

**12th Five Year Plan  
(2012-17)**

**EXPERT COMMITTEE ON EDUCATION  
INTERIM REPORT**

**Kerala State Planning Board**

**Social Services Division**

**April 2014**

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## FOREWORD

Kerala is appreciated the world over in what it accomplished in the social sectors as compared to other States in the Indian Union. This is the result of a long tradition of giving the pride of place to education even during pre-Independence period and the State funding of it in a liberal way. Private participation has also contributed to the spread of school education and, of late, higher education as well. In respect of Access and Equity (Inclusion), two important objects of the Twelfth Plan, Kerala is in the forefront and can claim reasonable success. But that should not be a consideration to deny Central assistance, as the State has a long way to go in achieving Competitive Excellence, another major factor in planning higher education reforms. It is therefore appropriate that the State Planning Board took the initiative, inter alia, of constituting an Expert Committee of scholars and educational administrators to assist it in conceiving ideas and proposals to plan higher education reforms in the context of the broad framework of the Twelfth and Thirteenth Central Plans.

The Committee met only five times in the last year since its inception in August 2013 and could not do much because of lack of disaggregated data on the status of higher education in the State and the thinking of the Government in the higher education sector. Yet, we could put together a couple of reports which we felt could be given priority as they do not involve much investment and are projects eligible to get RUSA funds. The planning Board felt that putting them in circulation in the public domain will give some visibility and promote action on the part of all concerned. This volume includes our recommendations on the subjects dealt with.

**Trivandrum  
April, 2014**

**Prof. N.R. MadhavaMenon  
Chairman, Committee on Education  
Kerala Planning Board**

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## Chapter I

### INTRODUCTION

Kerala perhaps was the first State Government to anticipate difficulties related to possible mismatches between the existing system of project planning and implementation at the state level, particularly in respect of the newly designed Centrally Sponsored Programmes (CSPs). The State Planning Board had initiated many measures to adapt the state planning machinery to the requirements of new CSPs. This it was foreseen as important in preventing possible non-use of available funds under the new CSPs. Unfortunately, in spite of such advanced planning, we are lagging in some areas and therefore there is the possibility of loss of funds which the State is entitled to get from Centre. It is therefore important to move on a war footing and compensate for the delay.

Kerala State Planning Board has constituted an Expert Committee on Education for preparing a plan of action for the Education Sector incorporating the estimated resource availability from the Central as well as the State Governments, after reviewing the 12<sup>th</sup> Plan of GOI and examining how the State's Plan programmes can be enhanced through access to Central plan resources and possible external funding. The Committee was also directed to identify the road blocks in accessing resources and difficulties in implementation of schemes and suggest measures to overcome them. Proceedings of the State Planning Board constituting the Committee are appended.

The following are the members of the Committee.

1. Prof. N. R. Madhava Menon - Chairman
2. Sri. Achuthsankar S. Nair - Member
3. Prof. V.N. Rajasekharan Pillai - Member
4. Prof. R.V.G. Menon - Member

5. Prof. P.O.J. Lebba - Member
6. Sri. K. Sree Krishna Kumar - Member
7. Prof. Venkitesh Kumar - Member
8. Dr. K. Ellangovan IAS - Member
9. Dr. K.M. Abraham IAS - Member
10. Smt. Shila Unnithan - Member Convenor

Two more members, viz, Sri. T. P. Sreenivasan and Prof. K.A Hashim, were co-opted to the Committee subsequently.

The Committee met five times and had detailed deliberations on different aspects of the Education Sector. Since the proposed RUSA is a major source of funding to the State's higher education sector, the focus point of discussion was on the issue of how maximum fund can be availed by the State under this scheme. Under RUSA, grants are given as block grants on the basis of accepted norms and later funding to be outcome-linked on performance of universities and colleges. Under this strategic shift of financing higher education in States, the State is taken as a unit for planning and co-ordination, and State Councils for Higher Education will receive and distribute grants to individual institutions within the State according to the norms prescribed. All Central funding for States' higher education system will be based on State's own higher education plan prepared by the State Government and the State Higher Education Council.

For seeking RUSA funds a four-step process is involved - firstly, States and higher education institutions meet the pre-requisites; secondly, States develop their plans aggregating institution-based plans and submit them to RUSA; thirdly, State Higher Education Council enters into an agreement with RUSA Mission Authority; fourthly, Plans evaluated on the basis of norms by the Mission Authority and RUSA releases funds to SHEC under specific components of the Plan.

The Committee found from the above perspective that the following are things to be completed early by the State government:

- (a) State Higher Education Council to be strengthened and empowered;
- (b) State's Plan to be prepared keeping in mind the norms and procedures prescribed for RUSA grants;
- (c) State to give commitment to timely release of State's contribution;
- (d) Governance and administrative reforms. These include a Project Directorate and a State Technical Support Group to be created by Government.

It is found that there are a number of items on which grants can be sought from RUSA by State higher education institutions. Some of them are:

- (i) New universities in the 12<sup>th</sup> Plan and new universities proposed under 13<sup>th</sup> Plan including cost involved and RUSA share expected.
- (ii) Autonomous colleges proposed to be upgraded into universities and the cost involved with RUSA share envisaged.
- (iii) Cluster universities envisaged in 12<sup>th</sup> and 13<sup>th</sup> Plan periods by converting colleges and RUSA share for the same.
- (iv) For all the State universities in the country, RUSA plans to distribute Rs.20 crores each for infrastructure development.
- (v) Over 280 model colleges are proposed in the country to be set up during the next 10 years with RUSA funds.
- (vi) Also another existing 266 colleges are expected to be upgraded as model colleges with RUSA funds.
- (vii) 100 new professional colleges are to be established each with substantial funds from RUSA.
- (viii) Research and Innovation Universities are envisaged in different States during the next two Plan periods with RUSA funds for each such university.

