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University Grants Commission

Bahadur Shah Zafar Marg, New Delhi-110002



ज्ञान-विज्ञान विमुक्तये



Governance in Higher Education:
Hand Book for Vice-Chancellors

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CONTENTS

CHAPTER	PARTICULARS	PAGE
	Foreword	v
	Acknowledgements	ix
	Introduction	1
I	Genesis and Development of Appointment Norms of Vice-Chancellors, their Duties, Responsibilities, Powers and Functions	9
II	Attributes of a 21st Century Vice-Chancellor of an Internationalised University	19
III	Code of Conduct for the University community	31
IV	Statutory/Regulatory Councils / Bodies and their Acts/Statutes/ Ordinances/Regulations	47
V	Autonomy of Higher Educational Institutions and Regulatory Provisions	99
VI	Human Resource Management: Teachers, their Appointments, Promotions and Norms	108
VII	Financial Administration and Norms, Accounts and Audit Rules	134
VIII	Student Harmony in Higher Educational Institutions and Grievance Redressal Mechanism	169
IX	Higher Education: Quality, Teachers, and Employability of Graduates	179
X	University e-Governance and Administrative, Professional And Leadership Development Programmes in Higher Educational Institutions	234

CHAPTER	PARTICULARS	PAGE
XI	Best Practices in Higher Education System	267
XII	UGC Quality Mandate	288
	References	290
	Appendix – Compendium relating to Circulars/Orders issued by Government of India/UGC	298
	About the Contributors	

Foreword

The Indian Higher education (HE) system is the second largest in the world. Higher education in India has experienced an unprecedented expansion over the past decades. According to the All India Survey for Higher Education Report (MHRD, 2018) released on 27th July, 2018, India has 903 universities, including Institutions of National Importance, 39050 Colleges and 10011 stand alone institutions in 2017-18. Indian higher education institutions have enrolled 36.6 million students with a Gross Enrolment Ratio (GER) of 25.8 percent as of 2017-18. The Higher Education system comprises of the Central Universities, State Universities, Institutions of National Importance, Deemed to be Universities, State Private Universities Constituent Colleges, Autonomous colleges and Affiliated colleges.

Consequent to rapid growth of higher education in India, concerns are being raised about quality and excellence outputs from universities, particularly from the perspective of low level graduate employability and self employability. At the same time, massive national efforts have been launched currently by UGC and MHRD, Government of India with a strategic framework of schemes for enhancement of quality and innovation in all types of Higher Education Institutions.

It is in this context, the role of Vice-Chancellors of Indian universities has gained paramount importance. As ‘Chief Executives and Academic Heads of universities’, the Vice-Chancellors are expected to be efficient and effective in terms of (a) implementation of National Higher Education Policy and programmes, (b) institutional change in tune with the national reforms package, (c) quality and innovation enhancement and their sustainability, (d) productive engagement with ‘communities of scholars’ from within their universities and from national and international domains, (e) nurturing of ‘Research and Innovation Ecosystem’ and translation

of deliverables to society and economy and (f) adoption of international best practices of ‘Good Governance.’

Universities in India have shared governance wherein the Vice-Chancellors as the ‘Chief Executives and Academic Heads’, are expected to strictly adhere to the Acts, Statutes and Ordinances of their universities on the one hand, and equally comply with Acts, Regulations and Guidelines of the National Statutory/Regulatory bodies on the other hand. Most of the decision making powers are vested with university bodies like Executive/Governing Councils/Syndicate/ Board of Management, Senate/Court, Academic Councils and Finance Committees. Even though these bodies are chaired by Vice-Chancellor, their constitution is dominated either by the faculty members or by the nominees of the Governments or Regulatory bodies. In some universities, members of these bodies are also appointed by election and in many a cases, elected representatives like the Members of Parliament and State Assemblies are also nominated as members. The Vice-Chancellors in India are also required to work with their teams of Heads/ Chairpersons/Directors of the Departments/Centres and Deans of the Faculties/Schools.

Thus, the Vice-Chancellor has to evolve as the leader of a symphony of orchestra with the attributes of (a) developing teams and teamwork, building partnerships and collaborations delicately interwoven by collegiality, friendship and intellectual engagement; (b) devising a strategy and action plan with defined milestones and deliverables; (c) ensuring primary accountabilities of self and the above mentioned university governing bodies; and (d) steering an institutional monitoring and evaluation mechanism on university performance built on principles of transparency.

In view of the complex and demanding roles and responsibilities of Vice-Chancellors in Indian universities, the present and prospective Vice-Chancellors need to empower themselves with domain specific knowledge,

skills and attitude to evolve as effective Vice-Chancellors. In spite of the fact that the UGC Regulations, 2010 and 2018 prescribe eligibility qualifications for the position of Vice-Chancellors, the culture of induction programme for the selected Vice-Chancellors to get them prepared for effective performance is not currently in practice.

Under these circumstances, UGC felt it necessary to develop a “Handbook for Vice-Chancellors” as a ready-reckoner guide for the essential knowledge domain required for their visionary functioning. I deem it a privilege to request all the present and prospective Vice-Chancellors to own a copy of this Handbook as a guide to shape themselves as successful Vice-Chancellors of our “Temples of Wisdom,” the Indian universities.

Prof. D.P. Singh
Chairman
University Grants Commission

New Delhi
Teachers’ Day
5th September, 2019

Acknowledgements

Mahatma Gandhi, the Father of our Nation has said, “Education is the basic tool for the development of consciousness and the reconstitution of society. By education, I mean, an all-round drawing of the best in child and man in body, mind and spirit”. In order to achieve his vision, the Ministry of Human Resources Development (MHRD) and University Grants Commission (UGC) have been striving hard for over six decades by plans and programmes through futuristic schemes and deployment of appropriate strategies in areas of education, in general, and higher education, in particular. After having reasonably achieved the targets of ‘Expansion and Inclusiveness’ in Higher Education with the Gross Enrolment Ratio (GER) of 25.8% as in 2018, MHRD/UGC have now embarked on ‘Quality, Innovation and Excellence’ as the current themes of reforms in higher education.

The quality reforms in Indian higher education system have to be triggered, nurtured and cultivated through the universities and higher education institutions of our country, and the Vice-Chancellors of these universities become the ‘key-drivers’ of this ‘quality-renaissance’ through ‘good-governance’.

I express my sincere thanks to Shri R. Subrahmanyam, Secretary (HE), MHRD for his passion and ideas for quality initiatives of UGC and supporting the development of such a Handbook.

I am grateful to Prof. D. P. Singh, Chairman, UGC for his vision and leadership for quality higher education and taking the initiatives for a compilation, in the form of a handbook, which will be useful for the potential and present Vice-Chancellors to discharge their duties more effectively while being fully aware of rules/procedures.

An Expert Committee was constituted by the Chairman, UGC to develop this handbook entitled as “Governance in Higher Education: Hand Book for Vice-Chancellors”.

The Expert Committee consisted of Prof. S.P. Thyagarajan, Former Vice-Chancellor, University of Madras, Chennai as Chairman of the Committee; Prof. N.V. Varghese, Vice-Chancellor, National University of Educational Planning and Administration (NIEPA); Prof. Furqan Qamar, Former Secretary General, Association of Indian Universities, New Delhi and Prof. K.P.S. Unny, Former Registrar, Jawaharlal Nehru University, New Delhi as Members of the Committee. Dr. Dev Swarup, Additional Secretary, UGC acted as the Member-Coordinator. They have made a remarkable contribution in writing and compiling this Handbook for Vice-Chancellors in a record time which is admirable. On behalf of UGC, I thank all of them immensely with the words that they would be remembered by our Indian academic community for long.

I am also thankful to Dr. Kavita Sharma for very generously agreeing for a review of this work and providing her valuable inputs.

A work of this nature could not be completed without active support of an effective and efficient operational team. I would like to record my thanks for the timely support of Dr. Diksha Rajput of UGC in getting the book printed on a fast-track mode. I also express my thanks to Shri R. C. Bhat, UGC Audit-Bureau; Shri Vasdev Talreja, UGC Central University-Bureau; Faculty members of CPRHE/NIEPA- Dr. Anupam Pachuari, Dr. Garima Malik and Dr. Sayantan Mandal; and Ms. R.P. Parameswari, UGC-Fellow under Prof. S.P. Thyagarajan for their academic and administrative assistance.

Lastly, I would like to thank all the members of UGC family who have directly or indirectly contributed in the development of this Hand Book.

Prof. Rajnish Jain

Secretary

University Grants Commission

New Delhi

Teachers' Day

5th September, 2019

Introduction

“The proper functioning of a university depends on the all-round acceptance of two basic principles. These are autonomy for universities from external control together with a democratic administrative system, and effective participation of the academic community in the formation and implementation of university policy and programmes”

-Dr. D.S. Kothari, 1964

The 21st century university is envisioned as a ‘Temple of Wisdom’ which would attract scores of students and researchers across the world. Who can be the Vice-Chancellor for such a ‘Temple of Wisdom?’ While academic qualifications, administrative experience, research credentials and track record could be considered as basic eligibility requirements, the soughtafter characteristics of a potential Vice-Chancellor could be: One who is a passionate visionary; one who is well-versed in modern practices of academics internationally; one who could pitch the university as equal among the top hundred in the world university system; one who understands international quality research and various facets of research which will lead to economic upheaval of the country; one who understands and handles the temple of wisdom as ethical business; one who respects human resources, teachers and stake-holders; understands marketing, sales and all buzz words of corporate world; one who is a true leader who can prevail upon people to change old mind-sets of faculty and other staff entrenched in the current system and one who can inspire talented people to join teaching profession and guarantee the entry of only such high quality teachers into the university system.

The experience of the past decades has shown that not every ‘**qualified**’ Vice-Chancellor turns out to be an ‘**ideal**’ and ‘**competent**’ Vice-Chancellor, as characterized above. In fact, apart from the **Qualifications**, a Vice-Chancellor should have

certain essential **Qualities and Attributes**, which are not always '**prescribed**'. Moreover, even an **efficient** Vice-Chancellor may not be **effective**. It is the qualities and attributes which help the Vice-Chancellor to be an effective Vice-Chancellor. Though not formally prescribed, from the perspective of stakeholders, they broadly include:

- (a) Highest level of competence, integrity, ethics, and morals;
- (b) Commitment to and sympathy with community values and aspirations;
- (c) Constant alertness to societal issues: women issues, issues relating to castes, religions, politics, etc. which can disturb the peaceful atmosphere and functioning of the university;
- (d) Know-how to take decisions in a limited time, which is acceptable to all concerned;
- (e) Absolute impartiality and fairness in dealings with persons and issues, which would help to improve the university's health by minimizing litigation and thereby saving time and money;
- (f) Love for the university community as for a family;
- (g) Interest in and ability to improve quality consciousness in the campus (es);
- (h) Attitude for attributes of accountability linked autonomy;
- (i) A governing system which has synergy of technology-based systems, team building and a hybrid model of collegial cum corporate practices;
- (j) Ability to develop a global vision and a global orientation to bring about global visibility for the university

Since the late 1980s, the Indian university system has been facing many challenging situations, like: significant increase in the number of higher educational institutions (HEIs) and increase in number of students enrolments in them leading to the Gross Enrolment Ratio (GER) of 25.8% in

2018; entry of Private institutions and Foreign institutions; considerable increase in the per student expenditure in professional, postgraduate and research programmes; sizeable increase in the number of people willing to pay for higher education that provided them skills and competencies required for early employability in the expanding job market in the country; inadequacy of measures for equitable access to quality higher education for students coming from weaker sections of society, rural, tribal and hilly areas; decreased mobility of committed academic professionals seeking teaching positions across higher education institutions; serious concerns about implementing 'effective autonomy' of many HEIs strongly linked to academic, administrative and financial accountability, etc.,

The higher educational institutions were not well equipped to adequately and effectively respond to these new challenges. The pressure on the Institutions often manifests in the form of agitations, leading sometimes even to law and order issues in some universities. Under these circumstances, the role of the Vice-Chancellor, as the "Principal Academic and Executive Officer" of the university, need to be decisive, impartial and aligning with the domains of Act, Statutes, Ordinances and prevailing guidelines of appropriate Statutory Councils. The present day magnitude and seriousness of the issues, which often lead to litigation and judgments by several Judiciary Courts/ Benches, have taken the initiative out of the hands of the Vice-Chancellors. Hence there is a paramount and urgent need to familiarize and equip the Vice-Chancellors/ newly appointed Vice-Chancellors and prospective Vice-Chancellors with the required domains of knowledge, skills, attitudes, and nuances of higher education administration coupled with academic advancement.

Keeping this in view, the UGC in 2005 brought out "Guidelines for Training and Development of Academic Administrators of Higher educational institutions". This document gave illustrative 'Key Training Needs'

for Institutional Heads like Vice-Chancellors, Pro-Vice-Chancellors, etc. in the form of 'Leadership Development', 'Management of Change' and Application of IT in Educational and Academic Institutions', and further provided illustrative 'Training Modules'.

Considering the diversity and magnitude of challenges faced by modern Vice-Chancellors of over 900 universities in India, the University Grants Commission felt that a Handbook could be prepared for the Vice-Chancellors which would serve as a ready reckoner for them in providing them guidance/directions at times of need. This, however, does not preclude their use of the provisions of the Acts, Statutes, Ordinances, and Regulations.

A Vice-Chancellor who fulfils his duties and functions in a routine way, that too going mainly by the letter of the provisions in the Acts and Statutes, and not by their spirit of ethics, morals and integrity, will no more meet the challenges faced by the universities today. This is more so, since the Acts and Statutes do not provide any clue to a Vice-Chancellor on some practical issues which he/she has to face; to manage the multiple roles in different committees for which he/she may be the Chairperson, to reconcile the differences, if any, deal with associations and unions, handle sensitive issues in the community and nation.

With the above objectives, "The Handbook for Vice-Chancellors" is developed by the UGC through an UGC Expert Committee, constituted with the following Experts:

- 1) Prof.S.P.Thyagarajan, Former Vice-Chancellor, University of Madras (Chairman),
- 2) Prof.N.V.Varghese, Vice-Chancellor, National Institute of Educational Planning and Administration, New Delhi,
- 3) Prof.K.P.S.Unny, Former Registrar, Jawaharlal Nehru University, New Delhi,
- 4) Prof.Furqan Qamar, Former Secretary General, Association of Indian Universities, New Delhi (Members),

- 5) Dr. Dev Swarup, Former Vice-Chancellor, University of Rajasthan and presently, Additional Secretary, University Grants Commission, New Delhi (Member-Coordinator).

The Book is titled as. "Governance in Higher Education: Hand Book for Vice-Chancellors.

The book is planned in eleven Chapters:

- (a) The first two chapters deal with the appointment norms of Vice-Chancellors, how the role of a Vice-Chancellor was perceived by various Commissions and Committees at different times in the last century, and about the anticipated attributes of 21st century Vice-Chancellors.
- (b) Chapter III gives the code of conduct/rules, relating to code of good practices, based on the UGC Regulations currently in vogue.
- (c) Chapter IV gives the role of Statutory / Regulatory Councils/ Bodies and their Acts/Statutes/ Ordinances/ Regulations. The Chapter also includes useful information about Nodal Ministries and their Role and Responsibilities, Regulations for Exit/ withdrawal, Governance and Administration of HEIs, recognition and equivalence of qualifications, accreditation and quality assurance in higher education, funding and financing of higher education, etc.
- (d) Chapter V deals with Autonomy and its various types, its strengths and weaknesses.
- (e) Chapter VI is about Human Resource Development, faculty appointments, promotions, and norms, since only quality faculty members can elevate the quality of education in higher educational institutions.
- (f) Chapter VII describes the Financial Administration and Norms, Accounts and Audit Rules to familiarize the leadership of the higher educational system, about financial discipline and accountability.

- (g) The HEIs in general, and the Vice-Chancellors in particular, need to engage in continuous dialogue with the student community so that they would understand the rationale behind various decisions concerning them, and help reduce conflict situations. Chapter VIII deals with Student Harmony in Higher Educational Institutions and Grievance Redressal Mechanism
- (h) Chapter IX is on Higher Education: Quality, Teachers, and Employability of Graduates.
- (i) University e-Governance coupled with Administrative, Professional, and Leadership Development programmes of Higher Education Teachers is dealt with in Chapter X titled “University e-Governance, Administrative, Professional and Leadership Development Programmes in Higher Educational Institutions”.
- (j) Innovations and Best practices are the dynamic quality benchmarks for higher educational institutions to elevate themselves as globalised universities/colleges. Chapter XI highlights the importance of best practices with salient examples.
- (k) Chapter XII briefs the ‘Quality’, mandate adopted by UGC in its Higher Education Vision.

Higher educational institutions and universities have always projected academic excellence and high quality as the highest goals. Achieving these goals was easier in a time of favourable demographics and freedom of management. The environment has changed now warranting improvement of higher education management which is directly proportional to improvement of quality in higher educational institutions. This has to evolve as a “Quality movement” based on a set of quality principles to achieve “Total Quality Management (TQM) in Higher education”. These quality principles are an institutional philosophy and organizational culture that utilizes scientific outcomes measurement, systematic

management techniques, and collaboration to achieve the mission of the institution.

The following are the major quality principles emerged in the TQM practices of international universities and are required to be adopted for bringing about excellence in the Indian higher education system:

- (a) Vision and Mission linked to the driven outcomes;
- (b) Leadership to create quality culture;
- (c) Leadership tiers for supporting quality culture;
- (d) Systems development in administration;
- (e) Systematic individual development among the members of the university community, viz., faculty, staff and students;
- (f) Decision to be made based on facts;
- (g) Delegation of decision making powers;
- (h) Intra and Inter Institutional collaboration;
- (i) Planning, Preparation and receptivity for change(s).

Most institutions have missions, but most of them are not accustomed to measuring the outcomes of their processes. Traditionally, constituents within the higher educational institutions act independently rather than interdependently. Leaders are not trained in the tools and techniques used to improve systems and processes. Developing management skills and knowledge is not the norm in higher education management in universities. Although data are collected for a variety of purposes for directing higher educational institutions, they are not collatable, since they are seldom collected systematically before making academic and administrative decisions. Committees in academe are common; but actually collaborating and working as teams is not usually practiced.

Usually, when paradigm shifts, members begin to ask different questions in search of new answers to the same old issues. For this culture to change, the Vice-Chancellors of universities need to shift their thinking about how work is done

in international universities. They need to embrace change as a positive value in the cultural system of the institution

Since continuous improvement is based on continuous change. Planning for change is an attitude to be cultivated by the Vice-Chancellors/leaders of the higher educational institutions. Planning and implementation of academic changes, schemes etc., is an attribute to be cultivated not only by the Vice-Chancellors of higher educational institutions, but also by the leadership tiers of the institutions for supporting systems development in administration and systematic individual development among the university community. Only when such a holistic implementation of quality principles is effected, academic excellence in all spheres of higher education system becomes sustainable.

The University Grants Commission is optimistic that this, “Hand Book for Vice-Chancellors” would assist the Vice-Chancellors of Indian Higher Education System, the present and future, in their mission of evolving the Indian universities as ‘Temples of Wisdom’ by adapting to the above TQM principles. The authors of this Hand book make a disclaimer that it is only a facilitating ready-reckoner for University Good-Governance by the Vice-Chancellors. It is not to be considered as a document of UGC that can be quoted as support document/evidence in any Court of Law in India or abroad.

- Contributors.

CHAPTER I

GENESIS AND DEVELOPMENT OF APPOINTMENT NORMS OF VICE-CHANCELLORS, THEIR DUTIES, RESPONSIBILITIES, POWERS AND FUNCTIONS

1.1. Earlier Higher Education Committees and Expectations from Vice-Chancellors

Under the university constitution, while the Chancellor is described as “Chief Executive and Academic Head of the university”, the Vice-Chancellor is the “Principal Academic and Executive Officer of the university”.

As the academic and executive head of the university, the Vice-Chancellor has to play the most significant role as the leader of the university system both in the executive and academic wings. He functions as a “bridge” between the executive and academic wings of the university as he is the head of both; he is both a “teacher” and an “administrator”.

According to the report of the Model Act, the Vice-Chancellor is by far the most important functionary in a university, not only on the administrative side but also for securing the right atmosphere for teachers and students to do their work effectively and in the right spirit. In the report of the **Gajendragadkar Committee (1970)** on the Governance of the university, it has been stated that the Vice-Chancellor shall be the principal executive and academic officer of the

university and should exercise general supervision and control over the affairs of the university and give effect to the decisions of all its authorities. He/she shall be the ex officio Chairman of the Court, Executive council, Academic Council, Finance Committee and Selection Committee and shall, in the absence of the Chancellor preside at any convocation of the university for conferring degrees. It shall be the duty of the Vice-Chancellor to ensure that the provisions of the Act, Statutes, Ordinances and Regulations are fully observed and he/she should have the power necessary for the discharge of this duty.

1.2. Recommendations on appointment of the Vice-Chancellor by various Committees

The Radhakrishnan Commission (1948) favoured the idea of selection of the Vice-Chancellor by the Chancellor, on the positive recommendation of one name by the Executive Council. It also recommended that the Chancellor should be empowered to ask for a fresh name, if he considers the proposed name unsuitable.

The Kothari Commission (1964) while agreeing with the idea of the **Radhakrishnan Commission** suggested that when the necessary conditions are created, the choice of the Vice-Chancellor should eventually be left to the university concerned.

Appointment of the Vice-Chancellor is made in most of the universities out of a panel of at least three names by the Governor/Chancellor, if it is State University and by the Visitor in the case of the Central Universities. The panel of names is prepared by a Search Committee constituted in accordance with the provision of the Act or the Statute of the university concerned. The UGC Committee on **“Governance of Universities and Colleges” (UGC, 1971)** has in its report, after considering several alternatives, recommended that the Vice-Chancellor may be appointed by the Visitor (or Chancellor) from amongst a panel of names submitted by a Search Committee specially constituted for the purpose. The UGC Committee has

suggested the following alternatives for the constitution of the Search Committee.

Pattern I

- a. A nominee of the Visitor (or Chancellor)
- b. Two nominees of the Executive Council (or Syndicate)

Pattern II

- a. A nominee of the Visitor (or Chancellor)
- b. A nominee of the Chairman, UGC
- c. A nominee of the Executive Council (or Syndicate)

Pattern III

- a. A nominee of the Visitor (or Chancellor)
- b. A nominee of the Chairman, UGC
- c. Three nominees of the university one of whom may be nominated by the Academic Council and the other two by the Executive Council (or Syndicate). Alternatively, one to be nominated by the Executive Council (or Syndicate) and the other two by the Academic Council.

Another model of the search committee recommended by **Gnanam Committee (1990)** is the following:

- [1] Chairman, University Grants Commission or his nominee; or Chairman, State Council of Higher Education;
- [2] Representative of the Executive Council (Syndicate); and
- [3] Nominee of the Chancellor/ Visitor who may be the Convener of the Committee.

The **Gnanam Committee (1990)** recommended that the process of appointment of a successor should be started well within the term of the out-going Vice-Chancellor and the latter should be persuaded to stay until the successor takes over

charge. The Vice-Chancellor should be a person with vision and qualities of academic leadership and with flair for administration because what the universities need is a sensitive, efficient, fair and bold administrator. The Vice-Chancellor should be a distinguished educationist from the Higher Education system. The Vice-Chancellor should have direct access to the Visitor/Chancellor. His age of retirement should be 65 years.

1.3. Critical Considerations in the appointment of Vice-Chancellors

There are three important considerations that should be spelt out unambiguously in the appointment of Vice-Chancellors. First and foremost, the person being considered should possess the essential attributes required to provide academic, administrative and community leadership. Secondly, the composition of the search committees and the manner in which these are constituted should inspire confidence in their choice of candidates. Finally, the manner in which the final selection is made by the appointing authority from out of the panel recommended by the search committee must be free of political bias and appearance of malpractices. All the eminent commissions have considered these three aspects and made specific recommendations. The failure to adhere to their wisdom and creation of Acts and Statutes contrary to the spirit of such advice is at the root of the evils associated with the appointments of Vice-Chancellors.

Added to this is the propensity of political and other power centres to make the universities as the source of their eternal power and income. The growth of private universities mostly controlled by family members and friends has severely eroded the stature and effectiveness of Vice-Chancellors.

1.4. Qualities of the Vice-Chancellor

1. The qualities required of a Vice-Chancellor have been discussed by various national commissions and

committees including the Education Commission (**Radhakrishnan Commission, Government of India, 1948**), the Committee for Model Act for Universities (**Kothari Commission, 1964**), the Education Commission, 1964-66 (**Government of India, 1966**) and the UGC Committee on New Educational Management (**Gnanam Committee, University Grants Commission, 1990**). All of them have placed emphasis on the role of the Vice-Chancellor in the university system as the chief functionary of the university and have emphasized that he or she should be a person of outstanding academic merit possessing a strong administrative background.

2. The **Kothari Commission (1964)** opined: “Generally the Vice-Chancellor should be a distinguished educationist or eminent scholar in any of the disciplines or professions, with a high standing in his field and adequate administrative experience. We are not generally in favour of appointment of persons who have retired from other fields”.
3. The **Gnanam Committee (1990)** stated: “The Vice-Chancellor should be a distinguished academic. It should be ensured that only persons of highest level of competence, integrity, morals, self-respect are appointed as Vice-Chancellors”.
4. The **Parikh Committee (1993)** stated: “a Vice-Chancellor should be a person with vision and (have) qualities of leadership with ability for administration. He should command high respect among all sections of the society”. (He must have the) “ability to provide leadership by his academic worth, administrative competence and moral stature”.
5. “The Chief Executive (the Vice-Chancellor) needs to have, amongst other things, a clear perception about the goals and objectives of the institution, a yearning for success along with the willingness to accept setbacks with stoicism, a confidence in colleagues and subordinates

without over dependence on them, equanimity coupled with a sensitivity to the feelings of co-workers, an understanding of the strengths and weakness of the institution, a full knowledge of the functioning of all divisions of the institution, the (inborn) capability of having a holistic view, the ability to take timely, sometimes unpleasant decisions, an appreciation of the need to change and along with it a willingness to adopt new and innovative strategies, a commitment towards quality and finally accepting the need to listen patiently and communicate effectively”.

