

Provide the five-year perspective plan. The five-year plan must contain:

- Current scores on norms, scores set for the current year (in the five year plan) and the target scores for the end of five-year plan
- Revisions in the targets that the SHEC deems necessary
- State's assessment of its progress against the five-year plan targets
- Course corrections and major strategies adopted to achieve the plan targets

Chapter 6: Snapshot of the Annual Plan

This section would provide the summary of the State Higher Education Plan; it would capture the main goals and the financial outlay.

Priority Areas

The State identifies 6-7 priority areas that it needs to work on. These areas as well as the justifications must be mentioned.

Strategy

The Strategy section must mention out the thrust areas of the coming year, highlight the key initiatives the States will undertake to tackle weak areas in the State and what the State hopes to achieve from these initiatives.

Sources of funds

Source	Funds expected
1. Rashtriya Uchcha Shiksha Abhiyan	
2. Grants from State Higher Education Department	
3. Grants from other State departments	
4. Grants from Central Departments	
5. Raised from private sector, institutions, foundations and organizations	
6. Resources raised by higher education institutions from internal sources and available for the project	

Major targets and financial outlays

Component	Number/target	Financial Outlay
Creation of new University and Colleges		
Converting existing Colleges into Universities		
Institution of Scholarships		
Expansion of Institutions		
Research and innovation focus		
Accreditation agency		
Infrastructural upgradation of existing institutions		
Establishing Management Information System		
Faculty support – recruitment and capacity building		
Sectoral reforms		
Administrative reforms		
Academic reforms		
Affiliation reforms		
Creation of SHEC		
Others		
MMER		
TOTAL		

Prerequisites: Essential commitments from the State

S. No.	Item	State's Commitment (Yes/No)
1.	Does the State agree to: Set specific targets and policy goals for higher education and agree about size and shape.	
2.	Share the project cost of the Government funded and aided institutions with MHRD in the applicable ratio (10:90, 25:75, 35:65)	
3.	Scale up to and maintain prescribed levels of funding to higher education as a % of State Gross Domestic Product	
4.	Create the State Higher Education Council according to the suggestion made under RUSA	
5.	Create State Accreditation Agency/ies	
6.	Establish “State Project Directorate” (SPD) located in State Directorate of Higher Education / the department responsible for Higher Education with adequate staff and maintain the staffing with stability?	
7.	Fill up vacant faculty positions	
8.	Implement the affiliation reforms mentioned under RUSA	
9.	Implement all the sectoral governance reforms mentioned under RUSA	
10.	Create and submit the State Higher Education Plan according to prescribed guidelines	
11.	Implement the Project according to the Project Implementation Plan	
12.	Ensure implementation of both academic and non-academic reforms by all institutions	
13.	Adopt a Block Grant pattern for fund release of at least the non-salary non-Plan component of grants to the project institutions	
14.	Comply with the Disclosure Management Framework	

Current level and targets for the next year

S No.	Indicator	Weightage	Target		Ta rget Score
			Present Rating	Target Rating	
1.	Governance Index - 17%				
	% of Universities with more than 100 affiliated colleges	6.0%	2	12	
	% of autonomous colleges out of total colleges covered under RUSA	2.0%	3	6	

	Ratio of teaching to non-teaching staff in State Higher Education	2.0%	3	6
1.3.	Delay in exam conduction and declaration of results (in %)	2.5%	4	10
1.4.	% of institutions with a functional website	1.5%	1	1.5
1.5.	Institutional Density			
1.6.	a. Universities	2.0%	2	4
	b. Colleges	1.5%	4	6
2.	Access Index - 21.5			
	GER of the State	4.5%	1	4.5
2.1.	Rural Institutional density of the State	4.0%	2	8
2.2.	Urban Institutional density of the State	4.0%	1	4
2.3.	Median capacity intake of Universities	2.0%	2	4
2.4.	Median capacity intake of Colleges	2.0%	3	6
2.5.	% of students in private universities or colleges as a % of students in state/central institutions	2.0%	1	2
2.6.	Scholarships provided by state as a % of total expenditure on Higher education	3.0%	1	3
3.	Equity Index - 22.5%			
	SC GER	3.5%	1	3.5
3.1.	ST GER	3.5%	1	3.5
3.2.	GER for Females	3.5%	1	3.5
3.3.	GER for minorities	3.5%	1	3.5
3.4.	% of districts below GER National			
3.5.	average	3.0%	1	3
3.6.	% of students from rural backgrounds (define rural) in the higher education system	2.5%	1	2.5
3.7.	% of institutions "differently-abled friendly"	1.0%	3	3
3.8.	% of Existence of Equal Opportunities Cells	1.0%	4	4
4.	Quality Index - 25%			
	Student teacher ratio across the State	6.0%	1	6
4.1.	% of institutions accredited by NAAC/NBA/State Accreditation Authority	4.0%	2	8
4.2.	Average rating of Universities	3.5%	1	3.5
4.3.	Average rating of Colleges	3.5%	2	7
4.4.	% of active teachers that are non-permanent	3.0%	3	9
4.5.	Per institution foreign collaboration	2.0%	1	2
4.6.	Capacity at PG level as a % of	3.0%	3	9