In short, during the 12<sup>th</sup> and 13<sup>th</sup> Plans, about 300 new universities and 700 model colleges with an investment of over Rs.40,000 crores are envisaged. It is for

the State's Perspective Plan to prepare the ground for claiming the maximum benefit following RUSA norms and procedures.

The RUSA scheme involves many fundamental changes in the way the higher education sector is presently administered in the State. These involve policy changes, institutional reforms in governance and quality assessment.

On this background the Committee deliberated on the proposals contained in the three Reports submitted by the Kerala State Higher Education Council to the Govt, viz;

- (1) Report on Kerala State Assessment and Accreditation Council
- (2) Report on Kerala State Faculty Training Academy and
- (3) Report on Kerala State Higher Education Policy.

While going through the Reports, the Committee felt that the three reports contain recommendations which have a direct bearing on the 12<sup>th</sup> Plan schemes of the Centre particularly in respect of RUSA. However the Committee suggested some modifications to these reports for aligning with the RUSA norms and procedures.

The 12<sup>th</sup> Plan proposed that as many as 20 Innovation Universities to be set up by the end of the 12<sup>th</sup> Plan. Under RUSA substantial funds are proposed to be made available to realise such Universities. As such the Expert Committee studied the scope of such a University in the State in detail and unanimously recommended the setting up of Kerala State Research and Innovation University on the "Hub and Spoke Model" linking together major leading Research Institutions in the State. Draft Bill of the University prepared by the Committee is appended.

The Committee submitted till date two Interim Reports. First Report deals on the State initiatives on (a) Kerala State Assessment and Accreditation Council, (b) State Faculty Training Academy and (c) Kerala State Higher Education Policy. The second Report deals with recommendations regarding the setting up of Kerala State Research and Innovation University through a State legislation.



## **Chapter II**

### **FIRST INTERIM REPORT OF THE EXPORT COMMITTEE ON EDUCATION**

#### **INTRODUCTION**

01. The Committee on Education set up by the State Planning Board in May 2013 was asked to examine Kerala's Plan programmes with a view to maximize access to Central Schemes and Plan resources and prepare an action plan suggesting steps to remove barriers in accessing resources and difficulties in implementation. The Committee met on three occasions between May and September, 2013 and made an assessment of the major schemes and strategies proposed in the Plan documents of the Centre vis-à-vis the Sector on Education. The Committee noted that a major shift in financing higher education during the 12<sup>th</sup> and 13<sup>th</sup> Plan period is a newly conceived Centrally-sponsored scheme called Rashtriya Utchathar Shiksha Abhiyan (RUSA). The major focus of RUSA is on funding State Universities and Colleges directly by MHRD through the State Higher Education Council on the basis of State Plans on higher education. Naturally, the Committee spent considerable time on deliberating the elements of RUSA and the scope for fulfilling the pre-requisites for accessing maximum RUSA funds for the State. The first interim report is therefore on certain institutional arrangements which may have to be put in place in the State in order to claim resources from RUSA during the current financial year itself when it is notified (expected in October, 2013)

02. In the second meeting of the Committee held in June, 2013, the Vice-Chairman of Kerala State Higher Education Council invited the attention of members to a series of reports which the Council submitted to Government in recent times which are relevant to the tasks assigned to the Committee by the

Planning Board. He wanted the Committee to study those reports on a priority basis and make appropriate recommendations so that they receive due consideration by the authorities concerned. Accordingly the Committee procured copies of the Reports and spent a whole day jointly with members of the Council to deliberate on the proposals contained in the following three reports of KSHEC:

- 1) Report on Kerala State Assessment and Accreditation Council
- 2) Report on Kerala State Faculty Training Academy
- 3) Report on Kerala State Higher Education Policy

At the end of the day long deliberations, the Committee felt that the three reports contain recommendations which have a direct bearing on the 12<sup>th</sup> plan schemes of the centre particularly in respect of RUSA funds. However, according to the members of the Committee some of the recommendations of KSHEC reports warrant modification if they need to be aligned with RUSA norms and procedures. In view of it, the Committee again met on 27<sup>th</sup> September to finalize the modifications to KSHEC reports on the above three items. The first interim report of the Committee therefore is the product of this two level exercise on State initiatives on (a) the Assessment and Accreditation Council; (b) Faculty Training Academy and (c) Re-Structuring of Kerala Higher Education Council.

### **KERALA STATE ASSESSMENT AND ACCREDITATION COUNCIL (KSAAC)**

03. KSAAC is a welcome initiative and must be established without delay. UGC has made accreditation and assessment mandatory for colleges and universities. There is no better way to know the strength and weakness of the existing system for being able to propose reforms in a planned manner. It will generate a lot of useful data on the state of higher education for evolving State's own plan. The proposed body, however, should ensure the following attributes to ensure credibility, professionalism and independence. In this regard, the scheme provided in the

National Accreditation Regulatory Authority for Higher Educational Institutions Bill, 2010 now pending in Parliament is a better model to structure the KSAAC.