1.5. Powers and Duties of the Vice-Chancellor :

The Vice-Chancellor as the Chief Executive and Academic Head of the university should have his powers and duties commensurate with his status. They should include, among others, the following:

- (a) To ensure that the provisions of the Act, Statutes, Ordinances and Regulations are fully observed;
- (b) To delegate his powers for day – to – day work to the Pro-Vice-Chancellor(s), Deans, Heads of the Departments and other officers who should act on the basis of clear rules laid down in this regard;
- (c) To decide which issues require reference to and approval of the Executive Council and which issues should not normally be referred to the Executive Council;
- (d) To make appointments of Deans, Heads, Proctors, Dean of Students Welfare, Provosts and Wardens and others and to decide which issues (like the appointment of the Pro-Vice-Chancellor (or Rector) and Dean of Colleges and equivalent officers) may be made by the Executive Council on his recommendation;
- (e) To exercise the power to not act upon any decision of any authority, if she/he is of the opinion that it is ultravires of the provisions of the Act or Statutes or Ordinances

or that such a decision is not in the best interests of the university. In both cases he could ask the authority concerned to review the decision and if the differences persist, the matter may be referred to the Visitor whose decision should be final;

- (f) To be empowered, as the Chairman of the authorities/bodies/committees of the university, to suspend a member from the meeting of such authority, body or committee for persisting to obstruct or stall the proceedings or for indulging in behavior unbecoming of a member;
- (g) To be vested with all the disciplinary powers in regard to students and employees, including the powers to suspend an employee and initiate disciplinary action against him/her. However, the Vice-Chancellor could delegate these powers to other officers. In case of suspending/ taking disciplinary action against a faculty member, his/her action will need ratification from the Executive Council;
- (h) To be responsible for holding and conducting the university examinations properly at the scheduled time and for ensuring that results of such examinations are published expeditiously and that academic sessions of the university are started and ended on proper dates;
- (i) In an emergent situation, to take any action on behalf of any authority in which the power is vested, even without obtaining its prior approval, and to report the action taken in the next meeting of the authority;
- (j) To allocate responsibilities and to audit the performance of officers, faculty members, staff and students against the prescribed standards;
- (k) To manage people (including students and academic staff), in a manner whereby there is a positive impact on society at large and the actions are in accordance with the overall plans of university development;
- (l) To exercise all administrative and financial powers as defined in Statutes/Ordinances.

1.6. Qualifications of Vice-Chancellors: The Current Guidelines

Despite more than a century and half of the existence of universities in India there were no specific norms laid down for the qualifications of Vice-Chancellors till 2010. The attributes of a good Vice-Chancellor articulated by the eminent commissions were left to the discretionary interpretation of the government. As long as the governments chose to follow principles of high ethics, this worked well. It broke down the moment society witnessed accelerating corruption in all walks of life and the universities could not escape this phenomenon. Realizing this lacuna the UGC constituted a committee under Prof.S.P.Thyagarajan, former Vice-Chancellor of Madras University to draft the minimum qualifications of various university positions including the Vice-Chancellor. The recommendations were approved by the UGC and became Regulations (UGC, 2010).

Clause 7.3.0 of the UGC Regulations 2010 mandated that *“Persons of the highest level of competence, integrity, morals, and institutional commitment are to be appointed as Vice-Chancellors. The Vice-Chancellor to be appointed should be distinguished academician, with a minimum of ten years of experience as Professor in a university system or ten years of experience in an equivalent position in a reputed research and/or academic administrative organization”*.

It also provided that Vice-Chancellors must be selected through proper identification of a panel of three to five names by a search committee through a public notification or a talent search process or in a combination.

“The members of the search committee shall be persons of eminence in the sphere of higher education and shall not be connected in any manner with the university concerned or its colleges. While preparing the panel, the search committee must give proper weightage to academic excellence, exposure to the higher education system in the country and abroad, and adequate experience in academic and administrative governance

to be given in writing along with the panel to be submitted to the Visitor/Chancellor,” the clause added.

Clause 7.3 of the UGC Regulations, 2018 states,

- i. A person possessing the highest level of competence, integrity, morals and institutional commitment is to be appointed as Vice-Chancellor. The person to be appointed as a Vice-Chancellor should be a distinguished academician, with a minimum of ten years’ of experience as Professor in a university or ten years’ of experience in a reputed research and / or academic administrative organisation with proof of having demonstrated academic leadership.
- ii. The selection for the post of Vice-Chancellor should be through proper identification by a Panel of 3-5 persons by a Search-cum-Selection Committee, through a public notification or nomination or a talent search process or a combination thereof. The members of such Search-cum-Selection Committee shall be persons of eminence in the sphere of higher education and shall not be connected in any manner with the university concerned or its colleges. While preparing the panel, the Search-cum-Selection Committee shall give proper weightage to the academic excellence, exposure to the higher education system in the country and abroad, and adequate experience in academic and administrative governance, to be given in writing along with the panel to be submitted to the Visitor/Chancellor. One member of the Search-cum-Selection Committee shall be nominated by the Chairman, University Grants Commission, for selection of Vice-Chancellors of State, Private and Deemed to be Universities.
- iii. The Visitor/Chancellor shall appoint the Vice-Chancellor out of the Panel of names recommended by the Search-cum-Selection Committee.

- iv. The term of office of the Vice-Chancellor shall form part of the service period of the incumbent making him/her eligible for all service related benefits.

1.7. The usual functions of a Vice-Chancellor as per current practice are:

- (a) to act as the principal academic and administrative head of the university;
- (b) to chair the statutory bodies of the university such as Governing Council / Syndicate / Board of Management / Academic Council / Finance Committee, and others.
- (c) to carry out the ceremonial duties/functions of the university like convocation in the absence of the Chancellor and
- (d) to look after and oversee the day to day activities of the university.

But the distinctive functions of a good Vice-Chancellor are:

- (a) to provide leadership for efficient academic and administrative functioning of the university as per the principles of 'Total Quality Management';
- (b) to represent the vibrant face of the university externally, both within the country and overseas and bench mark the university against top universities in the world;
- (c) to continuously secure financial base to facilitate achieving the university's mission, aims and objectives;
- (d) to strive for triggering innovation in higher education by nurturing an ecosystem for creation of breakthroughs, promotion of value system and connecting students and teachers with the society and country.

CHAPTER II

ATTRIBUTES OF A 21ST CENTURY VICE-CHANCELLOR OF AN INTERNATIONALISED UNIVERSITY

2.1. Attributes of a performing Vice-Chancellor

The Vice-Chancellor has to evolve as a symphony of orchestra with at least four attributes:

2.2. Firstly, preparedness for the structural challenge:

Since listening and learning are important as universities have their rhythms and the external environment has its own tempo, the Vice-Chancellor has to start by elaborating major themes that will be developed by him/her. The principal themes should be few, clear and amenable to development. The complexity of university leadership lies in complex orchestration, since the Vice-Chancellor has multiple audiences who need to understand the proposed central themes of development. Hence, they are to be repeated sensibly to sensitize these audiences.

2.3. Secondly, the development stage:

The world is ever changing and the projected themes like student experience, research challenges, relating to wider political culture and economic imperatives shaping societies

through higher education, need to evolve. This stage is needed to turn fragments into great building blocks. The university leadership needs to develop the strategy to show how fragments can be brought together, how one can triumph against adversity, and how dissonance can give way to harmony.

2.3.1. Devising a strategy for implementation:

Implementation is partly a matter of “the daily grind of management” – getting appropriate performance out of individuals, finding the blocks to action and working around, through, or over them. But it is also a matter of understanding how the institution works through the organizational psychology and politics.

2.3.2. Developing a clear action plan to implement the strategy:

It is important to understand the factors impacting the desired behaviour and devise appropriate incentives and disincentives. It is to realize that success ultimately depends on the ability to get voluntary commitment rather than forced obedience of the university community. Commitment is ensured if every individual in the system feels that he/she is also its originator and owner, and so it is his/her interests which are purported to be promoted, thus ensuring that the outcome of all activities in the Institution is not only understood by everyone, but also accepted as one’s own.

2.3.3. Recruitment is a key to making strategies work to get right people in the right place

Recruitment needs to be taken very seriously and time spent on recruitment and mentoring is time well spent. It does not just mean putting in the time on appointment panels; it means thinking through, what one needs to do to attract and retain the right teachers. One should not assume that it is difficult to

get the best teachers, but think what may attract them to one's institution.

2.3.4. Restructuring not advisable, unless it is absolutely essential

Many heads of institutions seem to think of restructuring as soon as they assume charge. Institutional knowledge can get lost in well-intentioned but poorly carried out restructuring. Unless the structure is really appalling, it should be left as it is, and getting it to work should be the priority.

2.4. Thirdly, university governance, whether collegial and/or corporate?

Powar (2001) recognized four types of governance culture in universities:

- (a) **The Corporate Culture** where the emphasis is on the leadership provided by the senior management, top-down planning and monitoring through performance indicators;
- (b) **The Enterprise Culture** where there is a strong quality framework but considerable freedom for the individual to interact with external agencies and where results are expected;
- (c) **The Bureaucratic Culture** where there is a dominance of administration and committees; emphasis is on rules and precedent and also a desire for uniformity and stability;
- (d) **The Collegial Culture** where there is respect for the individual's autonomy, freedom of expression, considerable devolution of authority, the dominance of academic committees and a tendency to be loose regarding procedures.

A new Vice-Chancellor's early challenge is to strike an appropriate balance between the sector's different but intertwined models of organization: the collegial and the

corporate. The primary task of the university is to create an environment in which academics, and thereby other members of the community, can thrive, on the assumption that what is in the best interest of an academic is in the best interest of the university. The popularity of the organizational form of the university rests on its clarity, efficiency, speed of response and ability to effect change.

The balance between these two organizational models viz., collegial and corporate, varies markedly between universities. As a rule of thumb, ancient universities tend to be more collegial and new universities more corporate. Whatever the university, members of its council/board and professional services will tend to see the Vice-Chancellor, and her or his leadership team, as rather collegial, whereas to many academic colleagues, they will look rather corporate. To add to the complexity, the situation is not static and universities tend to be more corporate at times of rapid change, such as we are seeing today.

Keeping these organizational forms in operational balance is a continuing challenge. An extremely corporate university simply would not provide an environment in which academic staff and students could flourish intellectually, while an extremely collegial university would be slow, unresponsive, and inefficient. Inevitably, as we often see in the pages of *Times Higher Education*, those in more corporate areas of activity wonder why the Vice-Chancellor cannot make their university even more efficient, fast or coordinated, while those in more collegial areas wonder why the Vice-Chancellor cannot make their university even more democratic.

But the coexistence of these two very different and apparently contradictory models is a good attribute. It lies at the very heart of a university's wonderfully quirky culture and makes the job of Vice-Chancellor probably the best in the world.

2.5. Fourthly, developing teams and team work, building partnerships and collaborations:

Collegiality, friendship and intellectual engagement are as critical to being an effective Vice-Chancellor as having acquired the art of management of the university. No matter for what skills a Vice-Chancellor is appointed, the main quality needed is the ability to build strong teams and good working relationship to assist the Vice-Chancellor.

Universities also depend so much on their work regionally, nationally and internationally, and that investing time in the key people relevant to this work shall pay rich dividends. Collaborative ventures established on this foundation are more likely to lead to long lasting partnerships that can outlive changes of fortune or people.

2.6. Key principles that are to be articulated by a Vice-Chancellor

2.6.1. Engaging with policy:

- a) Stable and constructive **dialogue** between government, universities and research funders is required to anticipate policy change and build confidence.
- b) Backing up of policy with **credible evidence**, even when it hurts and not to be afraid of evidence that takes one in a direction that one might not have expected.
- c) Academic scholars in **policy environments** should be alert to environmental, cultural and experiential challenges.
- d) Political environments are challenging to navigate, but the demand for **evidence - based policy making** is substantive and pressing.

- e) Funding bodies also need “**good stories**” and strong examples of results to inform the designers of their own programmes.

2.6.2. Institutional change

- a) Funders are interested in the **strategic focus** for long-term impact of research, though institutional change can be slow.
- b) University systems shape **research culture** amongst early career researchers and senior academics alike.
- c) **Researchers** as communicators specialize in **professional support** for research communication; both are important for high-quality research uptake.
- d) Research **relevance** is a function of identifying stakeholders early in the research design (whether stakeholders are local, national, governmental, private, academic or broadly public).
- e) **Ownership** for sustainability in the university context should be at the heart of research uptake strategy and methodology.

2.6.3. Sustainability

- a) **Strengthening the core:** given the valuable academic experience amongst universities, leaders should foster the continuation of a post-programme network to advance and share their academic uptake strategies and systems.
- b) **Reaching out:** University leaders can also commit their institutions to robust participation in national and regional forums and bodies, including the Association of

Indian universities and Vice-Chancellors' associations to drive the research/ academic uptake agenda more widely. Also, greater cooperation between these bodies will be important to promote the normalization of research/academic uptake as central to the overall research enterprise.

- c) **Building for the future:** Funding bodies should consider extending future support for research/ academic uptake capacity building, expanding the university-policy dialogue model and strengthening demand-side engagement.

2.6.4. Engagement

- a) **Academies of science and national research councils** are critical partners in promoting and incentivizing good practices in research uptake, as are national higher education commissions and bodies.
- b) University leaders, both individually and in concert, should focus on establishing **demand-side needs** amongst key stakeholders in policymaking, community and industrial settings.
- c) In establishing institutional research priorities, there is potential for universities to address existing and emerging **development demands**, which can be captured through research needs-assessment tools for policy makers.
- d) National and regional **research uptake symposia between universities and ministries of government** should be expanded and sustained. Universities should be prepared to make resources available to support such events.

2.6.5 Operationalization

- a) **Utilize research uptake trained staff** to both produce support materials and also to train new, incoming staff in research uptake.
- b) Put in place **dedicated budgets to support research uptake** management development – something that Vice-Chancellors are well placed to establish.
- c) Consider **research uptake performance** as criterion for promotion and reward – and create a replicable model that can work well.
- d) Train researchers and research officers in **policy entrepreneurship**.
- e) **Take advantage of tools and best practices** that partner universities have developed over the life of the programme (including action plan templates, stakeholder maps, handbooks, guidelines and training).

2.6.6 Research culture

- a) Research uptake should be incorporated into **internal research funding criteria**, helping to ensure research projects.
- b) Researchers should be encouraged to engage with potential external stakeholders and communities of demand **early in the research design**.
- c) Performance management for research and professional staff can formally **recognize efforts at research uptake**.
- d) Existing mechanisms (and national policy levers) can be used to **recognize and reward impactful research**.

2.7. International Practices in Good Governance

The diverse nature of institutions is evident throughout the world. Visionary institutional leaders provide effective and efficient management, and nurture continuous innovation and opportunity. Effective **governing bodies** ensure that basic systems are in place to create the positive environment needed for achievement, for supporting institutions as they establish and enhance their position regionally, nationally, and internationally appropriate to their mission and objective. Internationally, the benefits of **good governance** are reflected in high achieving institutions that demonstrate:

- a) Integrity in appointments at all levels, both external and internal;
- b) Strong leadership and management skills in all of the places where they are needed;
- c) Processes in place for monitoring the quality of teaching and learning and, within institutions, for improving that quality with appropriate student involvement;
- d) Processes in place to deliver improvements in research quality (assuming that there is significant research activity);
- e) Lean and competent administration;
- f) Robust and transparent financial systems, not least on procurement, together with strong internal and external audit;
- g) Effective and transparent mechanisms to determine remuneration at all levels;
- h) Strong human resources process, for appraisal, development and dealing with poor performance;
- i) Effective student support arrangements;
- j) Student participation in management and governance at all levels.

2.8. Good Practices

All educational establishments, whether publicly or privately established, contribute to public good. Individual members and governing bodies themselves should, at all times, conduct themselves in accordance with the standards of behaviour that the public rightfully expects: selflessness, honesty, integrity, objectivity, accountability, openness and leadership.

Governing bodies and Vice-Chancellors must exercise their responsibilities in the interests of the institution as a whole, rather than as representatives of any constituency, company, or organization. Institutions should maintain and publicly disclose a register of interests of members of its governing body.

The proceedings of governing bodies should be conducted in as open a manner as possible and information and papers should be restricted only when the wider interest of the institution or the public interest demands, including the observance of contractual obligations.

Good practice requires that a member of a governing body who has a pecuniary, family or other personal interest in any matter under discussion at any meeting of the governing body or any of its committees at which he/she is present shall, as soon as practicable, disclose the fact of his/her interest to the meeting and withdraw from that part of the meeting.

Governing bodies must meet sufficiently regularly in order to discharge their duties effectively. Members of the governing bodies must attend regularly and actively participate.

2.9. Primary responsibilities of institutional governing bodies

The primary responsibilities of institutional governing bodies are:

- a) To approve the mission and strategic vision of the institution, long-term business plans and annual

- budgets, ensuring that these meet the interests of the stakeholders;
- b) To put in place suitable arrangements for monitoring the institution's performance, including that of the Head of the institution;
 - c) To ensure the establishment and monitoring of proper, effective and efficient systems of control and accountability (including financial and operational controls and risk assessment, clear procedures for handling internal grievances and for managing conflicts of interest.);
 - d) To monitor institutional performance arrangements, which should be, where possible and appropriate, benchmarked against other institutions nationally and internationally (including any concerns for accreditation and alignment with international quality assurance systems).

The annual report on institutional performance should be published widely. It should include identification of key individuals and a broad summary of the responsibilities and obligations that the governing body delegates to management, or those which are derived directly from the instruments of governance.

There should be a balance of skills, experience and competence among governors – sufficient to enable a governing body to meet its primary responsibilities and to ensure stakeholder confidence. Normally, governing bodies have a majority of independent members, defined as both external to, and independent of the institution. All institutions, especially the autonomous institutions, should be free from direct political interference in order to ensure academic freedom.

2.10. Principles of Transparency

The general principle is that the students and staff of the institution should have appropriate access to information

about the proceedings of its governing body. Agendas, draft minutes if cleared by the chair, and the signed minutes of governing body meetings, together with the papers considered at the meetings, should generally be available for inspection by the staff and students. There may, however, be matters covered in standing orders where it is necessary to observe confidentiality. Such matters are likely to concern individuals or have commercial sensitivity. Good practices for all institutions might include placing copies of the governing body's minutes on the institution's intranet and in its library, reporting on decisions in a newsletter, and ensuring that the annual report and accounts are circulated to academic departments or any student representative.

The institution's annual report and audited financial statements should be made widely available outside the institution, and ways should be found for the public, or the local community, to comment on institutional matters that concern them. Institutions should ensure that an appropriate machinery exists by which they can maintain a dialogue with appropriate organizations in their communities. Institutions should also consider publishing their annual reports on the Internet.

2.11. Review of effectiveness

In reviewing its performance, a governing body should reflect on the performance of the institution as a whole in meeting its long-term strategic objectives and short-term indicators of performance/success. Governing bodies should, wherever possible, benchmark institutional performance against indicators of performance of other comparable institutions in India or abroad. The results of reviews of effectiveness, as well as of an institution's annual performance against clearly identified performance indicators should be published widely, including on the websites and in the institution's annual report.

CHAPTER III

CODE OF PROFESSIONAL ETHICS AND GUIDELINES ON SAFETY OF STUDENTS ON AND OFF CAMPUSES OF HIGHER EDUCATIONAL INSTITUTIONS

3.0 Code of Professional Ethics

3.1 Teachers and their Responsibilities :

Whoever adopts teaching as a profession assumes the obligation to conduct himself / herself in accordance with the ideal of the profession. A teacher is constantly under the scrutiny of his students and the society at large. Therefore, every teacher should see that there is no incompatibility between his precepts and practice. The national ideals of education which have already been set forth and which he/she should seek to inculcate among students must be his/her own ideals. The profession further requires that the teacher should be calm, patient and communicative by temperament and amiable in disposition.

Teacher should:

- (i) Adhere to a responsible pattern of conduct and demeanor expected of him/her by the community;
- (ii) Manage his/her private affairs in a manner consistent with the dignity of the profession;

- (iii) Seek to make professional growth continuous through study and research;
- (iv) Express free and frank opinion by participation at professional meetings, seminars, conferences etc., towards the contribution of knowledge;
- (v) Maintain active membership of professional organisations and strive to improve education and profession through them;
- (vi) Perform his/her duties in the form of teaching, tutorials, practicals, seminars and research work, conscientiously and with dedication;
- (vii) Discourage and not indulge in plagiarism and other non ethical behaviour in teaching and research;
- (viii) Abide by the Act, Statute and Ordinance of the university and respect its ideals, vision, mission, cultural practices and tradition;
- (ix) Co-operate and assist in carrying out the functions relating to the educational responsibilities of the college and the university, such as: assisting in appraising applications for admission, advising and counselling students as well as assisting the conduct of university and college examinations, including supervision, invigilation and evaluation; and
- (x) Participate in extension, co-curricular and extra-curricular activities, including the community service.

3.2 Teachers and Students

Teachers should:

- (i) Respect the rights and dignity of the students in expressing their opinion;

- (ii) Deal justly and impartially with students regardless of their religion, caste, gender, political, economic, social and physical characteristics;
- (iii) Recognise the difference in aptitude and capabilities among students and strive to meet their individual needs;
- (iv) Encourage students to improve their attainments, develop their personalities and at the same time contribute to community welfare;
- (v) Inculcate among students scientific temper, spirit of inquiry and ideals of democracy, patriotism, social justice, environmental protection and peace;
- (vi) Treat the students with dignity and not behave in a vindictive manner towards any of them for any reason;
- (vii) Pay attention to only the attainment of the students in the assessment of merit;
- (viii) Make themselves available to the students even beyond their class hours and help and guide students without any remuneration or reward;
- (ix) Aid students to develop an understanding of our national heritage and national goals; and
- (x) Refrain from inciting students against other students, colleagues or administration.

3.3 Teachers and Colleagues

Teachers should:

- (i) Treat other members of the profession in the same manner as they themselves wish to be treated;
- (ii) Speak respectfully of other teachers and render assistance for professional betterment;
- (iii) Refrain from making unsubstantiated allegations against colleagues to higher authorities; and
- (iv) Refrain from allowing considerations of caste, creed, religion, race or sex in their professional endeavour.

3.4 Teachers and Authorities :

Teachers should:

- (i) Discharge their professional responsibilities according to the existing rules and adhere to procedures and methods consistent with their profession in initiating steps through their own institutional bodies and / or professional organisations for change of any such rule detrimental to the professional interest;
- (ii) Refrain from undertaking any other employment and commitment, including private tuitions and coaching classes which are likely to interfere with their professional responsibilities;
- (iii) Co-operate in the formulation of policies of the institution by accepting various offices and discharge responsibilities which such offices may demand;
- (iv) Co-operate through their organisations in the formulation of policies of the other institutions and accept offices;
- (v) Co-operate with the authorities for the betterment of the institutions keeping in view the interest and in conformity with the dignity of the profession;

- (vi) Adhere to the terms of contract;
- (vii) Give and expect due notice before a change of position takes place; and
- (viii) Refrain from availing themselves of leave except on unavoidable grounds and as far as practicable with prior intimation, keeping in view their particular responsibility for completion of academic schedule.

3.5 Teachers and Non-Teaching Staff :

Teachers should :

- (i) Treat the non-teaching staff as colleagues and equal partners in a cooperative undertaking, within every educational institution;
- (ii) Help in the functioning of joint-staff councils covering both the teachers and the non-teaching staff

3.6. Teachers and Guardians

Teachers should:

- (i) Try to see through teachers' bodies and organisations that institutions maintain contact with the guardians, their students, send reports of their performance to the guardians whenever necessary and meet the guardians in meetings convened for the purpose for mutual exchange of ideas and for the benefit of the institution.

3.7. Teachers and Society

Teachers should:

- (i) Recognise that education is a public service and strive to keep the public informed of the educational programmes which are being provided;

- (ii) Work to improve education in the community and strengthen the community's moral and intellectual life ;
- (iii) Be aware of social problems and take part in such activities as would be conducive to the progress of society and hence, the country as a whole;
- (iv) Perform the duties of citizenship, participate in community activities and shoulder responsibilities of public offices;
- (v) Refrain from taking part in or subscribing to or assisting in any way activities which tend to promote feeling of hatred or enmity among different communities, religions or linguistic groups but actively work for national integration.

3.8. The Vice-Chancellor/Pro-Vice-Chancellor/Rector

The Vice-Chancellor/Pro-Vice-Chancellor/Rector should :

- (a) Provide inspirational and motivational value-based academic and executive leadership to the university through policy formation, operational management, optimization of human resources and concern for environment and sustainability;
- (b) Conduct himself/herself with transparency, fairness, honesty, highest degree of ethics and decision making that is in the best interest of the university;
- (c) Act as steward of the university's assets in managing the resources responsibly, optimally, effectively and efficiently for providing a conducive working and learning environment;
- (d) Promote the collaborative, shared and consultative work culture in the university, paving way for innovative thinking and ideas;

- (e) Endeavour to promote a work culture and ethics that brings about quality, professionalism, satisfaction and service to the nation and society.
- (f) Refrain from allowing considerations of caste, creed, religion, race, gender or sex in their professional endeavour.

3.9. College Principal should;

- (a) Provide inspirational and motivational value-based academic and executive leadership to the college through policy formation, operational management, optimization of human resources and concern for environment and sustainability;
- (b) Conduct himself/herself with transparency, fairness, honesty, highest degree of ethics and decision making that is in the best interest of the college;
- (c) Act as steward of the College's assets in managing the resources responsibly, optimally, effectively and efficiently for providing a conducive working and learning environment;
- (d) Promote the collaborative, shared and consultative work culture in the college, paving way for innovative thinking and ideas;
- (e) Endeavour to promote a work culture and ethics that brings about quality, professionalism, satisfaction and service to the nation and society.
- (f) Adhere to a responsible pattern of conduct and demeanor expected of him/her by the community;
- (g) Manage his/her private affairs in a manner consistent with the dignity of the profession;

- (h) Discourage and not indulge in plagiarism and other non ethical behaviour in teaching and research;
- (i) Participate in extension, co-curricular and extra-curricular activities, including the community service.
- (j) Refrain from allowing considerations of caste, creed, religion, race, gender or sex in their professional endeavour.