undergraduate capacity				
5. Research and Innovation index - 14%				
5.1. undergraduate capacity	4.5%	1	4.5	
Average number of publications by State Universities	4.5%	3	13.5	
Citation Impact	3.0%	3	9	
5.3. Median patents granted for State universities	2.0%	1	2	
Total Score	100.0%		177	

***Explanatory Note:** The numerical under present rating and present score are only illustrative. The actual ratings for each indicator mentioned above will be done on the basis of a scale to be detailed.

Chapter 7: Detailed Plan

Based on SWOT analysis provide the “strategic plan” developed for the State Plan and how the key activities proposed in the State Plan are linked with the results of SWOT Analysis. The Plan must cover the strategies that the State has for improvement in higher education sector.

Overview of the major initiatives

This section must address how the State plans to improve access, equity and excellence in the coming year. Whether there are any thrust areas geographically etc.

- Governance
- Access
- Equity
- Quality
- Research

Private sector participation

Plan for including the private sector in planned higher education expansion and raising resources from the private sector

Detailed component-wise allocations

S.No	Component	Sub-component	Year	Year	Year	Year	Year
1	New Universities and Colleges	Model Degree Colleges (new) Model Degree Colleges (conversion)					
		Creation of new Universities					
		Creation of new Colleges –General Creation of new Colleges – Technical/professional					
2	Conversion/up gradation of Institutions	Converting existing Colleges into Universities Converting a cluster of colleges into universities					
		Conversion to autonomous colleges					
		New schools/departments/courses					
		Centers for excellence					

3	Research and Innovation Focus	New and innovative courses State level planning through councils Specific allocation for research Research Parks, Cluster Innovation Centers etc					
4	Infrastructural up gradation	Build/upgrade to functional classrooms Build/upgrade laboratories Build/upgrade libraries Internet/NIC/Research source connectivity/LAN Build/upgrade to functional hostels Build/upgrade to functional faculty residential accommodation Build/upgrade to functional sports facilities Creation of toilet blocks					
5	Establishing Management Information System						
6	Faculty support – recruitment and capacity building	Vacant faculty positions filled New faculty positions created to maintain Student Faculty ratio with increase of enrollment Training for faculty					
7	Sectoral Reforms	Set up State Higher Education Council Operate SHEC Accreditation Agency to be created					
8	Academic Reforms	Allow academic autonomy, teachers to decide syllabus and way of teaching above a certain accreditation criteria Examinations in the purview of colleges and not universities Conversion to semester system Conversion to credit based system					
9	Administrative reforms	Reduce the control and bureaucracy in institutions to enable quick decision making					
10	Affiliation Reforms	Reduce affiliated colleges to 100 Allow affiliated colleges to conduct examinations, handle administration					

Chapter 8: University-wise plans and financial impact***Outlays for all universities and colleges***

University wise break up

Name of University	Planned Outlay	Current Score	Target Score
University 1			
University 2			
University 3			
University 4			

College wise break up

Name of College	Planned Outlay	Current Score	Target Score
College 1			
College 2			
College 3			
College 4			

Detailed Allocations for UniversitiesUniversity 1

1. 1 Short note on the performance over the last year against norms (not exceeding 200 words)
- 1.2 Short note on the strategy for the coming year (not exceeding 200 words)
- 1.3 Major Norms – Current and target for coming year