04. In particular KSAAC should incorporate the following elements, namely:

- a) KSAAC should be a body of professionals completely independent of the Government and Universities/Colleges. If it remains an extended arm of KSHEC, conflict of interests may arise and motives can be alleged against its action by all types of institutions competing to advance multiple interests adversely affecting its legitimacy and credibility.
- b) The body, being independent of Government, can be made a legal entity capable of being sued and sued against by registering it as a society under the Societies Registration Act as was done in the Establishment of the Centre for Development Studies, Trivandrum. The Memorandum of Association can be signed by a group of distinguished educationists/former Vice-Chancellors from across the country known for their scholarship, integrity and educational administration. Though the body of itself may not be conducting the inspection and accreditation (which has to be by a trained professional body of experts contracted for the purpose) the norms, standards and procedures for assessment and accreditation have to be approved by the Executive Council of KSAAC. As such, the Executive Council of KSAAC has to be independent of Government officials or nominees. KSHEC is responsible to give or deny grants and other benefits based on such assessment. The process itself has to be transparent, credible and open to challenges for bias or negligence.
- c) Initially, the Government may set apart grants for the institution, but eventually, it should become financially self-supporting through fees collected for assessment and accreditation. The Government can facilitate its functioning by making such assessment mandatory and by giving necessary grants to all colleges and universities for meeting the expenses thereof.

05. As this is a priority item in higher education reforms, Central funds under 12<sup>th</sup> Plan including RUSA are possible to be mobilized in the current financial year itself, for which the State Plan should make appropriate claims. Immediate plan of action is therefore required.

#### **KERALA STATE FACULTY TRAINING ACADEMY (KSFTA)**

06. Another important and welcome initiative for quality enhancement is the one recommending the establishment of the Kerala State Faculty Training Academy (KSFTA). However, faculty training including training of Principals of colleges and Vice-Chancellors of universities (on educational administration under changing legal and policy frameworks) is a highly technical and professional job which should be in the hands of peers of the teaching profession. Political and bureaucratic interference can convert the body into another government office losing its legitimacy and credibility among scholars and the teaching community undermining the very purpose for which it is sought to be established.

This does not mean that KSFTA cannot be administratively under the control of the Higher Education Council to which KSFTA has to be accountable for its finances and administration. It is eligible to get UGC funds as it is a more institutionalized and professionalized state-wide model of the Academic Staff College attached to universities. It is also eligible to seek RUSA funds as it is aimed to improve quality of higher education imparted by State Universities and Colleges.

KSFTA has to have multiple campuses in the State to reach out to the entire teaching community at or near their work places. Alternatively it has to work in collaboration with selected Academic Staff College sharing resources and evolving a common curriculum and Resource Persons for training purposes.

Government can make induction training for newly appointed teachers and refresher courses for in-service teachers at periodic intervals mandatory so that their performance is improved in terms of educational objectives and outcomes.

07. Capacity building in terms of human resource development is essential for every individual and institution and training is the best tool available provided the courses are so designed and delivered to serve the purpose. In the design and delivery of education at every level, far-reaching changes are happening and they have to be imbibed contemporaneously by every teacher and educational administrator if they have to compete for academic excellence globally. Let Kerala be pioneer in this regard. It is therefore important that training activities are guided by every eminent academics with high track records. Content updation has to be given maximum priority. Initial training on different delivery modes needs to be there for all newly appointed teachers. Technology- enabled training modes have to be adopted so that the teachers need not be physically present for all the training sessions/programmes.

What is required in terms of academic staff of the proposed Academy is a core staff of two or three eminent academicians who have apart from scholarship and teaching experience, acquired training skills for capacity building of teachers and teaching institutions. An Advisory Board of equally eminent academicians can give guidelines for evolving training programmes at a professional level. In short, it is important that the Academy's operations are entirely managed and controlled by peers of higher learning the country who are accountable to the consumers of training (the teachers and principals) as well as the KSHEC. The academy should not be left to be run by people drawn on deputation for temporary periods.

Normally, the Induction Training should be a serious residential programme of 3 to 6 months before a teacher is allowed to step into the classroom. This, if made a rule, would necessitate selection of teachers 6 months in advance of appointment and the appointment to be made conditional upon satisfactory performance in induction training.

#### **TOWARDS A STRENGTHENED AND RESTRUCTURED KSHEC:**

08. Kerala has taken a lead in administration of higher education in the country when it established under a statute the Kerala State Higher Education Council as

early as 2007. It is now being canvassed by the Planning Commission and the Central Government to be set up in every State for co-ordination, Planning and distribution of funds administered by the MHRD (not UGC). Funds of RUSA are supposed to be distributed to universities and colleges through the State Higher Education Councils, of course based on State Plans prepared under prescribed parameters. In the circumstances, what is required is to strengthen and re-structure the KSHEC by appropriate amendments to the Act so that the process of seeking and distributing central funds are streamlined as per the Central Scheme (RUSA). It was only from this perspective, the Committee examined the Report of KSHEC on State Higher Education Policy (November 2012) which was reportedly accepted by the Government.

09. Without going into the merit of policy recommendations contained in the report which are not necessarily in the domain of this Committee's TOR, the Committee felt that there is need for re-structuring and strengthening the Council based on RUSA Guidelines to make it more efficient in data base development, standards determination, funds distribution and ordering management of institutions to conform to guidelines prescribed. It is therefore important to integrate RUSA Guidelines into the composition and functioning of KSHEC by the Government.

The Report of the Committee on Rejuvenation of Higher Education (Yashpal Committee, 2010) recommended fundamental changes in the regulatory arrangements. It emphasized the need to move away from "inspection raj" towards a policy of self-regulation through disclosure and transparency. It wanted to replace multiple regulatory bodies with a single National Higher Education and Research Commission whose regulatory function is mainly at the time of initial commencement of activities of the university. Otherwise, the Commission is to function more as a facilitative agency guiding the development of institutions and ensuring their autonomy in academic matters. The six Bills now pending in Parliament give the broad architecture of the future development of higher

education in the country and it will be prudent on the part of the State Government to keep it in mind while re-structuring KSHEC on the lines suggested by RUSA.