3.10. Director Physical Education and Sports (University/ College)/ Librarian (University/College) should;

- (a) Adhere to a responsible pattern of conduct and demeanor expected of him/her by the community;
- (b) Manage his/her private affairs in a manner consistent with the dignity of the profession;
- (c) Discourage and not indulge in plagiarism and other non ethical behaviour in teaching and research;
- (d) Participate in extension, co-curricular and extra-curricular activities, including the community service.
- (e) Refrain from allowing considerations of caste, creed, religion, race, gender or sex in their professional endeavour.

3.0.1. UGC Guidelines on Safety of Students on and off Campuses of Higher Educational Institutions

3.0.1. Preamble

University Grants Commission believes that a safe, secure and cohesive learning climate is an ineluctable precondition to quality education and research in HEIs. It should be the prime concern of educational administrators across the country to ensure that students are safeguarded against attacks, threats and accidents, both man-made and natural. With this in mind, the Commission has formulated guidelines on the ways in which the campuses of HEIs can be transformed into oasis of safety, security and study. All universities may make or amend their ordinances and other relevant statutory provisions accordingly to ensure that the directions contained in the guidelines are implemented in the best interests of students.

3.0.2. Safety of Students on Campus:

HEIs can play a significant role in ensuring the safety of the students by putting in place foolproof mechanisms and impregnable standards of safety. The key lies in institutionalizing the best practices and standard operating procedures that can substantively protect students from any threats and assaults, physical, social or psychological. Given below are some of the concerns that should be materialized by HEIs in the interest of students and institution.

- Any physical infrastructure housing students, whether HEI or hostels, should be secured by a boundary wall of such height that it cannot be scaled over easily. In order to further fortify it, a fence of spiraling barbed wires can be surmounted on the wall so that unauthorized access to the infrastructure is prevented effectively. The entry points to such housing units should be restricted to three or less and they should be manned by at least

three security guards, sufficiently armed, CC TV cameras, identity verification mechanism and register of unknown entrants/visitors with their identity proofs and contact details. At least one woman security personnel should be deployed at such entry points so that physical security check of girl students or visitor can be undertaken. The bags and other belongings of students/visitors can also be examined, manually and/or by metal detectors, in order to secure a weapon-free and violence-free campus.

- Biometric way of marking student attendance, both in HEI as well as hostels, can be an effective way to overcome proxy. Such digital mechanism can enable HEIs to keep an eye on a student's movement and whereabouts in failsafe manner.
- Students and staff should be provided easily identifiable and authentic ID cards and wearing of such cards in the institutional premises must be made compulsory by administration.
- HEIs should flash at frequently visited junctions like canteen and notice boards, helpline numbers against ragging, sexual harassment, accidents, calamities and so on developed by UGC, State Govts. or HEIs so that students can record and use them as and when required. It is mandatory for all HEIs to abide by and implement all the provisions contained in UGC (Curbing the Menace of Ragging in Higher educational Institutions) Regulations, 2009.
- In order to ensure that campus community receives timely, accurate, and useful information in the event of a significant emergency or dangerous situation on campus or in the local area that poses an immediate threat to the health and safety of campus community members, HEIs can install the emergency notification

system through which emergency message can be sent via email, telephone, cell phone and text messaging within minutes of the occurrence of an incident. The system developed by University of California, Berkley called WarnMe is a very good model to follow. The emergency information system can be supplemented by evacuation procedure to be followed in crisis condition so that stampede-like situations can be avoided. HEIs should take all necessary steps to ensure that these systems are adequately tested and publicized for efficacious execution.

- Student community of the HEIs can be encouraged to form a group of Community Service Officers (CSOs) to provide on demand short-duration escort services, on rotation basis to students as they walk down to hostel or nearest taxi or bus-stand etc.. This is suggested in view of the fact that classes, study, research requirements, meetings and concerts can keep students on campus late at night. To handle these situations, HEIs may also provide Night Safety Shuttle facility, to such students, for door-to-door pick and drop service
- All HEIs should ensure that provisions contained in UGC (Promotion of Equity in Higher Education Institutions) Regulations, 2012 are observed by teaching & non-teaching staff, students and other stakeholders in letter and spirit. Discrimination, verbal or behavioral, based on the caste, religion, colour, nationality sex, gender, sexual orientation and social status is strictly prohibited and HEIs must do all it takes to ensure that such practices are nipped in the bud.
- HEIs should mandatorily put in place a broad-based “Students Counseling System” for the effective management of problems and challenges faced by students. It should be a unique, interactive and target-

oriented system, involving students, teachers and parents, resolved to address common student concerns ranging from anxiety, stress, fear of change and failure to homesickness and a slew of academic worries. It should bridge the formal as well as communicative gaps between the students and the institution at large. Teacher counselors, trained to act as the guardians of students at the college level, should remain in close touch with the students allotted to them (batch of 25 students) though out the year, cater to their emotional and intellectual needs and convey their growth report and feedback on attendance, examination results etc to their parents at regular interval of time. Teacher counselors can coordinate with wardens of hostels and exchange personal details of students, academic record and behavior patterns for prompt pre-emptive or corrective action.

- HEIs should organize quarterly parents-teachers meet (PTM) so that grievances and gaps in system can be addressed and resolved. Online complaint registration system can also be launched so that issues can be addressed before they slip out of hands of authorities.
- On-campus medical facilities should be made available to student and at least one ambulance can be kept in ready mode for attending emergency and crisis situations.
- HEIs should install a fire safety system under which mechanisms for the detection of a fire, the warning resulting from a fire and standard operating procedures for the control of fire are evolved. This may include sprinkler systems or other fire extinguishing systems, fire detection devices, stand-alone smoke alarms, devices that alert one to the presence of a fire, smokecontrol and reduction mechanisms and fire doors & walls that reduce the spread of a fire. Students and staff should be trained

in the effective operation of firefighting devices. Mock drills for fire situation should be undertaken at least once in a semester.

- UGC has written to HEIs time and again about the introduction of a compulsory course on Disaster Management for all students. HEIs should see to it that this initiative doesn't end up in an academic ritual. In order to give students firsthand experience of tackling situations of disaster, HEIs should organize mock drills, workshops and awareness programmes frequently.
- Talks by officials of police and public administration departments and informative audio-video lectures should be arranged at least once in a semester covering issues related to the safety of personal belongings, vehicles, personal information, ATM, special event safety, defensive sprays and so on.
- Self-defense training for women studying and working on campus through tie-ups with training institutions / NGOs should be made a mandatory component of extra-curricular activities undertaken in HEIs. Physical defense training can follow instructions on rape aggression defense model that focuses on strategies like awareness, risk reduction and risk avoidance and hands-on self-defense techniques.
- In the face of the increasing cases of sexual harassment and violence against women, it is incumbent upon HEIs to institute a thoroughgoing support and education mechanism. HEIs can organized preventions programs in collaboration with student groups to:
 - Educate the campus community about sexual violence in the context of a university setting and engage people in a commitment to get involved when they observe risky situations.

- Confront the oppressive stereotypes that are the basis for the disrespect that leads to interpersonal violence.
 - Talk about healthy relationships and healthy sexuality, emphasizing the importance of communication and respecting personal boundaries
 - Coordinate campus-wide awareness efforts, such as town hall meetings, lectures, and other open spaces for dialogue on sexual violence
- In case of food outlets, canteens and messes, HEIs should ensure that standards of quality and hygiene are strictly observed and the food on offer is certified through hygiene test report by expert doctor for foods, water and cleanings. This would be a strong and effective bulwark against food poisoning and spread of food and water born diseases.
 - All universities shall prepare an exhaustive Code of Conduct for students enrolled in departments or affiliated colleges and display it on institutional websites for compliance. A reference to such document must invariably be made in prospectus of HEIs where the student is enrolled.

3.0.3. Safety of Students while they are on Excursion/ Tours/ Academic trips etc.

- HEI should make sure that expedition activities are undertaken under the guidance and supervision of at least two trained teachers, of whom one is a lady teacher. The number of students who can collectively embark on such expedition can be adjusted in accordance with the multiple factors like duration of the journey, the weather conditions, type of the route and manageability. In case number of students exceeds fifty, a qualified doctor with adequate supplies of medicines should be included in the entourage.

- Institutions should work out the itinerary and travel plan well in advance and circulate them amongst the parents/guardians of the students who are setting out on journey. Any representation or suggestions made by parents in these regards can be taken into consideration in the interest of the successful and safe organization of expedition.
- It is mandatory for institutions to elicit consent letters from the parents/guardians of the students who are embarking on tour. Further, no excursion/ tours shall be undertaken without such insurance as would indemnify students against the various emergencies and risks.
- Before proceeding on tour all the students should be properly briefed by the way of “training session” about the geography, climate, hazardous locations and risk zones existing in the proposed destination, codes on environmental protection, emergency procedures and basic first aid. Teachers should further remind the participants of the importance of safety precautions, team spirit and discipline.
- The institutions should ensure that each student is medically fit to be a part of the excursion tour.
- If the expedition involves camping, only such sites should be selected as are designated for the purpose by various government agencies concerned. Further, the site should be free from hazards such as flooding, dangerous slopes, falling rocks and dead trees etc.
- Prior permission should be obtained if tents etc are to be put up on private land. Tents should be erected sufficiently apart to prevent rapid spread of fire in the campsite.
- Students should be allowed to carry personal communication devices such as mobile phones and

should be instructed to remain in constant touch with their parents / guardians. This would also facilitate casualty handling and communication in the event of an emergency.

CHAPTER IV

STATUTORY/REGULATORY COUNCILS/BODIES AND THEIR ACTS/STATUTES/ORDINANCES/ REGULATIONS

4.1. Sharing of responsibilities between the Union and the State Governments

Entry 66 of Indian Constitution which deals with co-ordination and determination of standards in institutions of higher education and/or research and scientific and technical institutions fall under the union list. It gives authority to the union government to enact legislations on the coordination and maintenance of standards in higher education and regulate them. The creation of the University Grants Commission by an Act is based on the entry 66 of the constitution.

Education in India is in the concurrent list of Indian Constitution. Concurrence implies that there will be meaningful partnership between the Union/Federal government and the State/Provincial governments in promoting education. Before the 42nd amendment of Indian Constitution which was incorporated in 1976, education was a State/Provincial subject and the Union government had limited role in the expansion and promotion of education.

4.2. Nodal Ministries and their Role and Responsibilities

Recognizing education as the essence of Human Resource Development which plays a significant and remedial role

in balancing the socio - economic fabric of the country and considering that the citizens are its most valuable resources which need the nurture and care in the form of basic education to achieve a better quality of life, the Ministry of Human Resource Development (MHRD) was created on September 26, 1985, through the 174th amendment to the Government of India. The MHRD is bestowed with following main objectives :

- a) Formulating the National Policy on Education and to ensure that it is implemented in letter and spirit
- b) Planned development, including expanding access and improving quality of the educational institutions throughout the country, including in the regions where people do not have easy access to education
- c) Paying special attention to disadvantaged groups like weaker sections, females and the minorities
- d) Provide financial help in the form of scholarships, loan subsidy and others, to deserving students from deprived sections of the society
- e) Encouraging international cooperation in the field of education, including working closely with the UNESCO and foreign governments as well as universities, to enhance the educational opportunities in the country.

Similarly, at the provincial/state level, there are two departments responsible for education which are controlled and supervised by two Ministers, one each for School Education and Literacy and the other for Higher Education.

Currently, the MHRD works through two departments, i.e. (a) Department of School Education and Literacy; and (b) Department of Higher Education. Department of Higher Education is responsible for the overall development of the basic infrastructure of higher education sector, both in terms of policy and planning. Under a planned development process, the Department looks after expansion of access and qualitative improvement in the higher education, through world class universities, Colleges, and other institutions. The Department

is also engaged in bringing world class opportunities of higher education and research to the country.

Ministry of HRD is supervised and controlled by the Minister of Human Resource Development assisted by two Ministers of State. Each department is headed by a Secretary to the Government of India who is assisted by an Additional Secretary. The Department is organized into Bureaus, Divisions, Branches, Desks, Sections and Units. Further, each Bureau is under the charge of Joint Secretary, assisted by Divisional Heads, Deputy Secretary and Director.

The major functions of the Department of Higher Education is formation of education policy, educational planning and research, determination of standards in higher education and research, implementation of education programs in the Union Territories, administration of different kinds of scholarships, book promotion, copyright protection, promotion of languages, international promotion and educational technology programs (Goel. A., and Goel S.L., 2005).

Central Advisory Board of Education (CABE) was established in 1920 as the highest advisory body to advise the Central and State Governments in matters relating to education. CABE plays a key role in advising the Government on formulation of policies.

Following the economy measure, it was dissolved in 1923. In view of its role as a forum for widespread consultation on issues in education and cultural development and having representation from almost all sections of the stakeholders, it was revived in 1935 and continued to function till 1994.

On the expiry of its extended tenure, though it was not dissolved, it was reconstituted. Further, realizing the role and importance of the Board in providing a broad based consultative input for policy formation, the National Policy of Education (NPE) in 1986 and its modified program in 1992 recommended revival of the Board and restoration of its functions. Following the recommendation, CABE was reconstituted in 2004. Since then, it continues to play an advisory role to both union and state governments on matters concerning education.

4.3. CABE Constitution and Functioning

CABE is chaired by the Minister for Human Resource Development and has the Minister of State for Human Resource Development as Vice Chairman. Representatives of government such as Minister of Information & Broadcasting, Minister of Welfare, Minister of State for Labour, Minister of State for Science & Technology, Minister of Health & Family Welfare, Minister of State for Youth Affairs and Sports, Member (Education), and other nominated members representing the elected members from the Lok Sabha and the Rajya Sabha, Education Ministers of each state, the representatives of the Government of India, State Governments and Union Territory (UT) Administrations, eminent experts from various disciplines, representatives of statutory councils and professional bodies (<http://www.teindia.nic.in/mhrd>) are its members.

The tenure of official members of the Board, other than the ex-officio members is three years and the Board holds its meeting at least once every year. The major functions of CABE are to review the progress of education from time to time; (b) to appraise the extent and manner in which the education policy has been implemented by the Central and State Governments and other concerned agencies and to give appropriate advice in the matter; (c) to advise regarding coordination between the Central and State Governments/UT administrations.

4.4. Statutory Councils/Regulatory Bodies and their Functions

Indian Higher Education system has always been criticized for being over regulated and under governed. This is because of the overlapping functions and jurisdictions of multiple agencies. It is also criticized as a rigid and obsolete system with a number of loose ends of rules and regulations along with dwindling leadership and over bureaucratic work culture. There are more than 15 regulatory councils with statutory powers regulating the education in their respective

areas. The overall coordination, maintenance of standards and development of higher education is looked after by the University Grants Commission.

4.4.1 University Grants Commission (UGC)

The University Grants Commission (UGC) established in 1956 by an Act of Parliament has the general duty to take, “in consultation with the universities or other bodies concerned, all such steps as it may think fit, for the promotion and coordination of university education and for the determination and maintenance of standards of teaching, examination, and research in universities”.

For the purpose of performing its functions UGC can inquire into the financial needs of universities and allocate and disburse grants to them for the development and/or maintenance of such universities or for any other general or specified purpose.

The functions of the UGC are to “advise the Central Government on problems and the maintenance of standards in universities and to take such executive action as may be necessary in that behalf; enquire into the financial needs of universities and to advise the Central Government on the allocation of funds for grants-in-aid to them; take all necessary executive action in the matter of deciding on the grants to the universities and in disbursing them out of funds placed at the disposal of the Commission; advise any authority, if such advice is asked for, on the establishment of new university or on proposal connected with the expansion of the activities of any existing university; advise the central Government or any university on any question which may be referred to the Commission by the Central Government or the university as the case may be; advise the Central Government or a State Government with regard to the recognition of any degree conferred or granted by a university; and undertake such other duties and functions

as may be incidental or conducive to the attainment of the above functions” (UGC Act, 1956).

With regards to colleges, UGC can recommend the minimum standards for possessing a qualification; determine the fees to be charged and differences in fees between universities, courses of study in different areas in consultation with the university to which such colleges are affiliated. If these recommendations are found to be violated, UGC can prohibit and terminate the college for admitting further students while safe-guarding the existing students.

4.4.1.1. Composition of the UGC

The Commission of UGC consists of Chairman, Vice Chairman, and 10 Members. Out of ten members, not more than three should be from amongst the Vice-Chancellors of the universities, two members from amongst the Officers of the Union Government to represent the Government, the remaining members are to be eminent educationists.

The administrative Structure is organized into the Chairman, Vice Chairman, Secretary, Additional Secretaries and Joint Secretaries with charge of different departments, Deputy Secretaries, Education Officers and Under Secretaries. The internal administration is looked after by the Director, Administration. UGC manages its functions with respect to colleges through six regional offices at Hyderabad, Bengaluru, Pune, Guwahati, Kolkata and Bhopal and one bureau located in Delhi.

The Central Government provides the funds to the UGC through appropriations made by the Parliament every year. The UGC has the power to carry out inspections to assure that the universities are utilizing the funds as prescribed and can also withhold grants in case of failure to comply with the recommendations by the UGC. UGC estimates the receipts and expenditures and prepares a budget for the following financial year. At the end of every financial year, it prepares annual reports of various activities undertaken by it, in consultation with the Comptroller and the Auditor - General.

4.4.2 All India Council for Technical Education (AICTE)

Established in 1945 as an advisory body, the All India Council for Technical Education was reconstituted and was given statutory status in 1987 through the AICTE Act 1987, an Act of Parliament. The functions of the AICTE are coordination of the development of technical education, promotion of qualitative improvement in relation to quantitative growth and maintenance of norms and standards in technical education in the country at all levels; evolve suitable performance appraisal systems for technical institutions and universities imparting technical education; incorporating norms and mechanisms for enforcing accountability; lay down norms and standards for courses, curricula, physical and instructional facilities; staff pattern and staff qualifications, quality instruction assessment and examinations; and grant approval for starting new technical education institutions together with introduction of new courses or programmes in consultation with the concerned agencies. The Council also provides funds to academic institutions for development. Along with its headquarters in New Delhi, the Council operates through seven regional offices located at Kolkata, Chennai, Kanpur, Mumbai, Chandigarh, Bhopal and Bangalore and 14 All India Boards of Studies (AIBS) to assist the Council in planning and coordinating the technical education system in the country. The Council has set up a National Board of Accreditation (NBA) under Clause 10(u) of the AICTE Act, to conduct periodic evaluation of technical programmes on the basis of prescribed guidelines, norms and standards. As per the AICTE Act, Engineering and Technology, Architecture, Town Planning, Management, Pharmacy, Arts and Crafts are under its jurisdiction. For ascertaining the financial needs of technical education institutions or a university or to evaluate its standard of teaching, examination, and research, the Council may cause an inspection of any department or departments of such technical education institution or university.

4.4.2.1. Composition of the AICTE

The AICTE comprises of eight departments called bureaus namely Administration, Academic, Engineering & Technology, Finance, Management & Technology, Planning and Coordination, Quality Assurance, Research and Institutional Development. The administrative structure of the Council is organized into the Chairman, Vice Chairman appointed by Central Government, Secretary to Government of India, Educational Adviser and Chairmen of its seven Regional Committees as ex officio members and few other members from various Ministries and Departments under the Central and State governments, statutory councils and autonomous bodies.

4.4.3 Distance Education Council (DEC)

The Distance Education Council (DEC) was constituted under statue 28 of section 25 of Indira Gandhi National Open University Act, 1985. It acted as a statutory authority responsible for the promotion and coordination of the open universities and distance education system and for determination of its norms and standards. In addition to its general function, it is empowered to recommend the pattern and nature of financial assistance to open universities and distance education institutions and conditions they are required to fulfill for receiving the financial assistance.

The Distance Education Council was dissolved in 2012 with the directions of the Ministry of Human Resource Development, Government of India and all its regulatory functions with regard to Distance Education programmes in higher education was vested with the UGC through a Bureau called Distance Education Bureau. The UGC has framed new regulations for Distance Education and UGC (Open and Distance Learning) Regulations in 2017.

4.4.4 Indian Council for Agriculture Research (ICAR)

The Indian Council of Agricultural Research (ICAR) is an autonomous organization, registered as a Society under the Department of Agricultural Research and Education (DARE), Ministry of Agriculture and Farmers' Welfare, Government of India. Formerly known as Imperial Council of Agricultural Research, it was established in 1929 under the Societies Registration Act, 1860 in pursuance of the report of the Royal Commission on Agriculture. The ICAR has its headquarters in New Delhi. The Council is the apex body for co-coordinating, guiding and managing research and education in agriculture including horticulture, sericulture, fisheries and animal sciences in the entire country. With 281 ICAR institutes and 52 agricultural universities spread across the country, this is one of the largest national agricultural systems in the world.

The mandate of ICAR is to plan, undertake, aid, promote and coordinate education, research and its application in agriculture, agroforestry, animal husbandry, fisheries, home science and allied sciences; act as a facilitator of research and general information relating to agriculture, animal husbandry, home science and allied sciences and fisheries through its publications and information system; institute and promote transfer of technology programmes; provide, undertake and promote consultancy services in the fields of education, research, training and dissemination of information in agriculture, agroforestry, animal husbandry, fisheries, home science and allied sciences; look into the problems relating to broader areas of rural development concerning agriculture, including post-harvest technology by developing co-operative programmes with other organizations such as the Indian Council of Social Science Research, Council of Scientific and Industrial Research, Bhabha Atomic Research Centre and the universities; and do other things considered necessary to attain the objectives of the Society.

The Union Minister of Agriculture is the ex-officio President of the ICAR Society. Secretary, Department of Agricultural Research & Education, Government of India and Director-General, ICAR is the Principal Executive Officer of the Council. The Governing Body is the chief executive and policy-making authority of the ICAR which is headed by the Director-General. The ICAR consists of eminent agricultural scientists, educationists, legislators and representatives of the farmers. It is assisted by the Finance Committee, Accreditation Board, Regional Committees, Policy and Planning Committee, several Scientific Panels and Publications Committee. In scientific matters, the Director-General is assisted by eight Deputy Director Generals (DDGs), one each for (i) Crop Sciences, (ii) Horticulture, (iii) Natural Resource Management, (iv) Agricultural Engineering (v) Animal Sciences, (vi) Fisheries, (vii) Agricultural Education, and (viii) Agricultural Extension. The DDGs are responsible for the Institutes, National Research Centres and the Projects Directorates belonging to their respective fields.

4.5. Medical Council of India Replaced by National Medical Commission

The Medical Council of India (MCI) was established in 1934 under the Indian Medical Council Act, 1933, with the main function of establishing uniform standards of higher qualifications in medicine and recognition of medical qualifications in India and abroad. The number of medical colleges had increased steadily during the years after independence. It was felt that the provisions of Indian Medical Council Act were not adequate to meet with the challenges posed by the very fast development and the progress of medical education in the country. As a result, in 1956, the old Act was repealed and a new one was enacted. This was further modified in 1964, 1993 and 2001.

Pursuant to the repealing of the MCI Act, Government of India has established a Board of Governors (BoG) to perform the duties of MCI as an interim arrangement till the National Medical Commission starts functioning.

The BoG consist of eleven experts as Members with a Chairman, 2 ex-officio members and 8 Members. The BOG has been vested with all statutory powers of MCI by Government of India.

4.5.1. The National Medical Commission Bill, 2019

As a reform package for Indian Medical Education and to replace the erstwhile MCI, The National Medical Commission Bill, 2019 was approved by the President of India after it was moved in both Lok Sabha and Rajya sabha followed by its promulgation as the National Medical Commission (NMC) ACT, 2019. It is to provide for a medical education system that improves access to quality and affordable medical education, ensures availability of adequate and high quality medical professionals in all parts of the country; that promotes equitable and universal healthcare that encourages community health perspective and makes services of medical professionals accessible to all the citizens; that promotes national health goals; that encourages medical professionals to adopt latest medical research in their work and to contribute to research; that has an objective periodic and transparent assessment of medical institutions and facilitates maintenance of a medical register for India and enforces high ethical standards in all aspects of medical services; that is flexible to adapt to changing needs and has an effective grievance redressal mechanism and for matters connected therewith or incidental thereto.

4.5.2. The salient features of the NMC:

- (1) The Central Government shall constitute a Commission, to be known as the National Medical

Commission, to exercise the powers conferred upon, and to perform the functions assigned to it, under this Act.

- (2) The Commission shall be a body corporate by the name aforesaid, having perpetual succession and a common seal, with power, subject to the provisions of this Act, to acquire, hold and dispose of property, both movable and immovable, and to contract, and shall, by the said name, sue or be sued.
- (3) The head office of the Commission shall be at New Delhi
- (4) The Commission shall consist of the following persons to be appointed by the Central Government, namely:—
 - (a) a Chairperson;
 - (b) ten ex officio Members; and
 - (c) fourteen part-time Members.
- (4.1) The Chairperson shall be a medical professional of outstanding ability, proven administrative capacity and integrity, possessing a postgraduate degree in any discipline of medical sciences from any university and having experience of not less than twenty years in the field of medical sciences, out of which at least ten years shall be as a leader in the area of medical education.
- (4.2) The following persons shall be the ex officio Members of the Commission, namely:—
 - (a) the President of the Under-Graduate Medical Education Board;
 - (b) the President of the Post-Graduate Medical Education Board;
 - (c) the President of the Medical Assessment and Rating Board;
 - (d) the President of the Ethics and Medical Registration Board;

- (e) the Director General of Health Services, New Delhi;
 - (f) the Director General, Indian Council of Medical Research;
 - (g) a Director of any of the All India Institutes of Medical Sciences, to be nominated by the Central Government;
 - (h) two persons from amongst the Directors of Post-Graduate Institute of Medical Education and Research, Chandigarh; Jawaharlal Institute of Postgraduate Medical Education and Research, Puducherry; Tata Memorial Hospital, Mumbai; North Eastern Indira Gandhi Regional Institute of Health and Medical Sciences, Shillong; and All India Institute of Hygiene and Public Health, Kolkata; to be nominated by the Central Government; and
 - (i) one person to represent the Ministry of the Central Government dealing with Health and Family Welfare, not below the rank of Additional Secretary to the Government of India, to be nominated by that Ministry.
- (4.3) The following persons shall be appointed as part-time Members of the Commission, namely:—
- (a) three Members to be appointed from amongst persons of ability, integrity and standing, who have special knowledge and professional experience in such areas including management, law, medical ethics, health research, consumer or patient rights advocacy, science and technology and economics;
 - (b) six Members to be appointed on rotational basis from amongst the nominees of the States and Union territories, under clauses

- (c) and (d) of sub-section (2) of section 11, in the Medical Advisory Council for a term of two years in such manner as may be prescribed;
- (c) five members to be appointed from amongst the nominees of the States and Union territories, under clause (e) of sub-section (2) of section 11, in the Medical Advisory Council for a term of two years in such manner as may be prescribed.