Norm	Current	Target
Governance Quality Index		
Academic Excellence Index		
Equity Initiative Index		
Research and Innovation Index		
Student Facilities Index		
Infrastructure and others Index		

- 1.4 Components-wise outlay

Component	Target
Expansion of Institution	
Research and innovation focus	
Infrastructural upgradation of existing institutions	
Establishing Management Information System	
Faculty support – recruitment and capacity building	
Administrative reforms	
Academic reforms	
Affiliation reforms	

Annexures**Annexure I: State Baseline**

Head and Nodal Officer	Name	Phone	Mobile number	Fax number	Email address
State (Full time appointee)					

State Baselines

S .No	Parameters				
1 .	Institutional Profile				
a.	No. of Universities	Public	Private		
b.	No. of Colleges	General (public & Private)	Technical & Professional (public & private)		
c.	No. of Districts	Without colleges (General)	Without Colleges (Technical & professional)		
d.	Average number of colleges affiliated to a university				
e.	Number of universities with affiliated colleges more than 100				
f.	No. of universities in ODL	No. of colleges in ODL			
g.	No. of Women's universities	No. of Women's colleges			
h.	No. of Institutions (per 1000 sq. kms)	Urban	Rural		
i.	No. of new institutions created (20XX -IX)	Urban	Rural		
j.	No. of new institutions created (20XX-IX)	Public	Private		
2 .					
a.	Total Number of autonomous colleges in the State in year 20XX-IX				
b.	Total nos. colleges granted autonomy in year 20XX-IX	Total no. of autonomy withdrawn in 20XX-IX			
c.	Total nos. colleges created in year 20XX-IX				
d.	Total no. in teaching positions				
e.	No. of active teachers that are non-permanent				
f.	Ratio of teaching to non teaching staff in higher education				
g.	Overall Student teacher ratio in higher education				
h.	No. of institutions accredited by NAAC/NBA/State Accreditation agencies				
i.	No. of public institutions having foreign collaborations	No. of private institutions having foreign collaborations			
3 .	Transition Rates				
	10 th to 12 th	12 th to Under Graduate	Under graduate to Post Graduate		
4 .	Enrollment and GER of the State				
a	Male	Female	Total		
b	Male SC	Female SC	Total SC		
c	Male ST/DT&ONT	Female ST/DT&ONT	Total ST/DT&ONT		
d	Male OBC	Female OBC	Total OBC		
e	Male (General)	Female (General)	Total (General)		
f	Male (Urban)	Female (Urban)	Total (Urban)		
g	Male (Rural)	Female (Rural)	Total (Rural)		
5 .	Degrees Awarded				
a		Awarded in 2012	Number that originally enrolled in first year of the degree awarded to enrolled		

			program	
b	3 year Undergraduate degrees			Auto-calculate
c	4 year Undergraduate degrees			Auto-calculate
d	5 year integrated Masters			Auto-calculate
e	2 year masters			Auto-calculate
6	Total number of PhD degrees			
.	Enrolled annually	Awarded annually	Total	
7	Research Output			
.	a.	Number of research publications in Indian refereed journals in the year 20XX - 1X		
.	b.	Number of research publications in International refereed journals in the year 20XX - 1X		
.	c.	Number of patents obtained in the year 20XX - 1X		
.	d.	Number of sponsored research projects completed in the year 20XX - 1X		
.	e.	IRG from students' fee and other charges in the year 20XX - 1X (Rs. In lakh)		
.	f.	IRG from externally funded R&D projects, consultancies in the year 20XX - 1X (Rs. in lakh)		
.	g.	Total IRG in the year 20XX - 1X (Rs. in lakhs)		
8	Expenditure Detail			
.	a.	State Expenditure on higher education as a % of GSHP		
.	b.	Total financial contribution of private sector in Higher Education as a % of total higher education expenditure		
.	c.	Expenditure on research, development and related activities as % of Total Higher Education Expenditure		
.	d.	Expenditure on capital creation as % of Total Higher Education Expenditure		
.	e.	Expenditure on salary of teaching staff as % of Total Higher Education Expenditure		
.	f.	Expenditure on salary of non-teaching staff as % of Total Higher Education Expenditure		
.	g.	Per student public expenditure	Non – Plan	P lan