In short, the function anticipated for the re-structured KSHEC is setting standards, promoting best practices, advising universities and government on educational policies and development, constant generation of reliable data for planning and co-ordination, assisting the preparation of State education plan, organizing common and shared facilities/resources to State institutions, assist capacity building of colleges and universities, distributing grants provided by State and Central Governments based on eligibility and performance according to prescribed guidelines etc. To be able to do these effectively and efficiently, KSHEC needs to be strengthened, empowered and professionally staffed and managed.

As this is a policy matter for the Government to decide, the Committee can only suggest what is contemplated by the Central Plan generally and RUSA in particular, so that the Government may decide what to do and how in consultation with KSHEC or the Planning Board or the RUSA authorities.

10. RUSA also talks about the creation of a Project Directorate in every state and suggests its role and composition. The Director is to be an officer of Secretary rank. Its functions are overseeing project implementation, maintaining statistical data and preparing reports, engaging project auditors etc.

The Project Directorate is assisted by a Technical Support Group which may consist of experts engaged on contract. Its functions are monitoring flow of funds, generating reports as required and provide all operational support to KSHEC.

Finally, at the institutional level, project monitoring units are envisaged.

#### **RECOMMENDATION:**

To conclude this interim report on KSHEC proposals, the Government will be well advised to have a fresh look on the higher education policies and institutional arrangements now in place, so that there are no difficulties and road blocks in accessing Central funds under the XII<sup>th</sup> Plan, particularly under RUSA.

## **Chapter III**

### **SECOND INTERIM REPORT OF THE EXPORT COMMITTEE ON EDUCATION**

#### **KERALA STATE RESEARCH AND INNOVATION UNIVERSITY**

##### **The Background:**

The idea of Innovation Universities to be established through a Central legislation was mooted almost a decade ago during the XI<sup>th</sup> Plan. The Draft XII<sup>th</sup> plan adopted the idea and proposed that as many as twenty (20) such universities be set up by the end of the XII<sup>th</sup> plan. According to Panning Commission there could be public or private universities or a joint venture between the two. Under the Rashtriya Utchachar Shiksha Abhiyan, substantial funds are proposed to be made available to get the Research and Innovation Universities a reality.

Since the State Planning Board wanted the Expert Committee on Education to examine the XII<sup>th</sup> Plan proposals in the context of the needs of higher education in Kerala and advise them on action to be taken by the State, the Committee discussed the issue of Innovation Universities and requested Prof. V.N. Rajasekharan Pillai, a member of the committee to consult heads of leading research institution in the State and report on the feasibility of a Research and Innovation University in the State on the model of The Academy of Scientific and Innovative Research Act, 2011 adopted by CSIR institutions. Prof. Pillai interacted with the heads of several scientific and research institutions established in Kerala, both Central and State, and reported that a “University of Innovation in Scientific Research and Technological Development in Kerala” is not only a felt need but an urgent necessity to tie up and integrate cross-cutting research by different institutions operating in the state to address pressing social problems. He identified over a dozen research institutions which are all recognised as Research Centres for



M.Sc., M.Tech. and Ph.D. programmes of universities in Kerala. Almost all the scientists working in these institutions are recognized research guides and some of them actually teach post-graduate students in the various faculties of the universities as Visiting or Adjunct Faculty. Professor Pillai said that “... creating a state-of -the-art university embracing these institutions on a “Hub and Spokes” model will enhance the quality and quantity of S&T human resources and capacity building in the State in a hitherto unprecedented way””.

Among others, a Research and Innovation University will-

- i) create highest quality S&T personnel with inter-disciplinary and trans-disciplinary knowledge and skills of global standard;
- ii) nurture a development-oriented, research-propelled, industry-linked and technology-enabled innovation platform;
- iii) attain a seamless integration of intellectual capabilities with contextualized developmental and market needs;
- iv) develop niche capability to boost research efforts in futuristic science and technology; and
- v) provide opportunities to work in the frontier and challenging contemporary areas in science and technology.

The University will adopt a “Hub and Spokes Model” structure in order to ensure continued autonomy to participating institutes while providing a common platform for collaboration in research, teaching and other academic pursuits.

It will be managed by a Board of Governors, an Executive Council and an Academic Senate like the IITs and IIMs. It will be mainly dealing with post-graduate and Ph.D. programmes, though an integrated UG-PG programme is not ruled out.

If the proposal is included in the State’s AnnualPlan for 2014-15 with a budget provision of Rs. 25 crores, it will be possible to establish the university by

next academic year itself and the state will be eligible for seeking a RUSA grant of at least Rs. 100 crores for the purpose.

The Committee endorsed the initiative and requested Prof. Pillai to get a draft legislation ready in consultation with the partner institutions who would come under the umbrella of the Kerala Research and Innovation University.

### **What makes an Innovation University?**

Draft XII<sup>th</sup> plan says that low levels of funding and segregation of the country's R&D institutions from universities and colleges have been responsible for the weak research capacity of Indian universities. "In the XII<sup>th</sup> plan, research efforts need to be more directly linked to the national development agenda and better connected to the needs of industry and society. Public R&D institutions should be permanently and closely coupled - including in governance structures - to local institutions of higher education... Institutions should be encouraged to build collaborative ties with private actors in the area of innovation and entrepreneurship including technology companies, venture capitalists, as well as national and international foundations". These universities would focus on selected problems like public health, sustainable development, climate change, urbanization etc. by building a network of institutions and industries around related disciplines.