4.5.3. Powers and functions of NMC:

- (a) lay down policies for maintaining a high quality and high standards in medical education and make necessary regulations in this behalf;
- (b) lay down policies for regulating medical institutions, medical researches and medical professionals and make necessary regulations in this behalf;
- (c) assess the requirements in healthcare, including human resources for health and healthcare infrastructure and develop a road map for meeting such requirements;
- (d) promote, co-ordinate and frame guidelines and lay down policies by making necessary regulations for the proper functioning of the Commission, the Autonomous Boards and the State Medical Councils;
- (e) ensure co-ordination among the Autonomous Boards;
- (f) take such measures, as may be necessary, to ensure compliance by the State Medical Councils of the guidelines framed and regulations made under this Act for their effective functioning under this Act;

- (g) exercise appellate jurisdiction with respect to the decisions of the Autonomous Boards;
- (h) lay down policies and codes to ensure observance of professional ethics in medical profession and to promote ethical conduct during the provision of care by medical practitioners;
- (i) frame guidelines for determination of fees and all other charges in respect of fifty per cent. of seats in private medical institutions and deemed to be universities which are governed under the provisions of this Act;
- (j) exercise such other powers and perform such other functions as may be prescribed.

4.6. Dental Council of India (DCI):

The DCI has been constituted under the Dentists Act, 1948 with the power to recognize the Dental qualifications (BDS/MDS) and to regulate dental education, dental profession, and dental ethics. Clinical practice can be undertaken only by dentists who have qualified from recognized dental colleges and are registered with the State Dental Councils. No foreign national and no Indian qualified in a foreign university can practice dentistry in India without having registered with the concerned State Council unless permitted by the DCI. By inserting three new sections 10A, 10B and 10C in the 1948 Act, by an amendment in 1993, the DCI has been empowered to regulate dental education in India. According to Section 10A (1), without the previous permission of the Central Government:

- (i) No dental college can be established,
- (ii) No dental college can introduce a new or higher course of study or training and increase its intake capacity in any course of study or training (including a postgraduate course of study and training).

Section 10B authorizes the DCI to refuse recognition of the degrees awarded in violation of the provisions in Section 10A (1).

Finally, Section, 10A (2) lays down the procedure for obtaining permission for establishing a new dental college.

Indian Nursing Council (INC):

The INC has been established under the Indian Nursing Council Act, 1947. The Council is responsible for the regulation and maintenance of uniform standards of training in nursing at all levels: Auxiliary Nursing Midwife (ANM); General Nursing and Midwifery (GN); B.Sc. (Nursing); Master's degree in Nursing; and M.Phil/Ph.D. in Nursing. The Council prescribes the syllabus and regulations for various nursing courses. One of its important functions is the inspection of nursing schools and colleges and examination centres to ensure that uniformity and requisite standards are being maintained.

4.7. Central Council of Homeopathy (CCH)

The CCH was established under the provision of Homoeopathy Central Council Act, 1973 to regulate education, practice, and maintenance of Central Register of Homoeopathic practitioners. It has laid down the minimum standards of medical education in Homoeopathy. It inspects colleges to ensure that they adhere to the specified standards. In accordance with the other provisions of the above Act, 1973 (i) A Central Council for Research in Homoeopathy has been set up for initiating, developing and coordinating scientific research in different aspects of the Homoeopathic system, and (ii) the National institute of Homoeopathy has been established in Kolkata, a premier institution in India for providing undergraduate and postgraduate education in Homoeopathy.

4.8. Central Council of Indian Medicines (CCIM)

The CCIM is a statutory body constituted under the Indian Medicine Central Council Act, 1970. It prescribes

the minimum standards of education for courses in Indian Systems of Medicine, viz., Ayurveda, Siddha and Unani. The CCIM has prescribed uniform curriculum and syllabi for undergraduate and postgraduate education which are amended from time to time. The Council also considers the issue of inclusion of medical qualifications granted by the universities in the Schedules of the IMCC Act, 1970. The Council has also prescribed standards of professional conduct, etiquette, and Code of Ethics for practitioners. The Council regularly visits Ayurvedic and Unani colleges to assess the standards of education and to verify whether their work is in conformity with the minimum standards and requirements laid by it.

4.9. Pharmacy Council of India (PCI)

Established in 1948 by the Pharmacy Act 1948, the PCI has the power

- (i) to prescribe the minimum standards of education,
 - (ii) to approve courses of study and examination for pharmacists and
 - (iii) to set up State Pharmaceutical Councils, responsible for the maintenance of register of pharmacists.
- The Council is authorized to make regulations for prescribing the minimum standards of education required for qualification as a Pharmacist.

In particular, the regulation may prescribe the nature and period of study and of practical training to be undertaken, the equipment and facilities to be provided, the subjects of examinations and the standards to be attained. Any institution intending to offer pharmacy course must apply to the Council for its approval. If the course conforms to the requirements specified in the PCI Regulations, it will be accorded recognition. The Council can withdraw this recognition subsequently, if and when it is found that the institutions are unable to maintain the prescribed standards. The Council is the appropriate authority to approve pharmacy qualification granted in other countries. The Council is responsible for maintaining the Central register

of Pharmacists on the basis of data contained in the State registers maintained by the State Councils. Pharmacy courses are, however, under the dual control of Pharmacy Council of India and the All India Council of Technical Education. The Pharmacy Council is, therefore, a member of the AICTE.

4.10. Veterinary Council of India (VCI)

The VCI (along with State Veterinary Councils) was established under the Indian Veterinary Council Act, 1984 to regulate veterinary practice and maintenance of Indian Veterinary Practitioners' Register. The Act provides a list of qualifications awarded by different universities, which are recognized by the Council for the purpose of the Act. The Council has prescribed minimum standards of veterinary education leading to BVSc and AH degree.

The VCI has the power (i) to seek information from the recognized institutions about courses of study and examinations, (ii) to recommend to the Central Government the recognition of the qualifications granted by them and (iii) to recommend to the Central Government de - recognition, if the courses of study and examinations are not in conformity with regulations made under the Act or fall short of the standards required, or the infrastructural facilities do not conform to the standards prescribed by the Council. The VCI also conducts the All India Common Entrance Examination for admission to 15% of seats in the BVSc and AH courses in veterinary colleges.

4.11. Rehabilitation Council of India (RCI)

The RCI, a statutory body under the Ministry of Social Justice and Empowerment, was constituted under the Rehabilitation Council of India Act, 1992 for regulating and monitoring the training of professionals engaged in rehabilitating physically and mentally handicapped persons. As per the Act, the courses for Physiotherapists, Occupational

Therapists, Clinical Psychologists, Speech Pathologists, Audiologist and Speech Therapists, Special Teachers for educating and training the disadvantaged, Rehabilitation Psychologists, Hearing Aid and Ear Mould Technicians, Rehabilitation Engineers and Technicians, Vocational Counsellors, Employment Officers and Placement Officers dealing with disadvantaged, Multipurpose Rehabilitation Therapists/Technicians, Rehabilitation practitioners in Mental Retardation, Orientation and Mobility specialists, Community based Rehabilitation Professionals, Rehabilitation Counsellors/Administrators, Prosthetists and Orthotists, Rehabilitation workshop Managers, Ophthalmic technicians, and Rehabilitation social workers are covered under the jurisdiction of RCI. It grants approval to the universities and institutions for offering any course for the training of the aforementioned categories of rehabilitation professionals and also prescribing the minimum standards of education for them. Rehabilitation professionals can practice only if they successfully undergo training in recognised institutions and register themselves with the RCI which maintains the Central Rehabilitation Register. Those who are already working as rehabilitation professionals without acquiring any qualification would be required to undergo a bridge course to enable them to register themselves with RCI.

4.12. National Council for Teacher Education

The National Council for Teacher Education (NCTE) was established in 1993 under an Act of Parliament to ensure planned and coordinated development of teacher education and determination and maintenance of its standards. The main function of NCTE is to grant approval for introducing new courses, establish new institutions imparting teacher education, recognise the existing courses and institutions. To give approval to new courses or establish new institutions of teacher education, the NCTE can cause an inspection of the institutions. For monitoring and rating the performance of

recognized teacher education institutions, NCTE and NAAC have entered into a MOU. The NCTE has laid down regulations making accreditation of recognized institutions by NAAC mandatory with grade B+ on a nine point scale for the purpose of opening of new courses or enhancement of intake.

NCTE is headed by a Chairman appointed by the Central Government. The Chairman is assisted by a Vice Chairman, and a Member Secretary, both also being appointed by the Central Government. The Secretary to Government of India dealing with education is the ex-officio member of the Council. The Council also has representation by the Chairman; UGC; the Director, National Council of Educational Research and Training; the Director, National Institute of Educational Planning and Administration (renamed as National University of Educational Planning and Administration;), the Chairman, Central Board of Secondary Education; the Financial Adviser to the Government of India in the Department dealing with Education; the Member-Secretary, All-India Council for Technical Education. The Chairpersons of all Regional Committees are ex-officio members of the Council. The other members of the Council include four Deans and Professors of Education in universities, one expert in secondary education, three experts from primary teacher education, and two experts from non-formal education and adult education. The NCTE manages its functions through four regional committees established in east, west, north, and south zones of the country.

4.13. Bar Council of India (BCI)

Established by the Indian Parliament under the Advocates Act, 1961, the Bar Council of India is a statutory body which represents the Indian Bar and regulates legal education in the country. It performs its regulatory functions by prescribing standards of professional conduct and etiquette and by exercising disciplinary jurisdiction over the Bar. It also sets standards for legal education and grants recognition to

universities whose degree in law will serve as qualification for enrolment as an advocate. The statutory functions under section 7 cover the Bar Council's regulatory and representative mandate for the legal profession and legal education in India. The other functions include laying down standards of professional conduct and etiquette for advocates; laying down procedure to be followed by its disciplinary committee and the disciplinary committees of each State Bar Council; safeguarding the rights, privileges and interests of advocates; promoting and supporting law reform; dealing with and disposing of any matter which may be referred to it by a State Bar Council; promoting legal education and laying down standards of legal education in consultation with the universities in India which impart legal education and the State Bar Council concerned; and giving recognition to universities whose degree in law shall be a qualification for enrolment as an advocate. The Bar Council of India visits and inspects universities, or directs the State Bar Councils to visit and inspect universities for the purpose of granting recognition; conducting seminars and talks on legal topics by eminent jurists; publishing journals and papers of legal interest; organising legal aid to the poor; recognising the foreign qualifications in law obtained outside India on a reciprocal basis for the purpose of admission as an advocate in India; and managing and investing the funds of the Bar Council. In addition to these functions, it also performs certain representative functions by protecting the rights, privileges and interests of advocates and through the creation of funds for providing financial assistance and organise welfare schemes for them.

4.14.1. Composition of the BCI

The Bar Council of India consists of Chairman and Vice-Chairman, two ex-officio members, i.e., the Attorney General of India and the Solicitor General of India, and one member elected from each State Bar Council. The Chairman and Vice Chairman are elected from amongst its members elected from each State Bar Council and hold their tenure for a period of two

years. The members from the State Bar Councils are elected for a period of five years. One member is elected by each State Bar Council from amongst its members to represent it in the Bar Council of India. No person shall be eligible for being elected as a member of the Bar Council of India unless he possesses the qualifications specified in the proviso to sub-section (2) of section 3(2). A person holding office as Chairman or as Vice-Chairman of the Bar Council of India immediately before the commencement of the Advocates (Amendment) Act, 1977 (38 of 1977), shall, on such commencement, cease to hold office as Chairman or Vice-chairman, as the case may be; provided that each person shall continue to carry on the duties of his office until the Chairman or the Vice-Chairman, as the case may be, of the Council, elected after the commencement of the Advocates (Amendments) Act, 1977 (38 of 1977), assumes charge of the office. The term of office of a member of the Bar Council of India elected by the State Bar Council, in the case of a member of a State Bar Council who holds office ex-officio, be two years from the date of his election or till he ceases to be a member of the State Bar Council, whichever is earlier.

4.14. Council of Architecture (CoA)

The Council of Architecture has been constituted under the Architects Act, 1972 which provides for the registration of architects and empowers the Council to prescribe the minimum standards of architecture education required for granting recognised qualifications by colleges or institutions. The Council is empowered to inspect any college or institution where architecture courses are offered and to attend any examination held by them. This is for the purpose of recommending to the Central Government recognition of architectural qualification granted by the college. In accordance with section 45 of the Architects Act, the Council has framed Council of Architecture (Minimum Standards of Architecture Education) Regulations, 1983. It contains rules relating to the admission to architecture

courses, intake capacity of students, period of study, subjects of examination and qualification of examiners. It also prescribes staff-student ratio, and physical and other facilities to be provided by the institution. Finally, it describes the designation, pay scale, and qualifications prescribed for faculty positions. Architectural education is under the dual control of the AICTE and the Council of Architecture. The CoA is, therefore, a member of the AICTE.

4.15. National Assessment and Accreditation Council (NAAC)

The National Assessment and Accreditation Council (NAAC) is an autonomous body incorporated by the UGC, to assess and accredit institutions of higher learning. A recent Gazette Notification suggests blocking of grants to the institutions ineligible for accreditation by NAAC or withdrawal of the eligibility to provide higher education to institutions that have not opted for NAAC (UGC, 2012). The details are provided in Chapter IX.

4.16. State Councils of Higher Education (SCHEs)

The National Policy of Education, 1986 recommended that in each State, a State Council of Higher Education should be set up for the State level planning and coordination of higher education in coordination with the UGC. The UGC, on the recommendation of a committee set up by it, laid down the guidelines for the constitution of State Councils of Higher Education by enacting a suitable legislation. The Act stipulates two functions of the Council: (i) Planning and Coordination function and (ii) Academic function. The first one includes, among others, the formulation of principles and taking decision in respect of the approval and sanction for establishment of new educational institutions. The academic function includes:

- (a) promotion and coordination of the programmes of autonomous colleges and monitoring its implementation and

- (b) conducting entrance examinations to institutions of higher education and rendering advice on admissions.

4.17. Other Regulatory Bodies regulating Specialized and Professional Fields

4.18.1. Directorate General of Shipping (DGS)

The Directorate General of Shipping in the Ministry of Surface Transport accords recognition to merchant navy related courses, such as marine engineering and nautical science.

4.18.2. The Institute of Chartered Accountants of India (ICAI)

The Institute of Chartered Accountants of India (ICAI) is a statutory body established under the Chartered Accountants Act, 1949 (Act No. XXXVIII of 1949) for the regulation of the profession of Chartered Accountants in India. Its functions include prescribing qualifications for membership; holding examinations, arranging practical training of candidates; enrolment of members; publication and maintenance of register of members qualified to practice the profession; carrying on activities for development of the profession; and the regulation and maintenance of status and standard of professional qualification of the members. The Institute conducts examinations all over the country. It issues certificates of practice to its members and exercises disciplinary jurisdiction as quasi-judicial authority over their profession and their conduct. The Institute coordinates with universities on shaping their accountancy curriculum linked with the Chartered Accountancy course.

4.18.3. The Institute of Company Secretaries of India (ICSI)

The Institute of Company Secretaries of India is constituted under the Company Secretaries Act, 1980 (Act No. 56 of 1980) to develop and regulate the profession of Company Secretaries

in India. It was in 1960 that the Company Law Board started a course for the profession of company secretary leading to the award of a Government Diploma. As the number of students taking up the course grew, the Government promoted “The Institute of Company Secretaries of India” under section 25 of the Companies Act, 1956 on 4th October, 1968. The Institute of Company Secretaries of India was given statutory status from 1981 under the Company Secretaries Act, 1980. Its purpose was to take over from the Government the conduct of company secretary examination.

4.18.4. The Institute of Cost Accountants of India (ICAI)

Established in 1944 as a registered company under the Companies Act with the object of promoting, regulating, and developing the profession of Cost Accountant, it acquired statutory status by a special Act of Parliament, namely Cost and Works Accountants Act, 1959. The Institute of Works and Accounts of India is a professional body for the regulation of the profession of cost and management accountancy. It is the only recognized statutory professional organization and licensing body in India specializing exclusively in Cost and Management Accountancy.

4.18.5. Department of Electronics

In the wake of the mushroom growth of private computer training institutes in the 1980s, the Department of Electronics, Government of India introduced a system of accreditation known as the Department of Electronics Accreditation of Computer Courses (DOEACC), to ensure the quality of computer education provided by them. The accreditation programmes are now operated by an autonomous body, DOEACC Society under the Ministry of Information Technology. It has designed curriculum for four levels of computer education: O (Foundation Course); A (equivalent to advanced diploma); B (equivalent to MCA degree); and C (equivalent to M.Tech. degree).

Private institutions are granted provisional accreditation for conducting courses for O, A, B, C, levels based on the norms and criteria for that particular level of course. At present, there are more than 600 accredited institutions spread throughout the country. Examinations are conducted twice a year in important cities and towns all over India. The Society monitors the performance of accredited institutes which are expected to maintain a specified level and standard of infrastructure. The confirmation of accreditation depends on the performance of the students in the examinations. The courses are approved by the AICTE.

4.19. Acts/ Statutes / Ordinances / Regulations of Statutory Councils/Regulatory Bodies:

In India, 'university' means an university established or incorporated by or under a Central Act, a Provincial Act or a State Act, and includes any such institution as may, in consultation with the university concerned, be recognised by the University Grants Commission (UGC) in accordance with the regulations made in this behalf under the UGC Act, 1956. As per the UGC Act, the right of conferring or granting degrees shall be exercised only by a university established or incorporated by or under a Central Act, a Provincial Act or a State Act, or an Institution Deemed to be University or an institution specially empowered by an Act of the Parliament to confer or grant degrees. Thus, any institution which has not been created by an Act of Parliament or a State Legislature or has not been granted the status of a Deemed University is not entitled to award a degree. The higher education system is governed by the respective Acts/Statutes/Ordinances/Regulations notified by the appropriate Statutory Council/Regulatory Body.

- a) The **Act** and **Statutes** are passed by the Legislature (Parliament, in case of Central institutions, and the State Legislature, in case of State institutions) and given assent to by the President for Central Acts

and Statutes, and the Governor concerned for the State Acts and Statutes.

- b) Amendments to the Act and Statutes proposed by the Central/State institutions will have to go through the same procedure; passing by the respective Legislature and assent by the President/Governor, as the case may be.
- c) **Regulations** are made by the Statutory Council concerned, and notified in the official Gazette, some of which need the approval of the Ministry concerned before notification.
- d) Sometimes, certain **Guidelines** are issued initially, which, in due course and after deliberations, can be converted into Regulations.
- e) Certain issues which have not gone or need not go through the legislative process may be dealt with in **Notifications**.
- f) The authorities/Ministry concerned can also make and issue certain **Rules** and **Directions** in dealing with some concrete matters.
- g) **Ordinances** are made in amplification of certain provisions in the Statutes by the Executive body of the institution itself: Executive Council/Syndicate in the case of a university.

Legally, the most powerful documents are the Acts, then the Statutes, followed by Regulations, Notifications, Rules, Ordinances, Directions and Guidelines by various statutory bodies.

At present, there are five types of universities/university level institutions (degree granting institutions) in India.

4.19.1. Central University

Central universities are established or incorporated by a Central Act i.e. an Act of Parliament and are funded by the Union/Central Government. Older universities have been established through individual acts such as Delhi University Act,

Banaras Hindu University Act and others. In 2009, the Central Government established 15 universities through the Central Universities Act which included three State Universities which were upgraded to the Central University status. At present there are 51 Central Universities in the country.

4.19.2. State University

State universities are established or incorporated through an Act of the State Legislature/ State Act and receive funding from the respective state Government. State universities also receive General Development Assistance from UGC, once they are recognised under section 12-B of UGC Act. They are also entitled to receive grants under different schemes of UGC. At present, there are 351 state universities operating in various states in the country.

4.19.3. Deemed to be University

A university established under Section 3 of the UGC Act, 1956 by a sponsoring body viz., a Society registered under the Societies Registration Act, 1860 or a trust registered under Indian Trust Act, 1952 or any other corresponding law for the time being in force in a State or a Public Trust or a Company registered under section 25 of Indian Companies Act, 1956. Upon receiving an application as per the UGC Regulations on Deemed to be universities, the UGC forwards its recommendations to the Department of Higher Education, MHRD, which declares the institution as Deemed to be University. Both government and private institutions can be Deemed to be universities. Deemed to be university status allows autonomy in governance, syllabus, admissions, examinations, evaluation and fees. These institutions are allowed to established off campuses and off-shore campuses in India and abroad with prior permission of Government of India. The jurisdiction of Deemed to be Universities is pan-India and abroad also. In total, there are 126 Deemed Universities in the country.

4.19.4. Institution of National Importance

The Institutions of National Importance are established by Act of Parliament and are accorded power to grant degrees because of their strategic and economic importance for the country. These include institutes such as IITs, AIIMS and NITs. These institutes have been established at both Central and State level. There are 101 Institutions of National Importance in the country.

4.19.5. Private University:

Private universities can be established only through the legislative route. Since the Parliament does not have an enabling legislation, no private university has been established at the Central level. At the State level, all States do not have their respective enabling legislation for setting up a private university. A private institution is required to approach the State Government and submit an application in accordance with the norms of the State Private University Act or any other guideline issued by the State.

The format of the application and details required vary from State to State. There is variation in the process as well as timeline for responding to applications. After the completion of the application process, a bill to establish the university is introduced in the legislative assembly. Once the bill is passed and receives the Governor's ascent, the private university gets a legal existence subject to compliance of several other conditions that may be required. After establishment, the university starts accepting applications for enrolment and begins offering courses.

At the Centre, a Private Universities (Establishment and Regulation) Bill was introduced in Parliament in 1995. The bill received strong opposition from both academics, and the private sector, and its constitutionality was challenged in the apex court. Subsequently, the bill was withdrawn by the Central Government in 2007 and as a result, no private university has been established by the Parliament so far.

At the State level, entry 32 of the State List enables State governments to enact laws regarding incorporation, regulation, and winding up of universities. Several States have taken up the idea of private universities and enacted umbrella acts over the last two decades, bringing clarity on the process and requirements for setting up of private universities. However, a few States such as Uttar Pradesh still don't have an umbrella Act and hence, requirements and the process remain unclear.

The UGC (Establishment and Maintenance of Standards in Private Universities) Regulations, 2003, govern the establishment and regulation of private universities, and require a university to be setup only through a separate act rather than an executive order. It also restricts the jurisdiction of private universities to the state in which the university was incorporated. At present, 313 Private universities are there in the country.

4.19.6. Colleges

Apart from the universities and university level institutions, higher education is also imparted in colleges. Colleges can be affiliated to either central or state universities. Private colleges are usually affiliated to State Universities. Colleges have to follow the entry, operation, and exit requirements as defined by the university to which they are affiliated. Additionally, professional and technical colleges have to be recognised by one of the 15 appropriate Professional Councils regulating the courses. In 2013, the Supreme Court vide petition No. 271, 2013 ruled that AICTE can only direct or make recommendations for MBA and MCA (Master of Business Administration and Master of Computer Applications) courses run by colleges; it cannot superimpose regulations over the university. As per All India Survey on Higher Education Report (2017-18), there are 39050 Colleges and 10011 Stand Alone Institutions in the country.

4.19.7. Autonomous Colleges

Autonomous colleges have autonomy with respect to the curriculum, examination, and admission. Since they are not allowed to grant degrees, they are affiliated to a Government university which grants the degree. Usually colleges of repute are granted autonomy to manage their own higher education activities. Many of the older and established colleges are autonomous in nature and are financed either by the Central or State governments. At present, there are 708 approved autonomous colleges in India.

4.20. Regulations for Exit/Withdrawal

Exit or withdrawal for a non - private university or an institution for higher education is a tedious and lengthy process. It requires the specific act to be repealed which further necessitates notice and deliberation of the legislative assembly (in case of State University) or Parliament (in case of a Central University or other institutions set up by Acts of Parliament). However, exit or withdrawal of a Private University is relatively simple. The procedure for dissolution begins with the sponsoring body giving notice to the State Government at least six months to a year in advance and waiting until the last batch of students have completed their courses. Upon dissolution, the assets and liabilities rest with the sponsoring body. Again, provisions vary from State to State as some states have not mentioned the provision of managing or transferring the assets and liabilities on dissolution. The exit barrier is reasonable and low. The biggest challenge of following this route by all States is the lack of legislation. States such as Tamil Nadu and Andhra Pradesh do not have the necessary legislation and this has been a concern raised by private trusts in these states.

4.21. Regulations relating to the Governance and Administration of Higher Education

At the institutional level, the following are decision making, advisory, and operational bodies:

- (a) Senate;
- (b) Court;
- (c) Executive Council/Governing Body/Syndicate/
Board of Management;
- (d) The Academic Council.

The authorities and bodies can be broadly divided into (a) Statutory (b) Non – Statutory.

Among the Statutory authorities, there are three major apex bodies viz:

- (a) Senate (known as Court in some universities),
- (b) Syndicate (known as Executive Council in some universities),
- (c) Academic Council.

These three bodies have been traditionally performing the functions of general policy making (Senate), decision making and implementation (Syndicate) and framing of academic regulations and related matters (Academic Council).

The above statutory bodies are usually referred to as university authorities. Their composition/constitution, powers, functions and inter relationship among them are determined by the Act of State legislature or Parliament or to be laid down by Statutes. There are other statutory bodies such as Faculty and Board of Studies, Finance Committee, Selection Committees, and others, whose composition and authority is derived from the university statutes.