Annexure 2: Evaluation of State Development Proposal

(to be filled by RUSA Mission Authority, not the SHEC)

No	Evaluation Parameters		Marks		
I	Institutional Preparedness and Implementation Feasibility				
A	Clarity of State basic information including baseline data		5		
B	Overall proposal implementation feasibility				
1	Clarity in the identification of general development objectives, related specific objectives, their expected results, and its coherence with SWOT Analysis		5		
2	Have the key activities been identified clearly and adequately for each specific-objective		5		
3	Adequacy of the State Project Implementation arrangements		5		
C	Quality of SWOT analysis				
1	Appropriateness for the procedure adopted for the conduct of SWOT analysis and adequacy of participation of stakeholders		5		
2	Clarity in the identification of strengths, weaknesses, opportunities and Threats		5		
D	Coherence of proposal with National development plan		5		
E	Reasonability of proposed budget		5		
Sub - total (I)			40		
II	Clarity and Quality of the Action Plans for :				
F	Scaling-up research and innovation				
1	Quality of action plan for quantitatively increasing and qualitatively improving research activities		5		
2	Quality of action plan to transfer technology and for commercialization of R&D (the innovation agenda)		5		
G	Scaling-up PhD enrolment through existing and new programs		10		
H	Scaling-up enrolment into UG/Masters programs in existing and new programmes		10		
I	Research collaborative activities with Institution at National and International level				
1	Identification of options to improve and increase research collaborations at national and international levels		5		
2	Clarity in identification of expected quality enhancement in Masters and doctoral programs and faculty research		5		
J	Potential impact and depth of proposed Industry collaboration (to be incorporated in the baseline)		5		
K	Faculty development				
1	Pedagogical training		2.5		
2	Professional development programs		2.5		
L	Identification of weak students and for improvement in their learning outcomes		5		
	Gender and Disability to incorporated in the state plan (Equity)		5		
Sub - total (II)			60		
TOTAL(I+II)			100		

Annexure IV: Institutional Plan Template

Sample Template for Institutional Plan Institution Mission

A mission statement is fundamental to strategic planning. It is an assertion of an institution raison d'être, or purpose, and should clearly define its ideals as well as the services it offers to various stakeholders. It informs an institution's financial planning, budgeting, staffing and academic programming. One aspect of a mission statement relates to students, in terms of both institutional commitments and expectations.

The mission statement should be a general statement of values, aims and goals of the state. An effective mission statement will be clear, precise and transparent about commitments, long-term goals and values. It usually includes a commitment to high standards and levels of performance, discussion of the context of the institution environment, recognition of institution obligations to the community, the nation and the world, and commitment to its students. A mission statement ordinarily consists of two parts:

- A high-level preamble that encapsulates the gist of the institution mission; and
- A narrative portion that lists the particularities and elaborates on the implications of the mission statement in practical terms.

Vision

An effective vision statement is vital to a strategic planning process. A vision statement describes what an institution aspires to become in the future and the values it enshrines. It captures in detail what things could be like at the institution level if it were functioning effectively and focuses on the contribution the institution will make to society. In the long run, a successful strategic plan must be premised on institution values, such as:

- Academic freedom;
- Institutional autonomy;
- High quality;
- Equal access; and
- Non-discrimination (by race, ethnic affiliation, religion and gender)

Goals

Institutions goals help translate the institution vision and mission into action. Goals should institution clearly the conditions for institutional effectiveness, and the norms and expectations of students and staff. They should present a broad statement of the aims of the institution. The goals must consist of clear statements based on objective criteria and capture the main targets that the institution has set for itself.

1. INSTITUTIONAL BASIC INFORMATION

1.1 Institutional Identity:

- Name of the Institution : _____
- Is the Institution approved by regulatory body? : Yes/No
- Furnish approval no. :
- Type of Institution : Govt. funded/Govt.
aided/Private unaided/Autonomous/Other
- Status of Institution : Autonomous Institute as
declared by University / Non-autonomous / Deemed University / Constituent Institution

- Name of Head of Institution and Project Nodal Officers

Head and Nodal Officer	Name	Phone Number	Mobile Number	Fax Number	E - mail Address
Head of the Institution (Full time appointee)					
RUSA Institutional coordinator					
Nodal Officers for:					
Academic Activities					
Civil Works including Environment Management					
Procurement					
Financial aspects					
Equity Assurance Plan Implementation					

1.2 Academic Information:

- **UG/PG/PhD programs offered in Academic year 200X - XX**

S. No	Title of programs	Level (UG, PG, PhD)	Duration (Years)	Year of starting	sanctioned annual Intake	Total student strength

- Whether Institution is Accredited?
- Grade.....
- When.....