### **MHRD Initiative on Innovation Universities:**

Much before the Planning Commission promoted the idea of research universities, the Ministry of Human Resources Development under the stewardship of then HRD Minister went ahead preparing a "Concept Note" followed up by a Bill on Universities for Research and Innovation. According to the Note, "...these universities would be at the fount of making India the global knowledge hub and set benchmarks for excellence for other Central and State Universities... The first and 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. The fourteen innovation universities proposed should not be clones of each other

but just one deep theme of innovation expressed in 14 different ways... Each university would focus on one area or problem of significance to India and build an ecosystem of research and teaching around different related disciplines and fields of study which are relevant thereto, and search for solutions that are globally valid”.

The MHRD Note suggested three distinct approaches in establishing Innovation Universities- first, new green field Innovation Universities focused on distinct issues of national importance to India and building various disciplines and fields of research around such issues; second, is that of identifying a few of the existing institutions of repute and with marginal top-up investment encouraging them to attain world class standards through innovation in chosen areas of knowledge; third, identifying a few educational hubs (cities) in the country where a few institutions and universities of excellence by national standards are located, and creating the architecture of an Innovation University by building synergies for inter-disciplinarity and strong research and teaching among such institutions. (emphasis given to suggest its relevance to Kerala).

Interestingly, the MHRD Concept Note observed that the problems with the third approach of creating the Innovation University by linking together existing research institutions in a given geographical area is managing change and resistance to change, overcoming inter personal issues, neutralizing “domain egos” and finding iconic personalities to head the organizational pillars. But the advantages of geographical approach are enormous. The investments are marginal, the returns are attractive and the prospects of early success and recognition as world-class university are bright.

#### **UGC Scheme for Research Promotion and Innovation:**

Not to be left behind in promoting research and innovation, the University Grants Commission early this year came forward with a scheme on Innovation Universities. Building on its “Special Assistance Programmes”, Inter University Centres” and Universities with Potential for Excellence (IX,X and XI Plans), UGC

introduced the scheme called “Innovation Universities” and invited proposals from universities for financial assistance for three categories of innovation, namely (a) Innovative Teaching Programmes; (b) Innovative Research Programmes; and (c) Organizational Innovations.

The objective of the UGC Scheme on Innovation Universities was to promote innovative ways of learning, sharing and growing collectively. While innovative projects and programmes are eligible for grants varying between Rs. 25 crores and Rs. 100 crores, an Innovation University is eligible to receive a grant from Rs. 100 crores to a maximum of Rs.300 crores for a period of five years. An Innovation University under the UGC scheme is one which cover a wide range of objectives under all the three dimensions listed above.

#### **The Universities for Research and Innovation Bill, 2012:**

The Bill introduced the Parliament on May 2012 got referred to the Department related Standing Committee on HRD which submitted its report in February 2013 and is awaiting approval of Parliament. The Bill is a major policy initiative for the establishment of Universities for Research and Innovation for high quality research in the country.

The Statement of Objects and Reasons to the Bill reads: “Innovation carries spin off benefits and yields social dividends for the society through reduction in poverty, improved health, greater education, wealth creation, empowerment of women and vulnerable groups... Universities where the faculty and students constantly challenge existing boundaries of knowledge, amidst a prevailing culture of creativity, are ideally positioned to be the powerhouse of an innovation-led knowledge economy”. These universities are supposed to be totally free from governmental control and would be free to determine their standards. These universities, it is said, would be at the fount of making India the global knowledge hub and set benchmarks for excellence for other institutions of higher learning through path breaking research and promoting synergies between teaching and research.

The Bill seeks to allow the Central Government to set up Innovation Universities by executive orders (notification) rather than by separate legislation. Every Innovation University established under the Bill shall be deemed to be an institution of national importance. They may also establish campuses in foreign countries. An existing public funded university may be notified as an Innovative University if an expert committee set up by the Central Govt. recommended it after assessment. A State University can also be so notified if the State Legislature makes a recommendation to the Central Government. The university has an obligation to review its performance within 15 years and subsequently every 10 years by a Committee whose report will be placed in Parliament. The Governing Board has obligation to appoint an Expert Group for Research Audit which will evaluate research undertaken on the basis of prescribed parameters.

The Standing Committee of Parliament which submitted its report on the Bill had some reservations about certain provisions of the Bill. The Committee was of the view that “mere evaluation and review of Innovation Universities after 15 years of its establishment by a Committee of Experts cannot take the place of an in-built effective monitoring mechanism for these universities. The need for such a mechanism would be felt more in respect of these universities as they would be enjoying complete autonomy”.

The idea of research-based innovation university is thus very much part of the XII<sup>th</sup> plan. Both UGC and the Centrally Sponsored RUSA have provisions for funding Research and Innovation in Universities. The Central Bill on the subject is unlikely to become law in the near future. This means that Innovation University cannot get established through notification by Central Government under the proposed Central Act and can only be created through traditional routes including a State law.

No specific model legal framework is available for establishing a Research and Innovation University. The MHRD Concept Note proposed three approaches in this regard. It appears that in the context of Kerala, the third approach of an

educational hub of few research institutions of excellence in a geographical area being linked together through an architecture of an Innovation University will be ideal for enhancing cutting-edge research on common themes with an inter-disciplinary approach.