Besides the above statutory bodies, there are Committees appointed by the Authorities and/or Vice-Chancellor. These are non-statutory in character and hence may or may not be permanent in nature. While the composition and character (including the hierarchical inter – relationship) of the university authorities may vary from university to university, the three tier system exists in almost all the State and Central Universities of general nature. The specialized universities or technical universities (eg: Anna University of Technology, Madras; University of Agricultural Sciences, Bangalore; University

of Health Sciences, Andhra Pradesh; Punjab Agricultural University; and others) do not have Senate. The usual functions of Senate are carried out by the Academic Council. The Court/Senate/General Council in some of the unitary universities, deemed universities, IITs and others, is not the Senate in the conventional sense; it is a mere advisory/ review body consisting mostly of the campus faculties. For instance, in the Indian Institute of Science, Bangalore, the Senate is only a de facto Academic Council. The separation of roles of different organs of the university system would not only avoid duplication but also spell out their individual responsibilities and hence, accountability. There are three broad streams in administrative work viz., policy framing, formulation of procedures (rules and regulations) and actual implementation. The university authorities (Executive Council and Academic Council), assisted by the respective bodies and committees, should have purview of policy framing. Formulation of the contingent rules and regulations of administrative procedures could be left to the bodies and committees. The actual implementation should be the responsibility of the Officers of the university.

4.21.1. The Senate:

In many universities, Senate/Court is the supreme policy making body consisting of representatives from various social groups. The function of the Senate/Court is to review the broad policies and programmes of the university and to suggest measures for the improvement and development of the university; advise the Chancellor in respect of any matter which may be referred to it for advice; and to exercise such other powers and such other functions as may be prescribed in the Statutes. The other functions are to consider the Annual Report of the university; its audited annual accounts; Ordinances made by the Syndicate; consider regulations made by the Standing Committee on Academic Affairs; and consider the report on affiliated colleges presented by the Syndicate periodically.

The function of the Senate is not only statute making but also acting as a social forum where the university's performance is reviewed and appraised. Further, it gives a semblance of democratisation of the university administration and societal participation in its management. Perhaps, the Senate is a unique open house, wherein we can get the social feed-back about the university from wider cross-sections of the community. But since a large proportion of its membership consists of academics (mostly in ex-officio capacities), the societal aspect does not get adequate representation in many universities.

The existing pattern of Senate composition in State Universities, which are of affiliating type, includes the principals of all affiliated colleges (ex-officio members) and teachers from various affiliated colleges and others elected as senate members. Hence, the number is too large and unwieldy in bigger universities to provide conducive scope for serious deliberations. Thus the affiliated colleges can partake in university management by getting due and equitable representation on the university bodies, especially, the Senate.

4.21.2. The Executive Council/Syndicate/Board of Management

The executive decision making and implementation are concentrated in the Syndicate (or the Executive Council or the Board of Management). The Syndicate, in actual practice, wields enormous powers, often more than contemplated in the Act/Statutes. The proceedings in the Senate and the Academic Council are regulated by the Syndicate as a result of some statutory provisions. On many occasions, the Academic Council is constrained to ratify what has already been decided upon and even implemented by the Syndicate. The concentration of powers, administrative, financial, and, to a considerable extent, also academic in the Syndicate naturally leads to the evolution of vested interests among its members.

The Vice-Chancellor and other officers are forced to satisfy the demands of the members of the Syndicate to have smooth sailing of administration.

The Syndicate, in many affiliating universities is dominated by elected members and non-academics unlike in some unitary universities. There has been a tendency on the part of many State Governments to facilitate as many of their nominees into the Syndicate as possible. Thus, when the Syndicate is thus under the virtual control of the government nominees and Government ex-officio members, the university autonomy is practically impaired. For instance, in some universities the ex-officio members of the Syndicate include four Directors – Collegiate Education, Medical education, Technical Education, Legal Education and three Secretaries – Education, Health and Law. These seven ex-officio government officers are in the Syndicate in addition to three nominees of the Chancellor. Thus, out of the total 18 members of the Syndicate, as many as 10 members are from the side of the government.

4.21.3. The Academic Council

The heavy concentration of powers in the Executive Council/Senate this statutory body has led to the erosion of independence of Academic Council relating to framing of regulations as per the Statutes. Many members of the Academic Council (Chairpersons of Board of Studies) are appointed by the Syndicate or the Vice-Chancellor. The academic regulations, as passed by the Academic Council, cannot be implemented without the approval of the Syndicate. Since most Syndicate members happen to be ex-officio members in many universities in the Senate, Academic Council and in some other Bodies as well, there has been a visible domination by the Syndicate on these bodies. This affects their independent deliberations.

4.22. Regulations relating to operational aspects/ procedures/provisions for appointment of academic and administrative leadership positions such as

Chancellor/Visitor, Vice-Chancellor, Registrar, and Finance Officer

4.22.1. Visitor /Chancellor:

In India, almost all universities have a Chancellor/Visitor as their titular head whose function is largely ceremonial. In general, the President of India is the ex-officio Visitor of all the Central Universities and the Governor of a respective State is the Chancellor of all the universities in the State concerned. At present, the President of India is the Visitor of 148 Central Institutions/Institutes which includes Central Universities, National Institutes of Technology (NITs), Indian Institutes of Technology (IITs), Indian Institutes of Science Education and Research (IISERs), and others, under the administrative control of Ministry of HRD. Some institutions are under the administrative control of Ministry of Shipping, Ministry of External Affairs, Ministry of Agriculture, Ministry of Sports, Ministry of Textiles, Ministry of Chemicals & Fertilizers, Ministry of Law and Justice and others. The powers of the President as a Visitor of these institutions are defined in their respective Acts. A further variation is found as in the case of the University of Delhi, the University of Hyderabad, Punjab University, Chandigarh, where the Vice President of India is the ex-officio Chancellor. The Chancellor of the Viswa-Bharati, Jawaharlal Nehru University, and the North Eastern Hill university is appointed by the Visitor out of a panel of not less than 3 persons recommended by the respective Executive Councils. This practice also prevails in some universities where the Visitor appoints a Chancellor to oversee the functions on his behalf.

In case of State Universities, the Governor of the State is also the Chancellor of all universities in the State. In Private Universities, normally the head of the foundation which has established the university is the Chancellor of the university and the Vice-Chancellor is the executive/operational head

of the university. The equivalent of the Vice-Chancellor in engineering institutes is the Director, even for those engineering institutes that are university equivalents like the Indian Institutes of Technology.

Unlike the Chancellor who heads the conventional Indian State University, a Private University is headed by the President or Chairperson of the Private organization/Trust/Society and has other posts like Vice-Chancellor, Dean of Faculties, Registrar, and Controller of Examinations.

4.22.2. Vice-Chancellor:

The Vice-Chancellor is the principal executive and de facto head of the university. He exercises general supervision and control over the affairs of the university and gives effect to the decisions of all its authorities. He is the ex-officio Chairman of the Executive Council, Academic Council, Finance Committee, and Selection Committees. In the absence of the Chancellor, the Vice-Chancellor presides over any convocation of the university for conferring degrees. It is the duty of the Vice-Chancellor to see that the provisions of the Act, Statutes and Ordinances and Regulations are fully observed.

In Deemed Universities and Institutes of National Importance, the head of the institution is either called Director General or Director, the latter designation being more commonly used in academic terms in the subcontinent. Though the appointment of the Vice-Chancellor varies according to the university acts and statutes, in general the Vice-Chancellor is appointed by the Visitor/ Chancellor, from a panel of three to five names recommended by a duly constituted Search/Selection Committee. The Visitor's nominee is the Chairman/Convener of the Committee. The Visitor is empowered to call for a set of fresh names in case of dissatisfaction with the names given by the panel. As mentioned above, there is no uniformity in this practice in the universities and the procedures vary from university to university. The method of appointment of Vice-Chancellors is provided in Chapter – I.

4.22.3. Pro-Vice-Chancellor/Rector

Next in command to the Vice-Chancellor is the Pro-Vice-Chancellor/Rector. In some universities, there are more than one Pro-Vice-Chancellors to look after academic administrative and financial affairs. The duties and responsibilities of the Pro-Vice-Chancellor are to assist the Vice-Chancellor in respect of such matters as may be specified by the Vice-Chancellor from time to time and to exercise such powers and perform such functions as may be delegated by the Vice-Chancellor. Although the procedure of appointment of the Pro-Vice-Chancellor is defined in respective acts of university, in general, the Pro-Vice-Chancellor is appointed by the Board of Management/Executive Council on the recommendation of the Vice-Chancellor. In case the recommendation of the Vice-Chancellor is not accepted by the Board of Management/Executive Council, the matter shall be referred to the Chancellor/Visitor who may either appoint the person recommended by the Vice-Chancellor or request the Vice-Chancellor to recommend another person for consideration of the Board of Management/Executive Council. The term of office of a Pro-Vice-Chancellor is ordinarily three years and/or co-terminus with the tenure of the Vice-Chancellor. The age of retirement of Pro-Vice-Chancellor is 65 years.

4.22.4. Registrar

In general, Registrars are appointed by the Senate/ Executive Council. Although there is varied provision in the Acts of various universities regarding the tenure of the Registrar, in general the term of office is three to five years. As per the Central University Act, 2009, the first Registrar is appointed by the Visitor on the recommendation of the Senate/Executive Council for a period of five years. The Registrar is responsible for the supervision and management of all administrative and operational functions of the university. The Registrar is a full time and paid officer of the university and in charge of administration acting under the direct control of the

Vice-Chancellor. The general duty of the Registrar is to supervise the administration, enter into agreements, sign documents, and authenticate records on behalf of the university. He is the custodian of records, the common seal, and the property of the university. He has to update the Handbook of the Statutes, Ordinances and Regulations approved by the authorities, bodies, or committees from time to time, and make them available to all the respective members of the authorities and officers of the university. Almost all functions, especially relating to administration (other than teaching and research) fall under the jurisdiction of the Registrar. In many States, Registrars and Finance officers are appointed or deputed to the position from the State Government Services. The Registrar is assisted by one or more Deputy Registrars and Assistant Registrars in dealing with various aspects such as academic, administration, examination, establishment, and others.

4.22.5. Finance Officer

Like the Registrar, the Finance Officer in most of the State Universities is appointed by the Executive Council from the State Government Services. In case of Central Universities and even in some of the State Universities, the appointment of Finance officer is made through advertisement and selection process. The tenure of the Finance Officer is usually three to five years and he/she is full-time and salaried officer of the University. The Finance Officer is the custodian of the finances of the university. He maintains records of receipts and expenditures, prepares and compiles the budget, and organizes Finance Committee meeting.

4.23. Regulations relating to the Curricula, Syllabi, Admission, Examination, and Evaluation

Higher education in India refers to education at post higher secondary levels. It consists of two stages: undergraduate and postgraduate. A candidate is eligible to enter into higher

education after completion of 10 years of schooling and two years of Senior Secondary education.

The secondary level is further bifurcated into vocational and academic. After completing twelve years of primary, secondary and senior secondary education, candidates aspiring to pursue higher education can have two choices: diploma or degree.

A diploma is sometimes also called a certificate, the duration of which is upto two years. The first degree is called the Bachelor's degree and is obtained after three years of study in case of general programmes such as liberal arts. In case of professional programmes, the duration is 4 to 5 years (Four and half in case of Medicine and five years in case of Law).

After completing a Bachelor's degree, the student could continue with postgraduate studies which would be a Master's degree (postgraduate degree) programme. It is generally of two years duration. Research degrees such as M.Phil and Ph.D have variable duration. The common practice is that M.Phil or Master of Philosophy is 1 to 2 years and the duration for Ph.D is 3 to 5 years.

The alternatives after obtaining an undergraduate degree is to continue with postgraduate studies or pursue a postgraduate diploma or certificate programme. These are most often for professional studies and are of 1 to 3 years of duration.

Higher educational institutions are autonomous to frame their curricula and program structure. The UGC has developed model curriculum in some subjects which are used as model for the institutions but are not binding, but the duration of the programmes is usually decided by the UGC and other statutory bodies based on the national policy.

Admission: In case of general higher education programmes, most of the universities and other institutions consider scores/marks obtained in senior secondary. For PG programmes, the practice of entrance test is followed. For M.Phil/Ph.D programme, a wide variety of admission tests

at the National/State/Institutional/Subject/Discipline levels are followed. All higher educational institutions are expected to adopt the National Reservation Policy in the process of admission.

4.24. Regulations relating to the Faculty and Staff

In case of general higher education in India, the regulation for faculty recruitment, qualification, and compensation is made by University Grants Commission. In exercise of its power conferred under section 26 of UGC Act, it has been given the power and authority to make regulations and determine the minimum qualification for appointment of teachers, pay scales, service conditions for teachers and other academic staff in universities. Every university and other institutions of higher education incorporated/established by or under the Acts of Parliament or State legislation, including their constituent colleges recognized by the UGC, are covered under this Regulation,. However, pay, general service conditions including age of superannuation in Central universities and other centralized institutions are determined by the Central Government, whereas the staff/faculty strength in State Universities are determined by the respective State Governments.

In case of Agricultural and Veterinary education, the regulatory power pertaining to the essential qualifications and recruitment is done by the Indian Council for Agricultural Research (ICAR). Recruitments in agricultural institutions or programmes are done by the Agricultural Scientist Recruitment Board. Similarly, in case of professional programmes like medicine, law, engineering or other technical programmes the pay scales, service conditions, and qualifications for teachers and other academic staff in technical institutions are determined by their respective Councils such as the Medical Council of India, the Bar Council of India, the All India Council for Technical Education, the National Council for Teacher Education, and other bodies.

As a common procedure, the recruitment of teachers in all categories of institutions and programmes is done through direct selection procedure of advertising the vacant positions in leading national Newspapers, other print media or through websites. In case of administrative or non-teaching staff, both direct recruitment and borrowing on the basis of deputation from other organization are also practiced.

4.25. Regulations relating to the Recognition and Equivalence of Qualifications

Section 2(f) of the UGC Act specifies that a “University” means a university established or incorporated by or under a Central Act, a Provincial Act, or a State Act, and includes any such institution as may, in consultation with the university concerned, be recognized by the Commission in accordance with the regulations made in this behalf under this Act. Further, Section 12A of the UGC Act mentions that a “college” means any institution, whether known as such or by any other name which provides for a course of study for obtaining any qualification from a university and which, in accordance with the rules and regulations of such university, is recognized as competent to provide for such course of study and present students undergoing such course of study for the examination for the award of such qualification. Section 22 (1) of the UGC Act clearly mentions that the right to confer or grant degrees shall be exercised only by a university established or incorporated by or under a Central Act, a Provincial Act or a State Act or an institution Deemed to be a University under section 3 or an institution specially empowered by an Act of Parliament to confer or grant degrees. Section 22(2) and 22(3) of the UGC Act further clarify that

“Save as provided in sub-section (1), no person or authority shall confer, or grant, or hold himself or itself out as entitled to confer or grant, any degree” and “For the purposes of this section, “degree’ means any such degree as may, with the previous approval of the

Central Government, be specified in this behalf by the Commission by notification in the official Gazette”.

With the above safeguards in place, the power to award and recognize degrees in India has been vested in the universities in accordance with the provisions of their Acts & Statutes. Universities in India are expected to adhere to the rules and regulations prescribed in this regard by the Ministry of Human Resource Development (MHRD), University Grants Commission (UGC) or any other regulatory body empowered to do so. Association of Indian Universities (AIU) is the only body in India which is recognized to grant Equivalence of Degrees awarded by foreign universities. Acknowledging its role and work, the Ministry of Human Resource Development (MHRD), vide its letter dated 13th March 1995 issued a Notification that “those foreign qualifications which are recognized/equated by the AIU, are treated as recognized for the purpose of employment to post and services under the Central Government.” As the mobility of students increased across a wide range of universities in many different countries and the number of cases seeking AIU equivalence multiplied, the then practice of case by case evaluation of each request was found time consuming and unsustainable. The policy was, therefore changed, recognizing the system of education on the basis of parameters such as

- (a) Eligibility requirement for admission;
- (b) Duration of the programme; and
- (c) Accreditation status of the university concerned;

Following the change in the policy, the AIU now accords equivalence to such foreign degrees:

- (i) which are awarded by foreign universities approved/recognized/accredited in their own country;
- (ii) which are pursued by a student as a full-time regular student on the campus of the university of its origin;
- (iii) for which the minimum prescribed duration of the programme of studies is atleast the same

- as applicable in case of Indian universities;
and
- (iv) for which the minimum eligibility requirements for admission in the programme of studies is at least the same as applicable in case of Indian universities.

Recognizing the difficulties faced by students on account of the fact that many a foreign university allows students to complete their programme of studies in less than the prescribed duration either due to exemption from certain number of credits, or due to the acceptance of certain credits already taken or because a student is permitted to take certain credits during vacation as per any other reason that the university thinks appropriate, the AIU has also started granting certain relaxation in according equivalence so long as the prescribed duration of the programme of studies is at least the same as prescribed in India. Further, taking note of the fact that the UGC/AICTE have issued regulations/guidelines allowing foreign degrees to be awarded for studies undertaken in India, the AIU has started giving certain relaxation in this regard, subject to the fulfillment of certain conditions. The AIU does not entertain applications for equivalence of such professional degrees awarded by foreign universities which also entitle the holder of the degree to practice a profession in India. Thus, degrees in disciplines like Medicine, Nursing, Pharmacy, Law, Architecture and the like, are presently outside the purview of the AIU. Such cases are handled by the respective professional councils. The AIU recognises degrees awarded by Indian universities in accordance with their Acts and Statutes and in adherence to the rules, regulations and guidelines prescribed in this regard by the MHRD/UGC/AICTE or any other competent regulatory body in the country. The AIU is not involved in the equivalence of qualifications in vocational stream and non – degree qualifications such as proficiency, certificate or diploma level examination conducted either by universities or by non–university level bodies except the Diploma in

Engineering. AIU is also not involved in determining the disciplinary parity between different qualifications and/or in determining suitability or adequacy of a qualification/degree for eligibility for admission or employment. Such decisions rest with the university/recruitment agency concerned.

4.26. Regulations Relating to the Accreditation and Quality Assurance in Higher Education

There are mainly two Indian organizations responsible for accreditation and quality assurance in higher education. These are National Assessment and Accreditation Council (NAAC) and National Board of Accreditation (NBA). The NAAC is responsible for institutional assessment and it operates under the aegis of the University Grants Commission. NBA operates under the aegis of the All India Council for Technical Education (AICTE) and is responsible for accreditation and quality assurance in professional programmes. Earlier, accreditation of higher educational institutions was voluntary. It has been made mandatory now for receiving government funding. The details about NAAC and NBA are provided in Chapter IX.

4.27. Regulations Relating to the Funding and Financing of Higher Education

Traditionally, higher education in India has always been viewed as a public activity. Hence, it is a state funded sector. The higher educational institutions receive their funding or generate revenue from the following four sources:

- (a) Grants from the government sources (both Central and State Governments)
- (b) Tuition and other fees collected from students;
- (c) Consultancy and payments received in the form of royalty;
- (d) Donations or endowments received from individuals and charitable/ philanthropic organizations.

Financing of higher educational institutions (HEI) is done by both the Union and State governments. A large portion of the funds of higher education is disbursed through University Grants Commission (UGC). To be eligible for government funding, the HEIs need to be registered under section 2(f) of UGC Act 1956 and be declared fit to receive fund under section 12B of the UGC Act.

The basic procedure of UGC funding is to enquire into the financial status of the universities and colleges and analyse their budgets together with proposals submitted by them. The UGC, in exercise of its power vested upon it under 12B of the UGC Act, may cause an inspection to ascertain the fitness of HEIs for receiving central financial assistance in terms of their compliance to the norms regarding qualified teaching staff, good library and well - equipped laboratory, health centre and other facilities. As a common practice the institutions prepare their budget in the month of June/July and the revised budget in September/October and get the approval of the Finance Committee and Executive Council. In the Finance Committee, representatives of the UGC and of the Department of Higher Education are also members who remain present during the deliberations. The purpose of including these members is to ensure that the proposal is in accordance with the guidelines prescribed by the UGC. After thorough deliberations, the budget proposals received by UGC are consolidated and presented to the government for the sanction of appropriate funds for Maintenance Grants. It has been observed that the proposals submitted by the HEIs, unless there is major increase in any individual item, are approved by government with little modification.

One major source of funding for the institutions is the student fees. Usually the revenue generated from students in the form of tuition fee, sports fee, examination fee, and others, is very low and it constitutes a meagre portion of the total revenue. The universities have not been able to revise the fees since long, due to a variety of reasons. Therefore public HEI

largely depend upon government sources for running their programmes and even for survival.

The third source of funding for HEIs is consultancy (including research consultancy, training and other activities) and royalty received for patents, publications, renting properties, and payment received for individual services, entrepreneurial activities, testing services, business incubators, executive education and research parks. Some part of the funding under this segment is received by institutions for major and minor research projects submitted to UGC, Council for Scientific and Industrial Research (CSIR), Department of Science & Technology (DST), Department of Biotechnology (DBT), Indian Council for Medical Research (ICMR), Indian Council for Agricultural Research (ICAR), All India Council for Technical Education (AICTE) and a few other funding organizations. The major funding agencies for Social Science and Humanities are Indian Council for Social Science Research (ICSSR) and Indian Council for Philosophical Research (ICPR).

The fourth source is donations and endowments given by individuals or charitable and philanthropic organizations and alumni associations, or other sources. This constitutes a small fraction of the total receipt by universities and other higher educational institutions. During the initial years, charitable and philanthropic organizations like Tata Trust, Birlas and others played a key role in supporting higher educational institutions. The proportion of such contribution to the total expenditure on higher education has declined from 12 percent in 1950 to under 3 percent in 1990s.

Private Universities do not receive any development grant from UGC. However, they are entitled to UGC assistance under teachers-students centric schemes. Private participation in higher education has also substantially contributed to the enhancement of GER. During the past five years, enrolment in private institutions has registered a remarkable growth i.e. at the rate of 11 percent as compared to 7 percent in public higher educational institutions (FICCI, 2012). Private universities

and other institutions manage their operations by funds raised through fees from students and receipts from donations, endowments and other entrepreneurial activities. Private participation is more in professional education, for which the fees charged by these institutions is generally higher than the fees charged by the public HEIs. Some old institutions, especially the Deemed Universities established before 1972 which constitute about 20 percent of total private higher educational institutions, receive government aid and hence, these are called aided institutions.

4.28. Rashtriya Uchchatar Shiksha Abhiyan (RUSA)

One of the major reforms undertaken by MHRD, Government of India, for funding of higher educational institutions is Rashtriya Uchchatar Shiksha Abhiyan (RUSA). Launched in 2013 by the Department of Higher Education, MHRD, RUSA is a comprehensive centrally sponsored scheme which aims at providing strategic funding to the state universities and colleges. These enroll over 96 percent of the total higher education students. The scheme was rolled out for realizing the objectives of providing wide access, bridging equity gap and bringing excellence in higher education as envisaged by the XII Five Year Plan. The major objectives of RUSA are to improve the overall quality of state institutions by ensuring conformity to prescribed norms and standards. These institutes must adopt accreditation as a mandatory quality assurance framework; undertake transformative reforms in the state higher education system by creating a facilitating institutional structure for planning and monitoring at the state level; incorporating reforms in affiliation, academic and examination systems; ensure adequate availability of quality faculty in all higher educational institutions; ensure capacity building at all levels of employment; create an enabling atmosphere in the higher educational institutions for research and innovations; expand the institutional base by creating additional capacity in

existing institutions and establishing new institutions, thus bridging the regional imbalances in access to higher education by setting up institutions in unserved and underserved areas; provide adequate opportunities of higher education to SC/STs and socially and educationally backward classes; and promote inclusion of women, minorities and differently abled persons.

RUSA proposes to provide norm based and outcome dependent funding in the ratio of 60:40 for general category states, 90:10 for states with special category status and 100% for union territories. Under the scheme, funding from the Central Ministry is channelized through the State governments/Union Territories to the State Higher Education Councils which subsequently give it to the eligible institutions. The speciality of this scheme is that its scope of funding covers both 12B and 2(f) compliant and non-12B and non-2(f) institutions. The funding to the State is made on the basis of critical appraisal of the State Higher Education Plans which describe each State's strategy to address issues of equity, access, and excellence in higher education.

The prerequisites for funding include academic, sectoral, and institutional governance reforms, creation of State Higher Education Councils, funding commitments by States, filling up faculty positions and other norms. There is a provision under the scheme to provide for an initial amount to the State government to prepare it for complying with prerequisites. The prerequisites involve commitments at two levels viz., commitments given by the States to the Central Government and the commitments given by institutions to the states. The eligible institutions receive funds on the basis of their current status and the targets they set for themselves. The quantum of funds for the States is decided on the basis of an entitlement matrix developed for the purpose.

4.28.1. The Renewed Focus of RUSA

The Union Cabinet's recent decision to not only continue with the RUSA — 'a Centrally sponsored scheme launched

in 2013 to provide strategic funding to eligible State higher educational institutions' but also give it due importance augurs well for the system of higher education in India. That the government is backing the scheme speaks volumes about the robustness and relevance of the scheme.

RUSA is largely based on the conditional release of funds linked to reforms in key areas of governance, learning-teaching outcomes, reaching out to the unreached and infrastructure support. Unlike other schemes which are foisted on State governments in a one-size-fits all manner, under RUSA, States and institutions have to give an undertaking expressing their willingness to the idea of reform and agreeing to meet their share of the cost.

RUSA is a process-driven scheme. Its design and conceptualization were finalized through extensive consultations with all key stakeholders, especially State governments. Preparatory grants were released to States to have the required systems, processes, and the technical support in place. Despite being voluntary, all States except a Union Territory (Lakshadweep), are part of RUSA. All the State Higher Education Perspective Plans for 5/10 years have been prepared after extensive stakeholder consultations. RUSA began with a modest allocation of ₹ 500 crore, but over the time, its resource allocation has increased.