- **Accreditation Status of UG programs:**

Title of UG programs being offered	Whether eligible for accreditation or not?	Whether accredited as on 31st March 20XX?	Whether "Applied for" as on 31st March

- **Accreditation Status of PG programs:**

Title of PG programs being offered	Whether eligible for accreditation or not?	Whether accredited as on 31st March 20XX?	Whether "Applied for" as on 31st March

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1.3 Faculty Status (Regular/On - Contract Faculty as on March 31st, 20XX)

Rank Faculty	No. of Sanctioned Regular	Present Status : Number in Position by Highest Qualification										regular faculty in b e r	Vacancies	contract faculty in			
		Doctoral			Masters			Bachelor									
		Engineer Discipli- ne	O ther	Engin- ee Discipli- ne	Other	Engin- ee Discipli- ne	Other	Engin- ee Discipli- ne	Other	Engin- ee Discipli- ne	Other						
1								0	1	2	3	4	1 5= (3+5+7+9+1)	1 6= (2)	1 7= (4+6)		
Prof																	
Asso Prof																	
Asst Prof																	
To																	

Prof = Professor, Asso Prof = Associate Professor, Asst Prof = Assistant Professor, R=Regular, C=Contract

1.4 Baseline Data (all data given for the following parameters to ALL disciplines)

S. No	Param- eters	
1	Total strength of students in all programs and all years of study in the year 20XX-1X	
2	Total women students in all programs and all years of study in the year 20XX-1X	
3	Total SC students in all programs and all years of study in the year 20XX-1X	
4	Total ST students in all programs and all years of study in the year 20XX-1X	
5	Total OBC students in all programs and all years of study in the year 20XX-1X	
6	Number of fully functional P-4 and above level computers available for students in the year 20XX-1X	
7	Total number of text books and reference books available in library for UG and PG	
	Student-teacher ratio	
8	% of UG students placed through campus interviews in the year 20XX-1X	
9	% of PG students placed through campus interviews in the year 20XX-1X	
1	% of high quality undergraduates (>75% marks) passed out in the year 20XX-1X	
1	% of high quality postgraduates (>75% marks) passed out in the year 20XX-1X	
1	Number of research publications in Indian refereed journals in the year 20XX-1X	
1	Number of research publications in International refereed journals in the year	
1	Number of patents obtained in the year 20XX-1X	
1	Number of patents filed in the year 20XX-1X	
1	Number of sponsored research projects completed in the year 20XX-1X	
7	The transition rate of students in percentage from 1 st year to 2 nd year in the year 20XX-1X for : (i) all students (ii) SC (iii)	
1	IRG from students' fee and other charges in the year 20XX-1X (Rs. In lakh)	
9	IRG from externally funded R&D projects, consultancies in the year 20XX-1X (Rs. in lakh)	
2	Total IRG in the year 20XX-1X (Rs. in lakh)	
1	Total annual recurring expenditure of the institution in the year 20XX-1X (Rs. in lakh)	