**Recommendation:**

The Expert Committee on Education set up by the State Planning Board therefore unanimously recommend the setting up of Kerala Research and Innovation University on the “Hub and Spoke Model” linking together the following Research Institutions in the State which have expressed the desire to join the initiative:

- i) The Centre for Earth Sciences, Trivandrum
- ii) The Kerala Forest Research Institute, Peechi, Trichur
- iii) National Transportation Planning and Consultancy (NATPAC), Trivandrum
- iv) Tropical Botanical Research Institute, Trivandrum
- v) Centre for Water Resource Development and Management, Kozhikode
- vi) Kerala School of Mathematics, Kozhikode
- vii) The Srinivasa Ramanujam Institute of Basic Sciences, Kottayam
- viii) Centre-State Technology Transfer Institute, Trivandrum

It is possible many more institutions of repute functioning in the State might like to join as a constituent unit of the Kerala Research and Innovation University for academic and administrative purposes irrespective of the fact whether they are funded by the State or Central Government or by private management. Among these are the Centre for Development Studies, Trivandrum, Rajiv Gandhi Centre for Bio-technology, Trivandrum, Regional Cancer Research Centre, Trivandrum etc. The Draft Bill proposed is flexible enough to allow such reputed institutions to come into the fold for inter-disciplinary research and teaching collaboration and for award of degrees by themselves. It may be noted that at present hundreds of post-graduate students and Research Scholars are pursuing their studies in these research

institutes in the State and are affiliated for degree awarding purposes to several universities within the State and outside. Naturally, a lot of administrative delays and avoidable costs are caused thereby both to the scholars and to the institutes. This will end with the setting up of the Kerala Research and Innovation University.

**Structure and Organization:**

The proposed University will have a simple administrative structure, as much of the activities take place in the constituent institutions. It needs minimal investment for maintaining its administrative headquarters independently of its constituent units and the Government. To begin with the KCSTE may provide the facility; but it is important for the University to have its own premises. The administrative structure will consist of a Governing Board of 12 to 15 members mostly scientists and educationists of international repute and an Academic Senate and Board of Studies attached to different schools. There will be a Chancellor and a Vice-Chancellor. An examination Unit and a Research Advisory Council are other essential units in the University. All the Directors of the constituent Research Institutes will be ex-officio members of the Board of Governors of the University.

The constituent units will continue to be governed by their own administrative structures and finances. Each such unit will enter into a Memorandum of Understanding with the University for academic purposes.

The powers and functions of the university bodies are to be promulgated through Statutes and Statutes can be amended or repealed by the Governing Board. Academic regulations are made by the Academic Senate through ordinances and approved by the Governing Board.

Thus conceived, the structure and organization of the University will be simple, flexible and participatory of the constituent institutions.

The Committee has authorized Prof. V.N. Rajasekharan Pillai to finalize the Draft Bill accordingly and submit to the Planning Board through the Chairman of the Committee in the course of next three weeks.

**PROCEEDINGS OF THE MEMBER SECRETARY, STATE PLANNING BOARD**

**(Present: Shri. V.S. Senthil IAS)**

Sub: 12<sup>th</sup> Five Year Plan (2012-17) - Constitution of Expert Committees

- Orders issued - reg.

Ref: 1. Minutes of the Planning Board Meeting held on 20-12-2012.

2. Minutes of the Core Group Meeting held on 14-02-2013.

**ORDER NO. 9508/12/PCD/SPB DATED: 09.04.2013**

As per the reference first cited, State Planning Board in its meeting held on 20-12-2012 resolved to constitute Expert Committees on major sectors to examine in detail various programmes and policies proposed in the draft Central 12<sup>th</sup> Plan document so as to take maximum advantage of Central Schemes during the 12<sup>th</sup> Plan period, by the State.

2.The Core Group in its Meeting held on 14-02-2013, vide reference 2<sup>nd</sup> cited, decided to constitute 9 Expert Committees for the following sectors.

**Expert Committees**

- I. Resources and Plan Implementation
- II. Agriculture and Allied Activities
- III. Industry
- IV. Infrastructural Development including Water Supply and Sanitation
- V. Energy
- VI. Health
- VII. SC/ST Development and Social Welfare
- VIII. Education
- IX. Employment and Skill Development

3. In the above circumstances, 9 Expert Committees are hereby constituted as detailed at Annexure I to IX. The terms of reference are given below.



## **Terms of Reference**

- (i) To review 12<sup>th</sup> Plan (2012-17) of Government of India with a view to maximise the State's access to Central Schemes during the Plan period.
- (ii) To examine how the State's Plan programmes (and the flexi-funds available under CSS) can be enhanced through access to Central Plan resources, external funding (including RIDF, Bank finance and PPP).
- (iii) To function as a continuing mechanism throughout the plan period to review how different sectors are able to act up on its recommendations regarding accessing outside resources.
- (iv) To identify road blocks in accessing resources and difficulties in implementation and suggest measures to overcome them.
- (v) To prepare a Plan of Action for each sectors incorporating the estimated resource availability both from Central as well as State and Financial and Physical Targets etc. during the Plan period.
- (vi) To assess the physical outcome of the efforts of each sector through the 12<sup>th</sup> Five Year Plan period.

4. The Chairperson is authorised to co-opt additional members, if necessary. The Chairperson can also modify terms of reference with the approval of the Board.

5. The Expert Committee may submit an interim report before 31<sup>st</sup> May 2013 and the final report by 30<sup>th</sup> September 2013. The interim report will cover all changes in guidelines required for Centrally Sponsored Schemes in the light of the proposed Government of India decision to introduce flexibility in these schemes. The interim report will also cover the immediate steps that are to be taken by the respective departments for submitting detailed proposals to various Central Ministers for availing financial assistance during the current financial year.