For the year, 2018, Rs.1,300 crore has been provided. Since funding is conditional to performance, it is critical to have a robust monitoring and evaluation system in place. In this regard, geo-tagging, introduction of a public financial management system, a fund tracker and reform tracker system and regular video conferences have proved effective tools, since 2015.

Governance reform is central to the scheme. State Higher Education Councils (SHECs) which have eminent academics, industrialists and other experts have been created, playing a major role, from an academic and professional point of view, in the formulation of medium and long-term State perspective

plans. In order to avoid arbitrariness, a State, for example, has to also give its commitment to creating a search-cum-select committee for the selection of vice-chancellors. Mitigating the bane of the affiliation system is also a major objective. This is achieved through reduction in the number of colleges affiliated to each university by creating cluster universities and promoting autonomous colleges. An important precondition is the filling up of faculty positions and lifting the ban on recruitment (as in some States).

To improve learning-teaching outcomes, there is an effort towards improving pedagogy by capacity-building of faculty, selecting teachers in a transparent manner, adopting accreditation as mandatory quality-assurance framework, implementing a semester system and involving academics of repute and distinction in decision-making processes.

4.28.2. Visible change

An independent performance review (of four years) of the scheme was done by IIT Bombay in 2017. It concluded that the funding linked to reforms has had a visible impact on higher education. When RUSA began, the gross enrolment ratio (GER) was 19.4%, faculty vacancies were at a shockingly high level of 60%, and a large number of universities were bloated with a teacher-student ratio of 1:24. Today, the GER is 25.8%, faculty vacancies are down to 35%, the ban on faculty recruitment by States has been lifted and the teacher-student ratio is now 1:20. Several universities in Karnataka, Rajasthan, Uttar Pradesh and Bihar have been right-sized and critical governance reforms such as the formation of the SHEC and merit-based appointments of Vice-Chancellors in Odisha, Goa, Jharkhand and Tamil Nadu are visible. There has been an improvement in the number of institutions accredited and their scores. In 2012, 106 State universities and 4,684 colleges were accredited. By 2018, an additional 145 State universities and 5,445 Colleges were accredited.

RUSA can prove to be a real game changer for higher education in the country. It has not only reprioritized the country's needs, from funding just a few premier institutions to reaching out to institutions at the bottom of the pyramid, but has also changed the way regulators need to function.

CHAPTER V

AUTONOMY OF HIGHER EDUCATIONAL INSTITUTIONS AND REGULATORY PROVISIONS

5.1. Autonomy

Autonomy involves an individual's/organization's/institution's capacity and willingness to make decisions independently. Autonomy is the condition or quality of being self-governing with the right of self-governance, self-determination and independence. Therefore, 'autonomous status' means freedom to make academic, administrative and financial decisions of the institution linked with accountability.

5.2 Forms of Autonomy

5.2.1. Academic autonomy

The essence of the success of autonomy is delegation of responsibility with answerability and accountability of academics. The facilities for carrying out autonomous functions such as revising the curricula, updating syllabi, designing modules, different pedagogical methods, practical/work-integrated learning, various systems of examination and evaluation, analysis of programme/course outcomes and such

other matters require not only sufficient financial resources but also continuous training and upgradation of teachers. In the rapidly changing environment, an autonomous system can facilitate much needed innovations such as inter-disciplinary programmes, inter-organizational sharing of academic loads, transfer of credit points between different models of learning and so on.

Academic autonomy should facilitate selection and appointment of talented faculty from any part of the country or outside the country purely based upon merits and credentials. The effort of the appointing authority should be to identify the best qualified and motivated teachers on merit and merit alone. Academic autonomy should necessarily lead to academic excellence. If it does not lead to this, it can be safely concluded that the autonomy has been misused.

5.2.2. Administrative autonomy

Administrative autonomy is the freedom given to the institution to manage its affairs with regard to its administration. It is the freedom to manage the affairs in such a way that it stimulates and encourages initiative and development of individuals working in the institution and thereby of the institution itself, and not discourage such initiatives and development, often giving the excuse of rigidity of administrative rules and procedures. Rules and procedures are meant to regulate the work to be done, and achieve uniformity of approach to problems, and to free it from personal whims and prejudices of individuals. However, rigidity becomes counter productive, so it has to be coupled with flexibility to be built into the administrative system. The distinction between one institution and another is, to a significant extent, explained by their management. An institution with good academic record can deteriorate and even close down in due course, if its administrative affairs are mismanaged. The management has to be sensitive and responsive to both internal and external changes, such as growing customer (client) expectations,

tightening of competition in society, worsening resource situation, and constant changes in technology, among others.

The institution has to improve both person-based factors (such as job-related knowledge, performance skills, positive attitude and creative values) as well as system-based factors such as quantum of resources, structural specialities, management systems, operational processes, and internal leadership. Possible methods of improving the organizational performance are: structural reorganization, augmentation of resources, updating technology, rationalization of operations to increase efficiency and effectiveness, environmental engineering, replacing/retraining ineffective manpower, improving competencies of organizational members, and the like. Thus the management should be a forward looking one with capacity to anticipate things as well as concern for universal ethics. It should convert efficient administrators (who do the job right) and qualified managers into competent and effective managers.

Administrative autonomy exercisable at different stages needs to be distinguished, for example, at the intake (admission) stage, and at the final (evaluation) stage. Over a period of time, it is realized that admissions to higher educational institutions are used as an effective mechanism to collect huge sums of money from the candidates and their parents. Autonomy at the stage of admissions is given only to select universities/institutions with proven track record of faultless admission. Administrative autonomy coupled with financial autonomy, if properly exercised, should lead to excellence in management.

5.2.3. Financial autonomy

Financial autonomy gives the freedom to the institution to spend the financial resources at its disposal in a prudent way, keeping in view its priorities. It is almost never the case that an institution has, at any given time, the total financial resources that it needs and what is available. Thus, an inadequate,

untimely and inefficient financial system adversely affects the performance of the universities. So financial controls, financial discipline and financial management become extremely important. Even in very rare cases, when sufficient funds are available, these qualities are to be safeguarded, so that the finances are not misused or financial rules are not violated. An indication of proper utilization of funds can be seen from the audit reports. The more the amount covered by the audit reports, the greater the financial mismanagement by the institution. A good academic record of an institution may not be indicative of its good financial management, as not all good academics are always good administrators of finances. Financial autonomy should not lead to lack of financial discipline and freedom to take overdrafts to meet the expenditures. One way of giving financial freedom to an institution in receiving aid is to give it block grants and allow it to spend the money on items of its choice and priority. Autonomous institutions should have the means to mobilize resources on a predictable basis. Their dependence solely on governing authorities and state governments which have their own limitations for resource allocations, will be a major issue.

5.2.4. Autonomy and Accountability

Autonomy is self-regulation providing responsible exercise of decision-making freedom with full commitment to accountability, and not just decentralisation of selected powers. Accountability is the academic, administrative and financial responsibility with certain goals for each of the above, especially for teachers, students, non-teaching staff and all others aiming towards providing quality education for society. The measurement of accountability includes self-regulation and adherence to rules, motivational efforts towards accountability and pro-active role in conceiving and implementing innovations. The types of accountability would involve individual category oriented accountability, intra-

institutional and inter-institutional accountability, and system oriented accountability.

5.2.5. Strengths of Autonomy

The strengths of ideal autonomy are:

- (a) Innovation.
- (b) Experimentation;
- (c) Expansion and maximum utilization of potential;
- (d) Quality improvement;
- (e) Relevance;
- (f) Full involvement of higher education community in the entire system;
- (g) Enhancing confidence in stakeholders in general and in students and teachers, in particular;
- (h) Transparency in pedagogy and evaluation;
- (i) Increased scope for educational reforms;
- (j) Planning as well as implementation of new / additional programmes;
- (k) Quality improvement in higher education;
- (l) Feedback mechanism; and
- (m) Setting up of benchmarks of accountability and quality.

5.2.6. Weaknesses in the Present System of Autonomy

The weaknesses apparent in the present system of autonomy are:

- (a) Autonomy is meant mainly for autonomous colleges and not for all higher educational institutions;
- (b) Approval process still time consuming
- (c) Lack of complete academic, administrative and financial autonomy for universities which are governed by the Central/State governments;
- (d) Manpower deficit affecting the efficiency of the system;

- (e) Infrastructure shortcomings;
- (f) Implementation obstacles;
- (g) Financial crunch faced by the autonomous institutions;
- (h) Systemic weakness where managements do not support autonomy;
- (i) Apprehensions among teachers about pay and stability;
- (j) Insufficient powers, inherent or delegated, to the heads of higher educational institutions.

5.2.7. Functional Autonomy

There is need to regulate maintenance of standards of instruction and evaluation, including specification of degrees so that the degrees obtained and the grades thereof are comparable. This is purported to be achieved by the Regulations of the UGC in this regard. Autonomy should be given to the institutions for the rest of their functioning, i.e. they should have functional autonomy. The UGC Regulations regarding minimum standards of instruction for grant of degrees and specification of degrees, evaluation and moderation of results is expected to provide norms and guidelines for effective implementation of functional autonomy,

5.3. Autonomy and Aid

Normally it is thought that autonomy and aid are disproportionate to each other: the more the aid, the lesser the autonomy, the more the controls. Are autonomy and aid counterweighing or complementary? It is a universal fact that the hand which lends the help also pulls the strings. It is unavoidable to a certain extent. But the restrictions being imposed because of aid should be limited to utilization of funds out of the aid, that is, it should affect only financial autonomy of the institution and not the other aspects of its functioning, especially academic autonomy. For a higher educational

institution to show good results and grow in stature, it must have full academic autonomy irrespective of the quantum of aid it receives.

Higher education in India is heavily subsidized in terms of resources for inputs that includes human resource like faculty, support staff, laboratories/equipment, library/books and other physical infrastructure facilities like buildings (academic buildings, hostels, staff quarters, and others).

5.3.1. In Fully Aided Institutions

In fully aided institutions, it is natural that many aspects of their functioning will be regulated. Autonomy will be limited basically to academic autonomy.

5.3.2. In Partially Aided Institutions

Here also certain aspects of their functioning will be regulated, limited to the areas for which aid is provided.

5.4. Autonomy and Management

Does autonomy necessarily ensure better management? Self-financed colleges are not necessarily managed better. Is it that greater the autonomy, the better the management? Yes, provided autonomy is taken as self-regulated freedom and not as a license. Today, the higher education system has become a mismanaged business proposition. The analogy with business would be beneficial, if universities are managed with the same efficiency as business enterprises, minus the profit motive as education is essentially charitable in nature. Only autonomy manifesting itself in self-regulated freedom can change this situation.

5.5. Autonomy and Affiliated Institutions

Though an outmoded system, there are still a large number of institutions affiliated to a number of universities in

the country. In fact, the bulk of students in higher education still belong to affiliated colleges. And though many of them are now repositories of maladministration, inefficiency, indiscipline and lack of purpose and direction, some of them still serve the cause of higher education through high standards of teaching, learning, research, and extra-curricular activities. There is need to transform the best among them into autonomous institutions.

5.6. UGC Regulations for Autonomy

The UGC has the following Regulations for declaring colleges which meet certain criteria as Autonomous Colleges and for granting Graded Autonomy.

5.6.1. University Grants Commission (Conferment of Autonomous Status upon Colleges and Measures for Maintenance of Standards in Autonomous Colleges) Regulations, 2018

The Regulations provide

- (a) Role/terms and conditions of an autonomous college;
- (b) Role of the parent university (iii) Role of the state Government;
- (c) Eligibility;
- (d) Conferment/extension of autonomous status;
- (e) Criteria for granting autonomy to colleges;
- (f) Monitoring of autonomous colleges;
- (g) Matters regarding starting of new courses;
- (h) Examination cell & system;
- (i) Financial assistance;
- (j) Governance of an autonomous college;
- (k) Consequences of violation of regulations; and
- (l) Removal of difficulties.

5.6.2. University Grants Commission [Categorization of Universities (only) for Grant of Graded Autonomy] Regulations, 2018

The Regulations provide:

- (a) Framework for Categorization of Universities for Grant of Graded Autonomy;
- (b) Dimensions of Autonomy for Category-I Universities;
- (c) Dimensions of Autonomy for Category-II Universities;
- (d) Change in Category of Universities for non-maintenance of accreditation score or ranking;
- (e) Procedure for Categorization of Universities;
- (f) Change in parameters/requirements, if any, for eligibility under Category-I or Category-II of Universities; and
- (g) Graded Autonomy Regulations vis-a-vis other Regulations.

CHAPTER VI

HUMAN RESOURCE MANAGEMENT: TEACHERS, THEIR APPOINTMENTS, PROMOTIONS AND NORMS

6.1. The intensity of challenge

With 903 universities, more than 39050 Colleges and 10011 stand-alone institutions and 36.6 million students, higher education in India is the second largest in the world (MHRD, 2018). The gross enrolment ratio (GER) in higher education is 25.8 per cent and the country is in a stage of massification of higher education. Further, given the demographic profile and an expanding secondary level education, the growth potential of higher education in India is high. How will India provide quality teachers for an expanding system of higher education, is a major challenge. India has more than 12.84 lakh teachers in higher education. Most of the higher education teachers are at the level of Assistant Professors followed by Associate Professors and Professors. A majority (nearly 60 per cent) of teachers is male. At the all India level, there are only 72 female teachers per 100 male teachers, and it varies significantly among the States. The educationally advanced States have more female than male teachers while educationally less advanced States have only around 25 per cent female teachers. Many universities are facing acute shortage of teachers and teacher positions remain vacant for years. Consequently, the

Pupil Teacher Ratio (PTR) in some of universities and colleges is more than 50:1. The shortage of teachers in higher education is in both quantitative and qualitative terms.

The surplus /shortage of teachers is based on demand and supply factors. The demand for teachers is influenced by additional enrolment to the system, the number of study programmes offered and the replacement demand due to factors like resignation, retirement, and death. The supply of teachers to the system is influenced by the share of students pursuing post graduate and research degrees. The share of Master's level students to the total enrolment is around 11 per cent only. The corresponding share is less than 0.5 per cent in case of enrolment in research programmes. Further, teaching has not yet emerged as an attractive profession among youngsters despite higher salaries and better facilities offered to teachers in successive Pay Commission awards. To overcome the financial constraints or to curtail expenses and earn more profit, many institutions are recruiting adhoc, temporary and guest lecturers. However, these short term solutions go against the long term goal of providing quality higher education in India. Therefore, how to recruit and retain qualified talented teachers to the system is a major concern and it will continue to be a major problem in the coming years.

6.2. The Quest for Quality Teachers

Learning and employment outcomes of higher education graduates are highly influenced by quality of teachers and the teaching-learning process in the institutions of higher education. It is very difficult to identify and specify the attributes of good teachers, although all agree that domain knowledge and pedagogic skills are essential. In other words, a good teacher knows what to teach and how to teach (Stephenson, 2001). A good teacher is one who has excellent knowledge of the subject and can engage his/her class and communicate the knowledge effectively. The attributes of a good teacher are changing over

time because of the changes in the teaching-learning conditions and classroom practices. While traditionally teaching-learning process relied on course contents, textbooks, teachers and lectures, with the entry of technology-mediated learning process in the classrooms, the qualities demanded of the teachers are also changing.

Student learning, even today, depends to a large extent on the knowledge and skill of teachers. Teacher recruitment practice and teacher education are key factors influencing the quality of teachers. Thus, if the teacher recruitment process is corrected and made merit-based, the problem of poor quality of higher education can be resolved to a great extent.

Teaching, learning is an important aspect of good quality education and the teacher plays an important role in ensuring the quality of education. However, the new generation of students is more comfortable with digital technology. They rely on the internet and digital sources for information and are no longer fully dependent on teachers. Online transaction modes and virtual campuses offer alternatives to traditional modes of teaching. Teaching-learning is a social process of interaction, knowledge construction, and collaboration. Students thus interact with teachers online as well as through instant messaging, chat, audio and video conferencing.

Some of the qualities required in effective teaching reflect an individual's passion for the field while others can be developed through proper identification (recruitment) and training of prospective teachers (Varghese, Malik and Gautam, 2017). The UGC National Eligibility Test (NET) and State Eligibility Test (SET) and even having a Ph.D., does not necessarily mean that a pre-service aspiring teacher is equipped with teaching skills. What is needed is pre-service training and perhaps an orientation program before a person begin teaching.

The two factors challenging teaching-learning process are massification of higher education and increasing reliance on technology. The fast expansion and massification of the system in the recent past resulted in an increasing student diversity in

the campuses and classrooms which poses challenges to the traditional forms of teaching-learning process. Students from disadvantaged groups form the majority in many classrooms and many of them are first generation higher education learners, graduated from schools following regional languages as medium of instruction (Sabharwal and Malish, 2016).

Moreover Chetty, Friedman and Rockoff (2011) have studied value-added (VA) measures of teacher effectiveness and found that good teachers created substantial economic value and that test score impacts were helpful in identifying such teachers. They find evidence of fairly sizeable impact of teacher quality on adult learnings of their students.

6.3. Committees and Commissions on Teachers in Higher Education

6.3.1. Radhakrishnan Commission on Teacher Recruitment

The Radhakrishnan Commission (Ministry of Education, 1949) deliberated on the aims and objectives of university teaching and concluded that university teaching is for:

- a) transmission of the intellectual and ethical heritage of humanity to the young;
- b) enrichment of this heritage and extension of the boundaries of knowledge; and
- c) development of personality.

The Commission strongly believed in the central role of teachers in shaping minds and the fulfilment of these aims and objectives. According to the Commission, the teacher has to not merely transmit information to students but also to arouse their curiosity and to evoke the spirit of critical inquiry (Mathew, 2016). In order to do that, the Commission emphasised the importance of the teacher being regularly updated with the latest developments in the field and being a constant searcher for knowledge as well as a provider of knowledge. The teacher

should also instil moral and intellectual virtues in the students. According to the Commission “Quite a number of teachers are satisfied with repeating stereotyped information, which tends to devitalise teaching and to kill interest” (MOE, 1949).

Teacher performance and effectiveness of teaching is determined by classroom facilities, library facilities, laboratory facilities and opportunities to carry out research.

6.3.2. Kothari Commission on Teacher Recruitment

According to the Education Commission (GOI, 1966), it is necessary to conduct a search throughout the country for identifying and recruiting outstanding and promising young persons for teaching and research positions. The Commission recommended that each department or faculty should have a specially appointed personnel advisory committee, which would work in close collaboration with the appointing authorities of the university, to find faculty members in fields in which it is already distinguished or in which it seeks distinction (Mathew, 2016). Teachers should actively seek candidates for appointments doing a worldwide search and offer advance increments if necessary. They should be assured of research opportunities, opportunities for study leave and the possibility of achieving professional excellence. There should be flexibility in appointments and promotions. The Education Commission also recommended that the salaries of all teachers should be reviewed every five years and the dearness allowance paid to teachers should be the same as that paid to government servants with the same salary so that the disparity in the salary scales of university and college teachers is reduced.

The Commission made some of the following proposals:

- a) Every effort should be made to induce talented students from universities to join the teaching profession and to place a majority of them in universities and colleges, other than their own, so

that they can help to raise the standards. The UGC should maintain a central clearing-house agency for the purpose and supply data about these young scholars to universities and colleges together with information about available jobs.

- b) Universities and affiliated colleges should be encouraged, as far as possible, to pre-select their new teachers and attach them to the major universities for about a year, during which they will come into contact with some outstanding teachers in their own and allied fields. They will receive orientation towards their chosen profession and perhaps study schemes and techniques of research adopted there.

The Education Commission rightly believed that national reconstruction will depend on the quality and number of persons coming out of schools and colleges. In turn, the quality of education and its contribution to national development will be influenced by the competence and character of teachers.

6.3.3. Sen Committee on Teacher Recruitment

A Committee was set up under the chairmanship of S.N.Sen, Vice-Chancellor of Calcutta University, to prescribe the minimum qualifications for lecturers. The Committee submitted its report in 1974 in which it recommended new pay scales for teachers. The Sen Committee linked the issue of salaries to the improvement in the qualifications of teachers and noted that having a Master's degree alone was not enough for a lecturer. There should be teaching or research or advanced study qualifications beyond the postgraduate degree. The Sen Committee envisioned three methods of appointment of teachers in universities:

- (a) Open recruitment;
- (b) Open appointment after at least six years of service on the basis of outstanding work; and
- (c) Promotion after reaching the maximum limit provided by a scale.

The Commission recommended that each university should constitute its own selection committee with outside experts for selection of teachers, the constitution of which may be prescribed by the statutes. The recruitment to lecturers, readers and professors should be made on merit on the basis of all-India advertisement and selection. The Commission also held the view that no reservation should be made for Scheduled Castes and Tribes for appointment to the posts of teachers in universities and colleges. It introduced the idea of Professor of Eminence and recommended that they be paid salaries equivalent to that of directors of national laboratories. The Sen Committee also considered the recruitment of lecturers in affiliated colleges and suggested some alternatives. The first was a Joint University Commission to be set up by the state. The second was to be a University Committee. The third was to set up a college-based selection committee. The Sen Committee also examined avenues for promotion of teachers in universities and recommended that a lecturer or a reader who had completed six years of service and not only fulfilled the minimum qualifications but had also done outstanding work could offer himself/ herself for assessment by a duly constituted selection committee of the university. The candidate would be given the next scale if found suitable for promotion, as well as the rank. In case they were not found suitable, they could offer themselves again after a period of one year.

6.3.4. National Commission on Teacher Recruitment

The Report of the National Commission on Teachers in Higher Education (GOI, 1985) highlighted the fact that the teaching profession had come to lose its attraction for the brightest and the best, and that the time had come to reverse this trend. Some of the major recommendations of the Commission were that in order to attract talent to the teaching profession and to provide an opportunity to give its best to students and scholars, the living and working conditions throughout the country have to be improved. Therefore, the

Commission recommended that the salary scales, dearness allowance, promotional opportunities, working conditions as well as service conditions, particularly such as study leave and sabbatical leave must be uniform for the whole country, except for hardship allowances in difficult areas.

The Commission recommended a rigorous merit-based selection at the entry level into the teaching profession. It recommended an All India Test and only those who have obtained grade B+ in such a test on a seven point scale, should be eligible for consideration. There would be an advertisement and screening and the normal selection committees would make the selection. There should be three external experts, two of whom should form part of the quorum of the selection committee. Also, at least 25 per cent of appointments should be outside the concerned State to help in bringing people of different cultures/languages, to work together. The Commission was against prolonged adhoc and temporary appointments, because they cause both personal and institutional harm. Hence, they should be kept at the minimum level in numbers and duration.

6.3.5. The National Policy on Education (1986) (on Teacher Recruitment)

The National Policy on Education, 1986 (GOI, 1986), while discussing the various aspects of education, placed immense trust in the teaching community. Teacher competency, accountability, aptitude and favourable attitude to the profession are to be ensured before teacher training or recruitment takes place. The policy framework of The National Policy on Education (NPE) insists on recruitment of competent teachers and in-service training which could freshen them up once again. The National Policy on Education recommended that a sustained effort should be made to attract to the teaching profession a significant proportion of talented young men and women who leave the universities every year and to retain them as dedicated, enthusiastic and

contended teachers. From this point of view, the following programmes are to be developed:

- a) There should be minimum national scales of pay for university and college teachers. The existing wide gap between the salary scales for school and university (or college) teachers should be reduced;
- b) The conditions of work and service of teachers should be improved and should be uniform for teachers under different managements. Steps should be taken to ensure security of tenure to teachers and adequate residential facilities should be provided to teachers at all stages;
- c) Teachers' organisations should be encouraged and recognised. In each State, there should be an advisory council consisting of the representatives of the organisations of teachers, voluntary agencies conducting educational institutions and officers of the Education Department.
- d) The academic freedom of teachers to pursue and publish their studies and researches and to speak and write about significant national and international issues should be protected. Teachers should also be free to exercise all civil rights including the right to participate in elections; and when doing so, they should be entitled to and take leave of absence from their substantive posts.

6.3.6. Mehrotra Committee on Teacher Recruitment

The University Grants Commission constituted a Committee on December 24, 1983 under the Chairmanship of Professor R. C. Mehrotra, Professor Emeritus, Rajasthan University to examine the structure of emoluments and conditions of service of university and college teachers, taking into account the total package of benefits (such as superannuation/medical, housing and others) and to make recommendations on the above having regard to the

necessity of attracting and retaining talented persons in the teaching profession and providing professional advancement opportunities to teachers of universities and colleges (UGC, 1986). The Committee recommended the following minimum qualifications for the post of lecturer: Qualifying at the National Test conducted for the purpose by the UGC or any other agency approved by the UGC and master's degree with at least 55% marks or its equivalent grade and good academic record.

The National Eligibility Test (NET) was conceived as a result of the recommendations made by the Mehrotra Committee. The Committee recommended, among other things, the need for a national test for those with minimum qualifying marks at Masters' degree level for lectureship and research. Such a test was to be essentially conducted by the UGC or any other agency approved by UGC. The UGC introduced NET examinations from 1989 onwards. Although NET was made an eligibility qualification, those who obtained doctoral degrees were exempted from qualifying the NET examination. NET examinations continued with the incorporation of modifications recommended by committees at several points of time. The NET examinations are conducted twice a year, generally in June and in December. Lakhs of candidates appear for the test and very few, say around 6 per cent of those appear, pass the test. The NET examination is an eligibility test only. Those who qualify the test, are eligible to be considered for lectureship in any university or college.

6.3.7. Rastogi Committee on Teacher Recruitment

In 1994-95, the Commission appointed a Committee under the chairmanship of Professor R.P. Rastogi, former Vice-Chancellor of Banaras Hindu University, to review the pay scales of teachers in universities and colleges. The Committee was responsible for evaluating whether the earlier revision of pay scales for university and college teachers, Librarians, Directors of Physical Education and Registrars of universities had been implemented or not. The Committee was also to examine the

current structure of emoluments including superannuation benefits, medical, and housing facilities. Though the Rastogi Committee had been appointed for a one year term, its term was extended to May 31, 1997 to incorporate the recommendations of the Fifth Central Pay Commission. The Rastogi Committee recommended that for the recruitment of a lecturer, a good academic record, that is at least 55 percent marks at the master's level, together with qualifying in the National Eligibility Test or an equivalent accredited exam was essential as minimum qualification. The Committee proposed to grant exemption from NET to those with a Ph.D. degree.