2. Institutional Development Proposal (IDP)

- 2.1 Give the Executive Summary of the IDP.
- 2.2 Provide the details of SWOT analysis carried out (in terms of methodology used, analysis and information and data as collected and inferences derived with respect to strengths, weaknesses, opportunities and threats).
 - Based on SWOT analysis, provide the “strategic plan” developed for institutional development.
 - How the key activities proposed in the Institutional Development Proposal are - linked with the results of SWOT Analysis.
- 2.3 State the specific objectives and expected results of your proposal (in terms of, “Institutional strengthening and improvements in employability and learning outcomes of graduates”. These objective and results should be linked to the SWOT analysis.
- 2.4 Provide an action plan for: (max 1 page each)
 - a) Improving employability of graduates
 - b) Increased learning outcomes of the students
 - c) Obtaining autonomous institution status within 2 years
 - d) Achieving the targets of 60% of the eligible UG and PG programs accredited within two years of joining the Project and 100% accreditation obtained and applied for by the end of the Project of the eligible UG and PG programs
 - e) Implementation of academic and non-academic reforms (details given in RUSA Document)
 - f) Improving interaction with industry
 - g) Enhancement of research and consultancy activities
- 2.5 Provide an action plan for organizing a Finishing School and for improving the academic performance of SC/ST/OBC/academically weak students through innovative methods, such as remedial and skill development classes for increasing the transition rate and pass rate with the objective of improving their employability.
- 2.6 Provide an action plan for strengthening of PG programs and starting of new PG programs.
- 2.7 Attach a summary of Training Needs Analysis carried out. Also, provide Faculty Development Plan for the first 18 months for improving their teaching, subject area and research competence based on Training Needs Analysis in the following areas.
 - Basic and advanced pedagogy
 - Subject / domain knowledge enhancement
 - Attendance in activities such as workshops, seminars
 - Improvement in faculty qualifications
 - Improving research capabilities
- 2.8 Provide an action plan for training technical and other staff in functional areas.
- 2.9 Describe the relevance and coherence of Institutional Development Proposal with State's/National (in case of CFIs) Industrial/Economic Development Plan.
- 2.10 Describe briefly the participation of departments/faculty in the IDP preparation.
- 2.11 Describe the Institutional project implementation arrangements with participation of faculty and staff.
- 2.12 Provide an Institutional project budget as per table below:

Institutional Project Budget (this is meant for existing institutions)

(Rs. in Crore)

S. No	Activities	1 Project	Financial year				
			1 201 3 2	201 3	1 - 5 2014	201 5	1 - 7 2016
	Infrastructure						
1.	Modernization and strengthening of laboratories						
	PG programs and for new PG programs						
3.	Modernization of classrooms*						
4.	Updation of Learning Resources						
5.	Procurement of furniture						
	Establishment/Upgradation of Central and						
6.	Departmental Computer Centers*						
	Modernization/improvements of supporting						
7.	departments*						
	Modernization and strengthening of libraries and						
8.	increasing access to knowledge resources						
9.	Refurbishment (Minor Civil Works)*						
	Research and development support						
	Providing Teaching and Research Assistantships to increase enrolment in existing and new PG programmes in Engineering disciplines						
	Provision of resources for research support						
	Enhancement of R&D and institutional consultancy activities						
	Faculty Development Support						
	Faculty and Staff Development (including faculty qualification upgradation, pedagogical training, and organising/participation of faculty in workshops, seminars and conferences) for improved competence based						
	Institutional reforms						
	Technical assistance for procurement and						
	Institutional management capacity enhancement						
	Academic support						
	Creation of new departments/courses						
	Enhanced Interaction with Industry						
	Student support activities						
	Others						
TOTAL							

2.13 Provide the targets against the deliverables as listed below

Indicator	Weightage	Present Rating	Present Score	Target Rating	Target Score
GOVERNANCE QUALITY INDEX - 16%					
% of Faculty Positions vacant	2.0%	1	2.0		
% of Non-permanent faculty	4.0%	1	4.0		
% of Non-teaching staff to teaching Staff	3.0%	2	6.0		
Total no of under graduation programs	1.0%	1	1.0		
Total no of post graduate programs	1.0%	3	3.0		
Total no of doctoral programs	1.0%	1	1.0		
Faculty appointment - turn around/cycle time in months	2.0%	2	4.0		
Delay in payment of monthly salary payment of faculty	2.0%	1	2.0		
ACADEMIC EXCELLENCE INDEX - 21.5%					
Delay in exam conduction and declaration of results	3.5%	1	3.5		
Plagiarism Check	1.0%	1	1.0		
Accreditation	4.0%	2	8.0		
Teacher Student ratio	4.0%	2	8.0		
% of Visiting professors	1.0%	1	1.0		
% of graduates employed by convocation	0.5%	2	1.0		
% Number of students receiving awards at National and International level	0.5%	3	1.5		
% of expenditure on Library, cyber library and laboratories per year	1.0%	3	3.0		
Ratio of expenditure on teaching staff salaries to non-teaching staff salaries	1.0%	2	2.0		
% of faculty covered under pedagogical training	1.0%	1	1.0		
% of faculty involved in "further education"	0.5%	2	1.0		
Dropout rate	1.5%	3	4.5		
No of foreign collaborations	1.5%	2	3.0		
Subscription to INFLIBNET	0.5%	3	1.5		
EQUITY INITIATIVE INDEX - 12.5%					
SC Student%	3.0%	1	3.0		
ST Student%	3.0%	1	3.0		
Gender Parity	3.0%	1	3.0		
Urban to Rural Student population	2.0%	2	4.0		
Existence of CASH	0.5%	2	1.0		
Existence of Social Protection Cell	0.5%	2	1.0		
Language assistance programs for weak students	0.5%	2	1.0		
REASERCH AND INNOVATION INDEX - 24%					
Per-faculty publications	2.0%	1	2.0		
Cumulative Impact Factor of publication	3.0%	2	6.0		
H Index of scholars	2.0%	2	4.0		