6. The non- official members of the Expert Committee will be entitled to travelling allowances as applicable to Class I Officers of the Govt. of Kerala. The local non official members will be eligible for TA/DA as per rules. The Class I Officers of GOI will be entitled to travelling allowances as per rules if reimbursement is not allowed from Departments. The expenditure towards TA, DA and the honorarium will be met from out of the outlay provided under the Head of Account “3451-00-101-93-Surveys and Studies” during 2013-14.

(Sd/-)

**Member Secretary**

To

1. The Chairman / Members

Copy to

1. Chief Secretary, Government of Kerala (With C/L)
2. All Government Secretaries (With C/L)
3. PS to VC
4. CA to Members
5. PA to MS
6. CA to CEA
7. Sr. A.O.
8. SS, Accounts
9. Spare , S/F

Approved for issue,

(Sd/-)

**Chief, PCD**

**CENTRAL 12<sup>TH</sup> FIVE YEAR PLAN (2012-13) – CONSTITUTION OF EXPERT  
COMMITTEES**

**Expert Committee on Education**

**I. Education**

**Chairman**

Dr. N.R. MadhavMenon

Member,

Commission on Centre State Relations

Government of India

VigyanBhavan, AnnexeMailam Azad road,

New Delhi. 110011

Phone No. 9496750292

**Members**

1. Sri. Achuthsankar S Nair,  
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2. Prof. V. N. RajasekharanPillai  
Executive Vice President & Principal Secretary,  
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3. Prof. R.V.G. Menon,  
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4. Prof. P.O.J. Lebba,  
Secretary,  
MES College of Engineering,  
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5. Shri. K. Sree Krishna Kumar,  
R.O & Director of AICTE,  
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6. Prof.Venketesh Kumar,  
Chairperson, Centre for Public Policy and Governance,  
School of Management & Labour Studies Tata Institute of Social Science (TISS),  
Mumbai.
7. Dr.K.Ellangovan,  
Secretary to Government,  
General Education Department,  
Govt.Secretariat,  
Thiruvananthapuram
8. Dr.K.M.Abraham IAS  
Additional Chief Secretary to Government  
Higher Education SDepartment  
3<sup>rd</sup>Floor ,Secretariate Annex,  
Thiruvananthapuram

**Member Convenor:**

Smt. ShilaUnnithan, Chief, SS Division, SPB

## **PROCEEDINGS OF THE VICE CHAIRMAN, STATE PLANNING BOARD**

**(Present: Shri. K.M Chandrasekhar)**

Sub: 12<sup>th</sup> Five Year Plan (2012-17) - Constitution of Expert Committees

- Orders issued - reg.

Ref: 1. Minutes of the Planning Board Meeting held on 20-12-2012.

2. Minutes of the Core Group Meeting held on 14-02-2013.

### **ORDER NO. 9508/12/PCD/SPB DATED: 08.05.2013**

As per the reference first cited, State Planning Board in its meeting held on 20-12-2012 resolved to constitute Expert Committees on major sectors to examine in detail various programmes and policies proposed in the draft Central 12<sup>th</sup> Plan document so as to take maximum advantage of Central Schemes during the 12<sup>th</sup> Plan period, by the State.

2.The Core Group in its Meeting held on 14-02-2013, vide reference 2<sup>nd</sup> cited, decided to constitute 9 Expert Committees under various sectors given below.

#### **Expert Committees**

- X. Resources and Plan Implementation
- XI. Agriculture and Allied Activities
- XII. Industry
- XIII. Infrastructural Development including Water Supply and Sanitation
- XIV. Energy
- XV. Health
- XVI. SC/ST Development and Social Welfare
- XVII. Education
- XVIII. Employment and Skill Development

3. In the circumstances, the Expert Committee on Agriculture and Allied Activities is hereby constituted as detailed in the Annexure, with the following terms of reference.

## **Terms of Reference**

- (vii) To review draft 12<sup>th</sup> Plan (2012-17) of Government of India with a view to maximise the State's access to funding under Central Schemes during the Plan period.
- (viii) To examine how the State's Plan programmes (and the flexi-funds available under CSS) can be enhanced through access to Central Plan resources, external funding (including RIDF, Bank finance and PPP).
- (ix) To function as a continuing mechanism throughout the plan period to review how different sub-sectors are able to act up on its recommendations regarding accessing resource from the Centre and other external sources and their effective utilisations.
- (x) To identify road blocks in accessing resources and difficulties in implementation and suggest measures to overcome them.
- (xi) To prepare a Plan of Action for each sub-sectors incorporating the estimated resource availability both from Central as well as State and Financial, Physical Targets etc. during the Plan period.
- (xii) To assess the physical outcome of the efforts of each sector through the 12<sup>th</sup> Five Year Plan period.

4. The Chairperson is authorised to co-opt additional members, if necessary. The Chairperson can also modify terms of reference with the approval of the Board.

5. The Expert Committee may submit an interim report by 15<sup>th</sup> June 2013. The interim report will cover all changes in guidelines required for Centrally Sponsored Schemes in the light of the proposed Government of India decision to introduce flexibility in these schemes. The interim report will also cover the immediate steps that are to be taken by the respective departments for submitting detailed proposals to various Central Ministers for availing financial assistance during the current financial year.

6. The non- official members of the Expert Committee will be entitled to travelling allowances as applicable to Class I Officers of the Govt. of Kerala. The local non official members will be eligible for TA/DA as per rules. The Class I Officers of GOI will be entitled to travelling allowances as per rules if reimbursement is not allowed from Departments. The expenditure towards TA, DA and the honorarium will be met from out of the outlay provided under the Head of Account “3451-00-101-93-Surveys and Studies” during 2013-14.