6.3.8. Mungekar Committee on review of NET

The Mungekar Committee appointed by the Ministry of Human Resource Development (MHRD) in 2004 reviewed the NET and its implementation (MHRD, 2005). It elicited the views of Vice-Chancellors, Registrars, teachers and students on issues related to the NET. The Committee recommended that NET should be retained as a compulsory requirement for appointment of lecturers for both undergraduate and postgraduate levels, irrespective of the candidate possessing M.Phil. or Ph.D. degree.

6.3.9. CAFE Committee on Teacher Recruitment

Some of the key recommendations of the CAFE Committee on Autonomy of Higher educational institutions (MHRD, 2005) are as follows:

- a) Essential qualifications/eligibility laid down for the recruitment of teachers requires a relook. The condition of qualifying NET be done away with for Ph.D. holders.
- b) The periodic in-service training of teachers must be insisted upon. The scope for other training programmes apart from orientation and refresher courses must be taken into consideration for

appropriate placement in the Career Advancement Scheme.

6.3.10. Yaspal Committee on Teacher Recruitment

The Yashpal Committee (MHRD, 2009) highlighted the importance of teacher education. In its report, the Committee laid emphasis on the idea of a university, and advocated a number of major structural changes. According to the Committee's recommendations, it is necessary to enhance the quality of teacher education within higher education. While Academic Staff Colleges are providing refresher courses for faculty to acquire eligibility for promotion, the manner in which it is being fulfilled is unsatisfactory. Therefore, the Committee recommended that it is necessary to develop full-fledged orientation programmes for newly recruited teachers in colleges and universities. Such courses should orient teachers towards the proposed curriculum framework as well as to impart communication and assessment skills. The Report further goes on to say: "Higher education has lost a generation of academics due to the inability of universities to find place for their scholarship. The constraints from the funding agency had led universities to stop recruitment of faculty even on approved positions. Positions of retiring academics are lost. Retired academics are re-hired to teach and are paid meagrely for each session. This is indeed a national shame and not a strategy for developing higher education in the world's most promising country..." (MHRD, 2009).

6.3.11. MHRD Taskforce on Teacher Recruitment

A Task Force was appointed by the Ministry of Human Resource Development in September 2009 headed by Prof. Sanjay Dhande, Director IIT Kanpur, to examine the problem of teacher shortage both in technical and professional education as well as in university education and to make recommendations. The Task Force submitted its report in

2010 and recognized the problem of inadequate supply with demand on the rise. It was entrusted with the responsibility of developing a robust, objective, transparent and multisource Performance Appraisal System for the appraisal of faculty and meet with various regulatory bodies and universities. Due to the relatively unattractive nature of academic jobs, less number of outstanding persons were coming for teaching positions. Thus, institutions were managed with recruiting adhoc, temporary and guest faculty in place of permanent, regularly appointed faculty even where sanctioned posts existed. The solution was also skewed because some institutions faced acute scarcity, and others had enough number of faculty members.

The proliferation of private universities in higher education only aggravated the problem of faculty shortage. The situation was aggravated by the absence of a uniform, transparent and scientific system of regular performance appraisal of the work of teachers. There are court cases and legal injunctions, due to which posts lie vacant. Thus, based on the analysis of the data made available to the Task Force and the discussions held with the Heads of Regulatory Bodies, the Task Force made recommendations under four categories for reforms: Academic, Administrative, Financial and Miscellaneous.

Under Academic reforms, innovations and reforms have been made in the National Eligibility Test (NET) by introducing;

- (a) 100% online registration;
- (b) Automatic generation of centre-wise and subject-wise roll numbers;
- (c) Switching over to an objective type paper from the descriptive type of paper;
- (d) Allowing examinees to take home carbon copies of their answer sheets and uploading the scoring keys on the UGC website to allow examinees to self-score their papers; and;
- (e) Issue of e-Certificates with photo-identity of the candidates.

6.3.12. Narayana Murthy Committee on Teachers

The Narayana Murthy Committee (2012) recommended that in order to attract investment from the private sector, it was necessary to provide greater autonomy in financial, regulatory, academic and administrative issues as well as to make land available, provide infrastructure and connectivity. The visa regime should be made less strict to ensure greater faculty and student mobility, while having more collaboration with world class institutions. Moreover, the quality of higher educational institutions could be enhanced by a greater focus on research and its funding, sponsored Ph.D. programmes and part-time Ph.D. programs. Additionally, both working and retired human resources from the corporate sector could be employed to increase the faculty talent pool. Faculty who are experts in their areas could be invited to lend their knowledge and help growth of faculty in different fields (Sharma, 2013).

6.3.13. Pandit Madan Mohan Malaviya National Mission on Teachers and Teaching (PMMMNMTT) on Teachers

The PMMMNMTT, introduced in 2015, focuses on teacher development and research to improve the quality of higher education. The review of Committees and Commissions on teachers clearly shows the shifting emphasis on teacher development in India. Earlier committees focused on autonomy of higher educational institutions, academic freedom of teachers and the need for a system of attaching newly recruited teachers to a renowned Professor teaching in the same or another university. In the late 1980s, the attention was on evolving nationally acceptable system of teacher recruitment, resulting in the introduction of NET and orientation program of university teachers through Academic Staff Colleges. The recommendations of the committees argued for more systematic and regular professional development programs for teachers for enhancement of quality of teaching.

6.4. UGC Regulations on Minimum Qualifications Required for the Appointment and Career Advancement of Teachers in Universities and Institutions affiliated to it.

UGC Regulations have been prescribed from time to time to ensure the quality of teachers. The requirements for eligibility, recruitment and promotion have been made more transparent over the years. The UGC has laid down regulations and continues to strengthen them to prescribe the minimum qualifications for teachers and other academic staff at all levels (2000, 2010, 2011, 2013, 2016, 2018) and the minimum qualifications required for promotion through career advancement scheme.

This section includes the UGC Regulations that guide teacher recruitment practices in higher education in India. The Mehrotra Committee (UGC, 1986) recommended the following minimum qualifications for the post of lecturer: qualifying in the National Eligibility Test conducted for the purpose by the UGC or any other agency approved by the UGC and Master's degree with at least 55% marks or its equivalent grade and good academic record. Subsequent UGC Regulations have retained the National Eligibility Test (NET) requirement but have been changing the NET exemption.

According to the UGC Notification in 1998 and Regulation of 2000 regarding revision of pay scale and minimum qualification of teachers, the minimum requirement of 55% marks at Master's level shall not be insisted upon for those who are already in the university system (for Principals, Professors, Readers, Registrars, Deputy Registrars, Librarians, Deputy Librarians, Directors of Physical Education, Deputy Directors of Physical Education). The minimum requirement in their case shall be at least 50% of marks at Master's level. However, 55% of marks at Master's level should be insisted upon at the entry point of Lecturers, Assistant Registrars, Assistant Librarians and Assistant Directors of Physical Education. The minimum requirement of good academic record, 55% marks at

Master's level and qualifying in the NET, remain compulsory for the appointment of Lecturers. It is optional to exempt Ph.D. holders from NET or to require NET as a desirable or essential qualification for appointment as Lecturers in university departments and colleges.

In 2000, the UGC Guidelines stated "NET shall remain the compulsory requirement for appointment as Lecturer even for candidates having Ph.D. degree. However, the candidates who have completed M.Phil degree or have submitted Ph.D. thesis in the concerned subject upto 31st December, 1993 are exempted from appearing in the NET examination." should be replaced by "NET shall remain the compulsory requirement for appointment as Lecturer for those with post-graduate degree. However, the candidates having Ph.D. degree in the concerned subject are exempted from NET for PG level and UG level teaching. The candidates having M.Phil degree in the concerned subject are exempted from NET for UG level teaching only."

Thus NET remained the compulsory requirement for appointment as Lecturer even for candidates having Ph.D. However, the candidate who have completed M.Phil by 31st December, 1993 or have submitted Ph.D. thesis to the university in the concerned subject on or before 31st December, 2002 are exempt from appearing in the NET examination. In case such candidates fail to obtain Ph.D. degree, they shall have to pass the NET.

According to the 2010 UGC Regulations, developed by the UGC committee under Prof. S.P. Thyagarajan, the minimum requirements of a good academic record, 55% marks (or an equivalent grade in a point scale wherever grading system is followed) at the Master's level and qualifying in NET, or an accredited test (State Level Eligibility Test - SLET/SET), remained for the appointment of Assistant Professors. Those who are or have been awarded a Ph. D. Degree in accordance with the University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2009, were exempted from the requirement of the minimum

eligibility condition of NET/SLET/SET for recruitment and appointment as Assistant Professor or equivalent positions in universities / colleges / institutions. A minimum of 55% marks (or an equivalent grade in a point scale wherever grading system is followed) will be required at the Master's level for those recruited as teachers at any level from industries and research institutions and at the entry level of Assistant Professors, Assistant Librarians, Assistant Directors of Physical Education and Sports.

A relaxation of 5% may be provided at the Graduate and Master's level for the Scheduled Caste/Scheduled Tribe/Differently-abled (Physically and visually differently-abled) categories for the purpose of eligibility and for assessing good academic record during direct recruitment to teaching positions.

A relaxation of 5% may be provided, from 55% to 50% to Ph.D. degree holders, who have obtained their Master's degree prior to 19 September, 1991. Ph.D. shall be a mandatory qualification for the appointment of Professors and for promotion as Professors. The Ph.D. degree shall also be a mandatory qualification for all candidates to be appointed as Associate Professor through direct recruitment. The period of time taken by candidates to acquire M.Phil and/or Ph.D. degree shall not be considered as teaching/ research experience to be claimed for appointment to the teaching positions. UGC Regulations, 2010 for the first time introduced Academic Performance Indicator (API) system for appointment and promotion of teachers in universities and colleges.

According to the second amendment of UGC Regulations 2013, the overall selection procedure shall incorporate transparent, objective and credible methodology of analysis of the merits and credentials of the applicants based on weightages given to the performance of the candidate in different relevant dimensions and the performance on a scoring system proforma, based on the Academic Performance Indicators (API) as provided in the Regulations. API scores will

be used for screening purpose only and will have no bearing on expert assessment of candidates in Direct Recruitment/ Career Advancement Scheme (CAS). Universities could assess the teaching and/or research aptitude through a seminar or lecture in a class room situation or discussion on the capacity to use latest technology in teaching and research at the interview stage. These procedures can be followed for both direct recruitment and CAS promotions wherever selection committees are prescribed in these Regulations.

Universities shall adopt these Regulations for selection committees and selection procedures through their respective statutory bodies incorporating the Academic Performance Indicator (API) based Performance Based Appraisal System (PBAS) at the institutional level for university departments and their constituent colleges/ affiliated colleges (Government/ Government-aided/autonomous/private colleges) to be followed transparently in all selection processes. The universities may adopt the PBAS template proforma for direct recruitment and for CAS or may devise their own self-assessment cum performance appraisal forms for teachers. However universities shall not change any of the categories or scores of the API as given but they can increase the minimum required score or devise appropriate additional criteria for screening of candidates at any level of recruitment.

Category I: Teaching, Learning and Evaluation Related Activities

Based on the teacher's self-assessment, API scores are proposed for

- (a) teaching related activities;
- (b) domain knowledge;
- (c) participation in examination and evaluation;
- (d) contribution to innovative teaching, new courses and other criteria.

The minimum API score required by teachers from this category is 75. The self-assessment score should be

based on objectively verifiable criteria wherever possible and will be finalized by the screening/selection committee. Universities will be required to detail the activities and in case institutional specificities require, adjust the weightages, without changing the minimum total API scores required under this category.

Category II: Co-curricular, Extension, and Professional Development Related Activities

Based on the teacher's self-assessment, Category II API scores are proposed for professional development, co-curricular and extension activities and related contributions. The minimum API score required by teachers for eligibility for promotion is fixed. The self-assessment score is based on objectively verifiable records and finalized by the screening cum evaluation committee for the promotion of Assistant Professor to higher grades and by selection committee for the promotion of Assistant Professor to Associate Professor and Associate Professor to Professor and for direct recruitment of Associate Professor and Professor.

Category III: Research and Academic Contributions

Based on the teacher's self-assessment, API scores are proposed for research and academic contributions. The minimum API scores required for teachers from this category are different for different levels of promotion in universities and colleges. The self-assessment score is based on verifiable records and finalized by the screening cum evaluation committee for the promotion of Assistant Professor to higher grades and by Selection Committee for the promotion of Assistant Professor to Associate Professor and Associate Professor to Professor as also for direct recruitment of Associate Professor and Professor. The parameters listed in the table of Category-III (Research and Academic contributions) have the following capping in relation to the total API score claimed by the candidates:

- (a) Research papers (Journals) 30%
- (b) Research publications (Books) 25%
- (c) Research Projects 20%
- (d) Research Guidance 10%
- (e) Training Courses and Conferences/Seminars 15%

The National Eligibility Test (NET) or an accredited test (State Level Eligibility Test SET/SLET) remains the minimum eligibility for appointment of Assistant Professor and equivalent positions wherever provided in these Regulations. Those candidates who have been awarded Ph. D. in accordance with the University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulation, 2009 or University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016 and amendments subsequently shall be exempt from the requirement of the minimum eligibility condition of NET/SLET/SET for recruitment and appointment of Assistant Professor or equivalent positions in universities / colleges / institutions.

According to UGC Regulations (2018) on minimum qualification for appointment of teachers in universities and colleges, Ph.D. shall be a mandatory qualification for direct recruitment to the post of Assistant Professor in universities with effect from 01.07.2021.

6.5 Implementation of Reservation Policy in Higher Educational Institutions in Admissions and Appointment

- Government of India, MHRD order No.6-30/2005-U.5 dated 6th December, 2005, in exercise of the powers vested under Section 20(1) of the UGC Act, 1956, directed the UGC to ensure effective implementation of the reservation policy in the Central Universities and those institutions Deemed to be Universities which receive aid from the public

funds except in minority institutions under article 30(1) of the Constitution.

- In compliance of this direction of the Government, the UGC had issued guidelines vide letter No. F.1-5/2006(SCT) dated 25th August, 2006 to all Central Universities/Deemed to be Universities and State Universities for strict implementation of Reservation Policy in universities. Central Government has been issuing various instructions from time to time for implementing the Reservation Policy of the Government; and UGC being an autonomous statutory body, under the administrative control of the Ministry of Human Resource Development, under the directions from the Government, is strictly implementing the said instructions in all the grant-in-aid institutions.
- The Central Educational Institutions (Reservation in Admission) Act, 2006 came into force w.e.f. 4.1.2007. In pursuance of the MHRD directions, UGC circulated the said Act to all central educational institutions for its implementation. As per the CEI (Reservation in Admission) Act, 2006 read with the Central Educational Institutions (Reservation in Admission) Amendment Act, 2012, out of the annual permitted strength in each branch of study or faculty, 15% seats are to be reserved for Scheduled Castes, 7.5% for Scheduled Tribes and 27% for Other Backward Classes.
- In pursuance of the communication of Ministry of Social Justice and Empowerment dated 06.01.2017 forwarded by MHRD on 13th February, 2017 for circulation of copy of Gazette Notification regarding Rights of Persons with Disabilities Act, 2016, UGC vide its letter No.F.6-5/2017 (SCT) dated 7th April, 2017 implemented the Gazette Notification regarding Rights of

Persons with Disabilities Act, 2016 in all Central Universities, Deemed to be Universities and State Universities.

- This Act provides that all Government Institutions of higher education and other higher education institutions receiving aid from the Government shall reserve not less than five per cent seats for persons with benchmark disabilities. Further, in appointments in every Government university, not less than four per cent of the total number of vacancies in the cadre strength in each group of posts will be filled with persons with benchmark disabilities.
- Reservation for backward classes (SCs, STs and OBCs) is called vertical reservation and the reservation for categories such as persons with disabilities is called horizontal reservation. Horizontal reservation cut across vertical reservation (in what is called interlocking reservation) and persons selected against the quota for persons with benchmark disabilities have to be placed in the appropriate category viz. SC/ST/OBC/Unreserved, depending upon the category to which they belong in the roster meant for reservation of SCs/STs/OBCs.
- The University Grants Commission had issued instructions from time to time to all universities for (i) implementation of Scheduled Castes/ Scheduled Tribes/ Other Backward Classes/ Persons with Disabilities reservation policy of the Government / UGC (ii) display of reservation roster on university website and (iii) filling up of remaining identified backlog reserved vacancies of these categories in teaching and non-teaching posts.
- To ensure the proper implementation of reservation policy, the University Grants Commission has been

circulating orders received from the Government of India and instructions / directives from time to time, reminding the universities to adhere to the Government of India's policy regarding the reservation of SCs and STs, in admissions of students as well as or filling up of teaching and non-teaching posts, admission to hostels, and allotment of staff quarters and appointment of Liaison Officers in the universities.

- In compliance of various directives from MHRD/UGC, the universities have issued directives for all the colleges/institutions for appointment of Anti-discrimination Officer, Appointment of Liaison Officer (SCs/STs), Constitution of SC/ST Cell, Constitution of Grievance Redressal Committee.
- The Government of India and University Grants Commission (UGC) have also taken several initiatives to check the incidents of harassment and discrimination of all students and to safeguard their interests, including all disadvantaged groups, in higher educational institutions of the country which include formulation of UGC (Promotion of Equity in Higher Education Institutions) Regulations, 2012; UGC (Grievance Redressal), Regulations, 2012 and UGC (Redress of Grievance of Students) Regulations, 2019. These Regulations intend to give effect in letter and spirit to the statutory provisions and policies for prevention of discrimination on the grounds of caste, creed, religion, language, ethnicity, gender, disability. The Regulations also provide for setting up of Equal Opportunity Cells in each Higher Educational Institution. In order to make the universities /colleges more responsive to the needs and constraints of the disadvantaged social groups, the UGC is also giving financial assistance to all eligible colleges /universities to establish Equal

Opportunity Cell. The aim and objective of this Scheme is to oversee the effective implementation of policies and programmes for disadvantaged groups, to provide guidance and counseling with respect to academic, financial, social and other matters and to enhance the diversity within the campus.

- The UGC also provides financial assistance to establish the Centre for Study of Social Exclusion and Inclusive Policy to support focused research on the issue of social exclusion related to dalits, tribal and religious minorities. UGC has also established SC/STs Cells in various universities with a view to safeguarding the interest of SC/ST students
- The Ministry of Social Justice and Empowerment has issued an OM dated 17th January, 2019 regarding reservation for Economically Weaker Sections (EWSs) in civil posts and services in the Government of India and admission in educational institutions. Accordingly, in accordance with the provisions of the Constitution (One Hundred and Third Amendment) Act 2019, the Ministry of Human Resource Development issued instructions vide O.M.No.12-4/2019-U1 dated 17th January, 2019 for providing 10% reservation in admissions to the Economically Weaker Sections (EWS) from the academic year 2019-20, in the Central Educational Institutions without adversely affecting the proportionate seats of Scheduled Caste/ Scheduled Tribe and Other Backward Class categories. Additional seats shall be created over a period of two years.
- The Constitution (one hundred and third) Amendment Act, 2019 has enabled the State to extend various benefits, including admission in the educational institutions, to the EWS of the society who are not covered by any of the existing schemes

of reservation. Accordingly, UGC also instructed the all State Universities vide UGC letter No. 87-2/2019 (SU-I) dated 19th August, 2019 for implementation of reservation for Economically Weaker Sections from the academic year 2019-2020.

- In order to ensure protection of the rights of SCs, STs and OBCs in appointments, Central Educational Institutions (Reservation in Teachers' Cadre) Act 2019 has been notified on 12th July, 2019 to provide reservation of posts in direct recruitment in teachers' cadre in Central Educational Institutions by considering the university as a unit.

UGC is implementing the following schemes for the benefit of weaker sections of the Society

- (i) Residential Coaching Academies for Minorities / SC/ST and Women
- (ii) Establishment of Centres in universities for study of Social Exclusion and Inclusive Policy
- (iii) Establishment of Equal Opportunities Cells (EOCs)
- (iv) Establishment of Scheduled Caste and Scheduled Tribe Cells in universities
- (v) Coaching Schemes for Scheduled Castes/ Scheduled Tribes/OBC (non-creamy layer)/ Minorities
 - (i) Remedial Coaching at UG & PG level
 - (ii) Coaching for entry into services
 - (iii) Coaching for NET
- (vi) National Fellowship for Scheduled Caste Students (Formerly Rajiv Gandhi National Fellowship for SC Candidates)
- (vii) National Fellowship for Higher Education of Scheduled Tribe Students (Formerly Rajiv Gandhi National Fellowship for ST Candidates)

MHRD/UGC has issued many Acts/Regulations/Guidelines in this regard which, inter-alia, are detailed below:-

- (i) Guidelines for strict implementation of reservation policy – 2006
- (ii) Central Educational Institutions (Reservation in Admission) Act, 2006
- (iii) The UGC (Promotion of Equity in Higher Educational Institutions) Regulations, 2012
- (iv) The Scheduled Castes and Scheduled Tribes (Prevention of Atrocities) Amendment Ordinance, 2014
- (v) Central Educational Institutions (Reservation in Teachers' Cadre) Act, 2019

CHAPTER VII

FINANCIAL ADMINISTRATION NORMS, ACCOUNTS AND AUDIT RULES

One of the important responsibilities of a Higher Educational Institution, especially one which is fully or substantially funded by the Central/State Government, is to spend the funds judiciously and for the purpose for which they are granted. To help the institutions to utilize the funds properly, there are financial rules and procedures covering the entire gamut of issues relating to receipts, sanction of expenditure, fundamental principles of public buying, rate contracts, procurement and outsourcing of services, including e-procurement, and other allied matters.

The following is a compendium of Financial Administration Norms, Accounts and Audit Rules which are generally applicable to all types of HEIs in India. In case further information is needed, in any matter, the General Financial Rules (GFR), 2017 of the Government of India may be referred to for all Central Universities and Deemed to be Universities receiving funds from UGC/MHRD. The appropriate Financial Rules of the respective State Governments may have to be referred to for the State Universities and State Private Universities in the various States and Union Territories in India.

7.1 Salient General Financial Rules (GFR) as Applicable to HEIs

Rule 7

All moneys received by or on behalf of the Government either as dues of the Government or for deposit, remittance or otherwise, shall be brought into Government Account without delay, in accordance with such general or special rules as may be issued under Articles 150 and 283 (1) of the Constitution.

Standards of financial propriety

Rule 21

Every officer incurring or authorizing expenditure from public money should be guided by high standards of financial propriety. Every officer should also enforce financial order and strict economy and see that all relevant financial rules and regulations are observed by his/her own office and by subordinate disbursing officers. Among the principles on which emphasis is generally laid are the following:

- (i) Every officer is expected to exercise the same vigilance in respect of expenditure incurred from public moneys as a person of ordinary prudence would exercise in respect of expenditure of his own money.
- (ii) The expenditure should not be prima facie more than the occasion demands.
- (iii) No authority should exercise its powers of sanctioning expenditure to pass an order which will be directly or indirectly to its own advantage.
- (iv) Expenditure from public moneys should not be incurred for the benefit of a particular person or a section of the people, unless –
 - (a) a claim for the amount could be enforced in a Court of Law, or

- (b) the expenditure is in pursuance of a recognized policy or custom.

Expenditure from Public Funds

Rule 22

No authority may incur any expenditure or enter into any liability involving expenditure or transfer of money for investment or deposit from public funds (Consolidated Fund/Contingency Fund and the Public Accounts) unless the same has been sanctioned by a competent authority.

Provision of Funds for Sanction

Rule 25 (1)

All sanctions to the expenditure shall indicate the details of the provisions in the relevant grant or appropriation where from such expenditure is to be met.

Rule 25 (2)

All proposals for sanction to expenditure shall indicate whether such expenditure can be met by valid appropriation or re-appropriation.

Rule 25 (3)

In cases where it becomes necessary to issue a sanction to expenditure before funds are communicated, the sanction should specify that such expenditure is subjected to funds being communicated in the budget of the year.

Responsibility of losses

Rule 37

An officer shall be held personally responsible for any loss sustained by the Government through fraud or negligence

on his part. He will also be held personally responsible for any loss arising from fraud or negligence of any other officer to the extent to which it may be shown that he contributed to the loss by his own action or negligence. The departmental proceedings for assessment of responsibility for the loss shall be conducted.

Public Financial Management System (PFMS)

Rule 86

- a) Public Financial Management System (PFMS), an integrated Financial Management System of Controller General of Accounts, Government of India shall be used for sanction, preparation, bill processing, payment, receipt management, Direct Benefit Transfer, fund flow management and financial reporting.
- b) All grantee institutions shall submit Utilization Certificates on PFMS
- c) Implementing Agencies shall generate Electronic Utilization Certificate (E-UCs) on PFMS portal and submit them online. E-UCs shall be used to certify that money was actually utilized for the purpose for which it was sanctioned to eliminate the need for physical generation of UCs.
- d) Significant expenditure incurred with the object of acquiring tangible assets of a permanent nature (for use in the organization and not for sale in the ordinary course of business) or enhancing the utility of existing assets, shall broadly be defined as Capital expenditure. Subsequent charges on maintenance, repair, upkeep and working expenses, which are required to maintain the assets in a running order as also all other expenses incurred for the day to day running of the organization, including establishment and administrative expenses, shall be classified as Revenue expenditure. Capital and

Revenue expenditure shall be shown separately in the Accounts. Expenditure on a temporary asset or on grants-in-aid cannot ordinarily be considered as a capital expenditure and shall not, except in cases specifically authorized by the President on the advice of the Comptroller and Auditor General of India, be debited to a Capital Head.

Original works

Rule 130

Original works means all new constructions, site preparation, additions and alterations to existing works, special repairs to newly purchased or previously abandoned buildings or structures, including remodeling or replacement. Minor works mean works which add capital value to existing assets but do not create new assets.

Repair works means works undertaken to maintain building and fixtures. Works will also include services or goods incidental or consequential to the original or repair works.

Rule 131

Administrative control of works includes:

- (i) Assumption of full responsibility for construction, maintenance and upkeep;
- (ii) Proper utilization of buildings and allied works;
- (iii) Provision of funds for execution of these functions.