% of staff involved as principal researcher	1.0%	3	3.0
% of research projects fully or more than 50% funded by external agencies, industries etc	2.0%	4	8.0
Total no of patents granted	1.0%	4	4.0
% of faculty receiving national/ international awards	1.0%	2	2.0
% of research income	1.0%	3	3.0
Doctoral degrees awarded per academic staff	1.0%	4	4.0
% doctoral degrees in total number of degrees awarded	3.0%	3	9.0
% expenditure on research and related facilities	1.0%	4	4.0
Digitization of Masters and Doctoral thesis	0.5%	1	0.5
UPE/CPE	3.5%	1	3.5
% of Income generated from non-grant sources	2.0%	1	2.0
STUDENT FACILITIES - 15%			
No of new professional development programs	1.0%	3	3.0
Existence of Placement Cells and Placement Policy	1.0%	2	2.0
% of expenditure on infrastructure maintenance and addition	3.0%	2	6.0
Availability of hostel per out-station female student	3.0%	1	3.0
Availability of hostel per out-station male student	3.0%	1	3.0
% of students on scholarship	3.0%	1	3.0
Average scholarship amount per student	1.0%	2	2.0
Infrastructure and Others - 11%			
%Income generated from training courses	1.0%	5	5.0
% Income generated from consulting	1.0%	1	1.0
Structural sufficiency	3.0%	1	3.0
Computer coverage	3.0%	1	3.0
Internet connectivity of Campus	3.0%	1	3.0
	100.0%	171	

*Explanatory Note: The numerical under present rating and present score are only illustrative. The actual ratings for each indicator mentioned above will be done on the basis of a scale to be detailed.

Project Targets for Institutions

2.14 Give an action plan for ensuring that the project activities would be sustained after the end of the Project.

Evaluation of Institutional Development Proposals (IDP) (a similar template may be created for State Plan Proposal)

S.No	Evaluation Parameters	Marks
Institutional Preparedness and Implementation Feasibility		
	Clarity of institutional basic information including baseline data	5
Overall proposal implementation feasibility		
	Clarity in the identification of general development objectives, related specific objectives, their expected results, and its coherence with SWOT analysis	5
	Have the key activities been identified clearly and adequately for each specific-objective	5
	Adequacy of the Institutional Project Implementation arrangements	5
Quality of SWOT analysis		
	Appropriateness for the procedure adopted for the conduct of SWOT	5
	Clarity in the identification of strengths, weaknesses, opportunities and	5
	Coherence of proposal with State's/regional development plan	5
	Reasonability of proposed budget	5
Sub - total (I)		4
I	Clarity and Quality of the Action Plans for :	
	Scaling-up research and innovation	
	quality of action plan for quantitatively increasing and qualitatively	5
	quality of action plan to transfer technology and for commercialization of	5
	Scaling-up PhD enrolment through existing and new programmes	1
	Scaling-up enrolment into UG/Masters programmes in existing and new	1
	research collaborative activities with Institution at National and International level	
	identification of options to improve and increase research collaborations at	5
	clarity in identification of expected quality enhancement in Masters and	5
	Potential impact and depth of proposed Industry collaboration	5
	Faculty development including pedagogical training to:	
	Develop faculty/technical staff in subject domain	5
	Improve pedagogical skills of faculty for better student learning	5
	Identification of weak students and for improvement in their learning	5
Sub - total (II)		6
TOTAL (I+II)		100