**(Sd/-)**

**Vice Chairman**

To

The Chairman / Members

Copy to

1. Chief Secretary, Government of Kerala (With C/L)
2. All Government Secretaries (With C/L)
3. PS to VC
4. CA to Members
5. PA to MS
6. CA to CEA
7. Sr. A.O.
  8. SS, Accounts
  9. Spare , S/F

Approved for issue

**(Sd/-)**

**Chief, PCD**

**PROCEEDINGS OF THE MEMBER SECRETARY, STATE PLANNING BOARD**

**(Present: Shri. V.P.Joy IAS)**

Sub: 12<sup>th</sup> Five Year Plan (2012-17) - Constitution of Expert Committees -  
Amendment - reg.

Ref: This Office Order No.9508/12/PCD/SPB Dated: 09-04-2013 and  
08-05-2013

**ORDER NO. 9508/12/PCD/SPB DATED:30.05.2013**

1. As per the reference cited, 9 Expert Committees have been constituted on major sectors to examine in detail various programmes and policies proposed in the draft Central 12<sup>th</sup> Plan document so as to take maximum advantage of Central Schemes during the 12<sup>th</sup> Five Year Plan period, by the State.
2. Para 5 of the reference cited, stipulates that the Expert Committee may submit an interim report before 31<sup>st</sup> May 2013 and the final report by 30<sup>th</sup> September 2013.
3. It has now been decided that all the 9 Expert Committees are expected to be in the nature of the standing committees until the end of the 12<sup>th</sup> Five Year Plan period (2012-17) and hence submitting a final report by September, 2013 does not arise.
4. In the above circumstances, para 5 of the proceedings referred above stands partially amended as follows, “ The Expert Committee may submit an interim report before 31<sup>st</sup> May 2013. The Expert Committees will be in the nature of Standing Committees until the end of the 12<sup>th</sup> Five Year Plan. The interim report will cover all changes in guidelines required for Centrally Sponsored Schemes in the light of the proposed Government of India decision to introduce flexibility in these schemes. The interim report will also cover the immediate steps that are to be taken by the respective departments for submitting detailed proposals to various Central Ministers for availing financial assistance during the current financial year”.



5. The proceedings referred above is modified to the above extent.

(Sd/-)

**Member Secretary**

To

1. The Chairpersons / Members
2. All Chiefs

Copy to

- 1) PS to VC
- 2) CA to Members
- 3) PA to MS
- 4) CA to CEA
- 5) Sr. A.O.

Approved for issue

(Sd/-)

**Chief, PCD**

**PROCEEDINGS OF THE MEMBER SECRETARY, STATE PLANNING BOARD**

**(Present: Dr.AnuradhaBalaram. IES)**

Sub: 12<sup>th</sup> Five Year Plan (2012-17) - Constitution of Sub Committee on General (School) Education under the Expert Committee on Education - Orders issued - reg.

Ref: 1. Order No.9508/12/PCD/SPB Dated 09-04-2013 & 30-05-2013 .  
2. Minutes of the second meeting of the Expert Committee on Education held on 29-30 June, 2013.

**ORDER NO. 9508/12/PCD/SPB DATED: 13.08.2013**

As per the reference cited first, an Expert Committee on Education has been constituted to examine in detail various programmes and policies proposed in the draft Central 12<sup>th</sup> Plan document under Education Sector so as to take maximum advantage of Central Schemes during the 12<sup>th</sup> Plan period, by the State.

2. As per the reference cited second, it was resolved to constitute a Sub Committee on General (School Education) under the Chairmanship of Dr. K. Ellangovan, Secretary, General Education Department, to look at the School Education Sector as it impacts on quality of Higher Education.

3. In the above circumstances Sub Committee on General (School) Education is constituted as follows.

- |  |   |          |
|--|---|----------|
| 1. Dr. K. Ellangovan<br>Secretary (General Education Department) | - | Chairman |
| 2. Sri.A.Shajahan. IAS<br>Director DPI                           | - | Convenor |
| 3. Mrs.Lida Jacob,<br>Formerly Commission for Kerala, RTE Rules  | - | Member   |

- |   |   |        |
|---|---|--------|
| 4. Sri. Hashim<br>Director SCERT  | - | Member |
| 5. Mrs.Sumangala Devi,<br>Formerly Head of Department,<br>Department of Education, Calicut University | - | Member |
| 6. Smt. Michel Nirmala. D.I<br>Deputy Director (SS Division),<br>State Planning Board                 | - | Member |

#### **4. Terms of Reference**

- i) To evaluate the existing programmes under implementation in the light of the priority set out in the XII<sup>th</sup> Five Year Plan of Government of India with an objective to maximise fund allocation to the State.
- ii) To examine factors affecting the quality of education in schools and to suggest measures to improve the quality.
- iii) To explore the possibility of creating institutional mechanism to overcome structural and functional blocks coming in the way of excellence in teacher education and training.
- iv) To explore the need and possibility of aligning the state curriculum with the national curriculum to bring in better competitiveness and skills to compete in national level competitive examination.

5. The Committee could invite members of the Expert Committee, experts in the field of education or any other person deemed appropriate to the discussions. The Committee may also hear the views of the stakeholder in the course of deliberations.

The committee will present its report to Expert committee on Education in due course.

6. The other conditions laid down in the order at reference 1 stands applicable to the Sub Committee.

**(Sd/-)**

**Member Secretary**

To

The Chairman / Members

Copy to:

1. Chief Secretary, Government of Kerala (With C/L)
2. All Government Secretaries
3. PS to VC
4. CA to Members
5. PA to MS
6. CA to CEA
7. Sr. A.O.
8. SS, Accounts
9. Spare , S/F

Forwarded / By Order,

Sd/-

Chief (PCD)