Powers to Sanction Works

Rule 132

The powers delegated to various subordinate authorities to accord administrative approval, sanction expenditure and re-appropriate funds for works are regulated by the Delegation of Financial Powers, Rules, and other orders contained in the respective departmental regulations.

Rule 133 (1)

A Ministry or Department at its discretion may directly execute repair works estimated to cost up to Rupees Thirty Lakhs after following due procedure indicated in Rule 139, 159 & 160.

Rule 133 (2)

A Ministry or Department may, at its discretion, assign repair works estimated to cost above Rupees thirty lakhs and original/minor works of any value to any Public Works Organization (PWO) such as Central Public Works Department (CPWD), State Public Works Department, other Central Government organizations authorized to carry out civil or electrical works such as Military Engineering Service (MES), Border Roads Organization (BRO), or construction wings of Ministries and Departments like the these of Railways, Defence, Environment & Forests, Information & Broadcasting and Departments of Posts, Space and others.

Rule 133 (3)

As an alternative to 133(2), a Ministry or Department may award repair works estimated to cost above Rupees thirty lakhs and original works of any value to:

- (i) any Public Sector Undertaking set up by the Central or State Government to carry out civil or electrical works or
- (ii) to any other Central / State Government organization /PSU which may be notified by the Ministry of Urban Development (MoUD) for such purpose after evaluating their financial strength and technical competence.

For the award of work under this sub-rule, the Ministry/ Department shall ensure competition among such PSUs / Organizations. This competition shall be essentially on the lump sum service charges to be claimed for execution of work.

In exceptional cases, for award of work under (i) and (ii) mentioned above, on nomination basis, the conditions contained in Rule 194 would apply. The work under these circumstances shall also be awarded only on the basis of lump sum service charge.

Work Under the Administrative Control of the Public Works Departments

Rule 134

Works not specifically allotted to any Ministry or Department shall be included in the grants for Civil Works to be administered by Central Public Works Department. No such work may be financed partly from funds provided in departmental budget and partly from the budget for civil works as mentioned above.

General Rules

Rule 135 (1)

Subject to the observance of these general rules, (including Rule 144) the initiation, authorization and execution of works allotted to a particular Ministry or Department shall be regulated by detailed rules and orders contained in the respective departmental regulations and by other special orders applicable to them.

Rule 135 (2)

Ministry or Department shall put in place, as far as possible, empowered project teams for all large value projects and these teams should be tasked only with project execution and not given other operational duties.

Rule 136 (1)

- (i) No works shall be commenced or liability incurred in connection with it until:

- (ii) Administrative approval has been obtained from the appropriate authority in each case.
- (iii) Sanction to incur expenditure has been obtained from the competent authority.
- (iv) A properly detailed design has been sanctioned; while designing the projects, principles of life cycle cost may also be considered.
- (v) Estimates containing the detailed specifications and quantities of various items have been prepared on the basis of the Schedule of Rates maintained by CPWD or other Public Works Organizations and sanctioned.
- (vi) Funds to cover the charge during the year have been provided by competent authority.
- (vii) Tenders invited and processed in accordance with rules;
- (viii) A work order issued.

Rule 136 (2)

On grounds of urgency or otherwise, if it becomes necessary to carry out a work or incur a liability under circumstances when the provisions set out under sub rule 1 of rule 136 cannot be complied with, the concerned executive officer may do so on his own judgment and responsibility. Simultaneously, he should initiate action to obtain approval from the competent authority.

Fundamental Principles of Public Buying (for all procurements including procurement of works)

Rule 144

Every authority delegated with the financial powers of procuring goods in public interest shall have the responsibility and accountability to bring efficiency, economy, and transparency in matters relating to public procurement and

for fair and equitable treatment of suppliers and promotion of competition in public procurement. The procedure to be followed in making public procurement must conform to the following yardsticks:

- (i) The description of the subject matter of procurement to the extent practicable should:
 - a) be objective, functional, generic and measurable and specify technical, qualitative and performance characteristics;
 - b) not indicate a requirement for a particular trade mark, trade name or brand.
- (ii) The specifications in terms of quality, type and other as also the quantity of goods to be procured, should be clearly spelt out keeping in view the specific needs of the procuring organizations. The specifications so worked out should meet the basic needs of the organization without including superfluous and non-essential features, which may result in unwarranted expenditure.
- (iii) Where applicable, the technical specifications shall, to the extent practicable, be based on the national technical regulations or recognized national standards or building codes, wherever such standards exist, and in their absence, be based on the relevant international standards. In case of Government of India funded projects abroad, the technical specifications may be framed based on requirements and standards of the host beneficiary government, where such standards exist. Provided that a procuring entity may, for reasons to be recorded in writing, adopt any other theoretical specification.
- (iv) Care should also be taken to avoid purchasing quantities in excess of requirement to avoid inventory carrying costs.

- (v) Offers should be invited following a fair, transparent and reasonable procedure.
- (vi) The procuring authority should be satisfied that the selected offer adequately meets the requirement in all respects.
- (vii) The procuring authority should satisfy itself that the price of the selected offer is reasonable and consistent with the quality required.
- (viii) At each stage of procurement the concerned procuring authority must place on record, in precise terms, the considerations which weighed with it while taking the procurement decision.
- (ix) A complete schedule of procurement cycle from date of issuing the tender to date of issuing the contract should be published when the tender is issued.
- (x) All Ministries/Departments shall prepare Annual Procurement Plan before the commencement of the year and the same should also be placed on their website.

Rate Contract

Rule 148

DGS&D shall conclude rate contracts with the registered suppliers for such goods, which are not available on Government e-Marketplace (GeM), and are identified as common use items and are needed on recurring basis by various Central Government Ministries or Departments. DGS&D will furnish and update all the relevant details of the rate contracts on its website. The Ministries or Departments shall follow those rate contracts to the maximum extent possible.

Government e-Market place (GeM)

Rule 149

DGS&D or any other agency authorized by the Government will host an online Government e-Marketplace

(GeM) for common use Goods and Services. DGS&D will ensure adequate publicity including periodic advertisement of the items to be procured through GeM for the prospective suppliers. The Procurement of Goods and Services by Ministries or Departments will be mandatory for Goods or Services available on GeM. The credentials of suppliers on GeM shall be certified by DGS&D. The procuring authorities will certify the reasonability of rates. The GeM portal shall be utilized by the Government buyers for direct on-line purchases as under:

- (i) Up to ₹50,000/- through any of the available suppliers on the GeM, meeting the requisite quality, specification and delivery period.
- (ii) Above ₹50,000/- and up to ₹30,00,000/- through the GeM seller having the lowest price amongst the available sellers of at least three different manufacturers on GeM, meeting the requisite quality, specification and delivery period. The tools for online bidding and online reverse auction available on GeM can be used by the buyer if decided by the competent authority.
- (iii) Above ₹30,00,000/- through the supplier having lowest price meeting the requisite quality, specification and delivery period after mandatorily obtaining bids, using online bidding or reverse auction tool provided on GeM.
- (iv) The invitation for the online e-bidding/ reverse auction will be available to all the existing sellers or other sellers registered on the portal and who have offered their goods/services under the particular product/service category, as per terms and conditions of GeM.
- (v) The above mentioned monetary ceiling is applicable only for purchases made through GeM. For purchases, if any, outside GeM, relevant GFR Rules shall apply.

- (vi) The Ministries/Departments shall work out their procurement requirements of Goods and Services on either “OPEX” model or “CAPEX” model as per their requirement/ suitability at the time of preparation of Budget Estimates (BE) and shall project their Annual services on GeM portal within 30 days of Budget approval.
- (vii) The government buyers may ascertain the reasonableness of prices before placement of order using the Business Analytics (BA) tools available on GeM including the Last Purchase Price on GeM, Department’s own Last Purchase Price and other parameters.
- (viii) A demand for goods shall not be divided into small quantities to make piecemeal purchases to avoid procurement through L-1 buying / bidding / reverse auction on GeM or the necessity of obtaining the sanction of higher authorities required with reference to the estimated value of the total demand.

Registration of Suppliers

Rule 150

With a view to establishing reliable sources for procurement of goods commonly required for government use, the Central Purchase Organization (e.g. DGS&D) will prepare and maintain item-wise lists of eligible and capable suppliers. Such approved suppliers will be known as “Registered Suppliers”.

All Ministries or Departments may utilize these lists as and when necessary. Such registered suppliers are prima facie eligible for consideration for procurement of goods through Limited Tender Enquiry. They are also ordinarily exempt from furnishing bid security along with their bids. A Head of Department may also register suppliers of goods which are specifically required by that Department or Office, periodically. Registration of the supplier should be done following a fair,

transparent and reasonable procedure and after giving due publicity:

- (i) Credentials, manufacturing capability, quality control systems, past performance, after-sales service, and financial background of the supplier(s) should be carefully verified before registration.
- (ii) The supplier(s) will be registered for a fixed period (between 1 to 3 years) depending on the nature of the goods. At the end of this period, the registered supplier(s) willing to continue with registration are to apply afresh for renewal of registration. New supplier(s) may also be considered for registration at any time, provided they fulfil all the required conditions.
- (iii) Performance and conduct of every registered supplier is to be watched by the concerned Ministry or Department. The registered supplier(s) is liable to be removed from the list of approved suppliers if they fail to abide by the terms and conditions of the registration or fail to supply the goods on time or supply substandard goods or make any false declaration to any government agency or for any ground which, in the opinion of the Government, is not in public interest.
- (iv) The list of registered suppliers for the subject matter of procurement be exhibited on the Central Public Procurement Portal and websites of the Procuring Entity/ e-Procurement/ portals.

Purchase of goods without quotation

Rule 154

Purchase of goods up to the value of ₹ 25,000/- (Rupees twenty five thousand only) on each occasion may be made without inviting quotations or bids on the basis of a certificate to be recorded by the competent authority in the following

format. "I am personally satisfied that these goods purchased are of the requisite quality and specification and have been purchased from a reliable supplier at a reasonable price."

Purchase of goods by Purchase Committee

Rule 155

Purchase of goods costing above ₹ 25,000 (Rupees twenty five thousand only) and upto ₹2,50,000/-(Rupees two lakh and fifty thousand only) on each occasion may be made on the recommendations of a duly constituted Local Purchase Committee consisting of three members of an appropriate level as decided by the Head of the Department. The committee will survey the market to ascertain the reasonableness of the rate, quality and specifications and identify the appropriate supplier. Before recommending placement of the purchase order, the members of the committee will jointly record a certificate as under: "Certified that we, members of the purchase committee are jointly and individually satisfied that the goods recommended for purchase are of the requisite specification and quality, priced at the prevailing market rate and the supplier recommended is reliable and competent to supply the goods in question, and is not debarred by Department of Commerce or Ministry/Department concerned."

Purchase of Goods Directly Under Rate Contract

Rule 156 (1)

In case a Ministry or Department directly procures Central Purchase Organization (e.g. DGS&D) rate contracted goods from suppliers, the price to be paid for such goods shall not exceed that stipulated in the rate contract and the other salient terms and conditions of the purchase should be in line with those specified in the rate contract. The Ministry or Department shall make its own arrangement for inspection and testing of such goods where ever required.

Rule 156 (2)

The Central Purchase Organization (e.g. DGS&D) should host the specifications, prices and other salient details of different rate contracted items, appropriately updated, on the web site for use by the procuring Ministry or Department.

Purchase of goods by obtaining bids

Rule 158

Except in cases covered under Rule 154,155, and 156(1), Ministries or Departments shall procure goods under the powers referred to in Rule 140 above by following the standard method of obtaining bids:

- (i) Advertised Tender Enquiry
- (ii) Limited Tender Enquiry
- (iii) Two-Stage Bidding
- (iv) Single Tender Enquiry
- (v) Electronic Reverse Auctions.

E-Publishing

Rule 159

- (i) It is mandatory for all Ministries/Departments of the Central Government, their attached and Subordinate Offices and Autonomous/Statutory Bodies to publish their tender enquiries, corrigenda thereon and details of bid awards on the Central Public Procurement Portal (CPPP).
- (ii) Individual cases where confidentiality is required, for reasons of national security, would be exempted from the mandatory e-publishing requirement. The decision to exempt any case on the said grounds should be approved by the Secretary of the Ministry/Department with the concurrence of the concerned Financial Advisor. In case of Autonomous Bodies and Statutory Bodies' approval

of the Head of the Body with the concurrence of the Head of the Finance should be obtained in each such case. Statistical information on the number of cases in which exemption was granted and the value of the concerned contract should be intimated on a quarterly basis to the Ministry of Finance, Department of Expenditure.

- (iii) The above instructions apply to all tender Enquiries, Requests for Proposals, Requests for Expressions of Interest, Notice for pre-Qualification/Registration or any other notice inviting bids or proposals in any form whether they are advertised, issued to limited number of parties or to a single party.
- (iv) In the case of procurements made through DGS&D Rate Contracts or through any other Central Procurement Organizations (CPOs) only award details need to be published.
 - (i) These instructions would not apply to procurements made in terms of provisions of Rules 154 (Purchase of goods without quotations) or 155 (Purchase of goods by purchase committee) of General Financial Rules.

e-Procurement

Rule 160

- (i) It is mandatory for Ministries/Departments to receive all bids through e- procurement portals in respect of all procurements.
- (ii) Ministries/ Departments which do not have a large volume of procurement or carry out procurements required only for day-to-day running of offices and also have not initiated procurement through any other solution provided so far, may use e-procurement solution developed by NIC.

Other Ministries/ Departments may either use e-procurement solution developed by NIC or engage any other service provider following due process.

- (iii) These instructions will not apply to procurements made by Ministries /Departments through DGS&D Rate Contracts.
- (iv) In individual case where national security and strategic considerations demand confidentiality, Ministries/Departments may exempt such cases from e-procurement after seeking approval of the concerned Secretary and with concurrence of Financial Advisers.
- (v) In case of tenders floated by Indian Missions abroad, the Competent Authority to decide the tender may exempt such cases from e-Procurement.

Transparency, Competition, Fairness and Elimination of Arbitrariness in the Procurement Process

Rule 173

All government purchases should be made in transparent, competitive and fair manner, to secure best value for money. This will also enable the prospective bidders to formulate and send their competitive bids with confidence. Some of the measures for ensuring the above are as follows:

- (i) The text of the bidding document should be self-contained and comprehensive without any ambiguities. All essential information which a bidder needs for sending responsive bid, should be clearly spelt out in the bidding document in simple language. The condition of prior turnover and prior experience may be relaxed for Startups (as defined by Department of Industrial Policy and Promotion) subject to meeting of quality & technical specifications and making suitable provisions in the bidding document. The bidding document should contain, inter alia:

- (a) Description and Specifications of goods including the nature, quantity, time and place or places of delivery.
 - (b) The criteria for eligibility and qualifications to be met by the bidders such as minimum level of past experience, technical capability, manufacturing facilities and financial position or limitation for the participation of the bidders, if any.
 - (c) Eligibility criteria for goods indicating any legal restrictions or conditions about the origin of goods which may require to be met by the successful bidder.
 - (d) The procedure as well as date, time and place for sending the bids.
 - (e) Date, time and place of opening of the bid.
 - (f) Criteria for evaluation of bids.
 - (g) Special terms affecting performance, if any.
 - (h) Essential terms of the procurement contract;
 - (i) Bidding Documents should include a clause that “if a firm quotes NIL charges /consideration, the bid shall be treated as unresponsive and will not be considered.”
- (ii) Any other information which the procuring entity considers necessary for the bidders to submit their bids.
- (iii) Modification to bidding document:
- (a) In case any modification is made to the bidding document or any clarification is issued which materially affects the terms contained in the bidding document, the procuring entity shall publish or communicate clarification in the same manner as the publication or communication of the initial bidding document was done.

- (b) In case a clarification or modification is issued to the bidding document, the procuring entity shall, before the last date for submission of bids, extend such time limit, if, in its opinion more time is required by bidders to take into account the clarification or modification, as the case may be, while submitting their bids.
- (c) Any bidder who has submitted his bid in response to the original invitation shall have the opportunity to modify or resubmit it, as the case may be, or withdraw such bid in case the modification to bidding document materially affects the essential terms of the procurement, within the period initially allotted or such extended time as may be allowed for submission of bids, after the modifications are made to the bidding document by the procuring entity: Provided that the bid last submitted or the bid as modified by the bidder shall be considered for evaluation.
- (iv) Suitable provision should be kept in the bidding document to enable a bidder to question the bidding conditions, bidding process and/ or rejection of its bid. The reasons for rejecting a tender or non-issuing a tender document to a prospective bidder must be disclosed where enquiries are made by the bidder.
- (v) Suitable provision for settlement of disputes, if any, emanating from the resultant contract, should be kept in the bidding document.
- (vi) The bidding document should indicate clearly that the resultant contract will be interpreted under Indian Laws.
- (vii) The bidders should be given reasonable time to prepare and send their bids.
- (viii) The bids should be opened in public and authorized representatives of the bidders should be permitted to attend the bid opening.

- (ix) The specifications of the required goods should be clearly stated without any ambiguity so that the prospective bidders can send meaningful bids. In order to attract sufficient number of bidders, the specification should be broad based to the extent feasible.
- (x) Pre-bid conference: In case of turnkey contract(s) or contract(s) of special nature for procurement of sophisticated and costly equipment or wherever felt necessary, a suitable provision is to be kept in the bidding documents for one or more rounds of pre-bid conference for clarifying issues and clearing doubts, if any, about the specifications and other allied technical details of the plant, equipment and machinery projected in the bidding document. The date, time and place of pre-bid conference should be indicated in the bidding document. This date should be sufficiently ahead of the bid opening date. The records of such conference shall be intimated to all bidders and shall also be exhibited on the website(s) where tender was published.
- (xi) Criteria for determining responsiveness are to be taken into account for evaluating the bids such as:
 - (a) time of delivery
 - (b) Performance/ efficiency /environmental characteristics
 - (c) the terms of payment and of guarantees in respect of the subject matter of procurement price
 - (d) cost of operating, maintaining and repairing
- (xii) Bids received should be evaluated in terms of the conditions already incorporated in the bidding documents. No new condition which was not incorporated in the bidding documents should be brought in for evaluation of the bids. Determination of a bid's responsiveness should be based on the

contents of the bid itself without recourse to extrinsic evidence.

- (xiii) Bidders should not be permitted to alter or modify their bids after expiry of the deadline for receipt of bids.
- (xiv) Negotiation with bidders after bid opening must be severely discouraged. However, in exceptional circumstances where price negotiation against an ad-hoc procurement is necessary due to some unavoidable circumstances, the same may be resorted to only with the lowest evaluated responsive bidder.
- (xv) In the Rate Contract system, where a number of firms are brought on Rate Contract for the same item, negotiation as well as counter offering of rates is permitted to the bidders and for this purpose special permission has been given to the Directorate General of Supplies and Disposals (DGS&D).
- (xvi) Contract should ordinarily be awarded to the lowest evaluated bidder whose bid has been found to be responsive and who is eligible and qualified to perform the contract satisfactorily as per the terms and conditions incorporated in the corresponding bidding document. However, where the lowest acceptable bidder against ad-hoc requirement is not in a position to supply the full quantity required, the remaining quantity, as far as possible, be ordered from the next higher responsive bidder at the rates offered by the lowest responsive bidder.
- (xvii) Procurement of Energy Efficient Electrical Appliances: Ministries/Departments while procuring electrical appliances notified by Department of Expenditure shall ensure that they carry the notified threshold or higher Star Rating of Bureau of Energy Efficiency (BEE).

- (xviii) The name of the successful bidder awarded the contract should be mentioned in the CPPP, Ministries or Departments website and their notice board or bulletin;
- (xix) Rejection of all Bids is justified when:
- (a) Effective competition is lacking;
 - (b) All bids and proposals are not substantially responsive to the requirements of the Procurement Documents;
 - (c) The Prices of Bids'/Proposals' are substantially higher than the updated cost estimate or available budget; or
 - (d) None of the technical proposals meet the minimum technical qualifying score.
- (xx) Lack of competition in rule 173(xx) shall not be determined solely on the basis of the number of bidders. Even when only one bid is submitted, the process may be considered valid provided the following conditions are satisfied:
- (a) The procurement was satisfactorily advertised and sufficient time was given for submission of bids.
 - (b) The qualification criteria were not unduly restrictive. and,
 - (c) Prices are reasonable in comparison to market values.
- (xxi) When a limited or open tender results in only one effective offer, it shall be treated as a single tender contract.
- (xxii) In case a purchase Committee is constituted to purchase or recommend the procurement, no member of the Purchase Committee should be reporting directly to any other member of such Committee in case the estimated value of the procurement exceeds ₹ 25 lakhs.

Efficiency, Economy and Accountability in Public Procurement System.

Rule 174

Public procurement procedure should ensure efficiency, economy and accountability in the system. To achieve the same, the following keys areas should be addressed:

- (i) To reduce delay, appropriate time frame for each stage of procurement should be prescribed by the Ministry or Department.
- (ii) To minimize the time needed for decision making and placement of contract, every Ministry/Department, with the approval of the competent authority may delegate, wherever necessary, appropriate purchasing powers to the lower functionaries.
- (iii) The Ministries or Departments should ensure placement of contract within the original validity of the bids. Extension of bid validity must be discouraged and resorted to only in exceptional circumstances.
- (iv) The Central Purchase Organization (e.g. DGS&D) should bring into the Rate Contract system more and more common user items which are frequently needed in bulk by various Central Government Departments. The Central Purchase Organization (e.g. DGS&D) should also ensure that the Rate Contracts remain available without any break.

Code of Integrity

Rule 175 (1)

No official of a procuring entity or a bidder shall act in contravention of the codes which include:

- (i) Prohibition of
 - (a) making offer, solicitation or acceptance of bribe, reward or gift or any material benefit, either directly or indirectly, in exchange for an

- unfair advantage in the procurement processor to otherwise influence the procurement process;
- (b) any omission, or misrepresentation that may mislead or attempt to mislead so that financial or other benefit may be obtained or an obligation avoided;
 - (c) any collusion, bid rigging or anti competitive behavior that may impair the transparency, fairness and the progress of the procurement process;
 - (d) improper use of information provided by the procuring entity to the bidder with an intent to gain unfair advantage in the procurement process or for personal gain;
 - (e) any financial or business transactions between the bidder and any official of the procuring entity related to tender or execution process of contract; which can affect the decision of the procuring entity directly or indirectly;
 - (f) any coercion or any threat to impair or harm, directly or indirectly, any party or its property to influence the procurement process;
 - (g) obstruction of any investigation or auditing of a procurement process;
 - (h) making false declaration or providing false information for participation in a tender process or to secure a contract;
- (ii) Disclosure of conflict of interest;
 - (iii) Disclosure by the bidder of any previous transgressions made in respect of the provisions of sub-clause (i), with any entity in any country during the last three years or of being debarred by any other procuring entity.

Rule 175 (2):

If the procuring entity, after giving a reasonable opportunity of being heard, comes to the conclusion that a bidder or a prospective bidder, as the case may be, has contravened the code of integrity, may take appropriate measures.

7.1. PROCUREMENT OF SERVICES

7.1.1. CONSULTING SERVICES

Rule 177:

“Consulting Service” means any subject matter of procurement which, as distinguished from ‘Non- Consultancy Services’, involves primarily non-physical project-specific, intellectual and procedural processes where outcomes/deliverables would vary from one consultant to another other than goods or works, except those incidental or consequential to the service, and includes professional, intellectual, training and advisory services or any other service classified or declared as such by a procuring entity but does not include direct engagement of a retired government servant. Note: These Services typically involve providing expert or strategic advice e.g., management consultants, policy consultants, communications consultants, advisory and project related consulting services which include feasibility studies, project management, engineering services, finance, accounting and taxation services, training and development and others allied services.

Rule 178:

The Ministries or Departments may hire external professionals, consultancy firms or consultants (referred to as consultant hereinafter) for a specific job, which is well-defined in terms of content and time frame for its completion.

Identification of Services required to be performed by Consultants

Rule 180

Engagement of consultants may be resorted to institutions requiring high quality services for which the concerned Ministry/Department does not have requisite expertise. Approval of the competent authority should be obtained before engaging consultant(s).

Preparation of scope of the required Consultant (s)

Rule 181

The Ministries /Departments should prepare in simple and concise language the requirement, objectives and the scope of the assignment. The eligibility and prequalification criteria to be met by the consultants should also be clearly identified at this stage.

Estimating reasonable expenditure

Rule 182

The Ministry or Department proposing to engage consultant(s) should estimate reasonable expenditure for the same by ascertaining the prevalent market conditions and consulting other organizations engaged in similar activities.

Identification of likely sources

Rule 183

- (i) Where the estimated cost of the consulting service is up to Rupees twenty-five lakhs, preparation of a long list of potential consultants may be done on the basis of formal or informal enquiries from other Ministries or Departments or Organizations involved in similar activities likes Chambers of

Commerce & Industry, Association of consultancy firms and others.

- (ii) Where the estimated cost of the consulting services is above Rupees twenty-five lakhs, in addition to (i), an enquiry for seeking 'Expression of Interest' from consultants should be published on Central Public Procurement Portal (CPPP) at www.eprocure.gov.in and on GeM.

An organization having its own website should also publish all its advertised tender enquiries on the website. Enquiry for seeking Expression of Interest should include in brief, the broad scope of work or service, for which inputs should be provided by the concerned Ministry or Department, eligibility and the pre-qualification criteria to be met by the consultant(s) and consultant's past experience in similar work or service. The consultants may also be asked to send their comments on the objectives and scope of the work or service projected in the enquiry. Adequate time should be allowed for getting responses from interested consultants.

Shortlisting of Consultants

Rule 184

On the basis of responses received from the interested parties as per Rule 183 above, consultants meeting the requirements should be short listed for further consideration. The number of short listed consultants should not be less than three.

Preparation of Terms of Reference (TOR)

Rule 185

The TOR should include

- (i) Precise statement of objectives.
- (ii) Outline of the tasks to be carried out.
- (iii) Schedule for completion of tasks.

- (iv) The support or inputs to be provided by the Ministry or Department to facilitate the consultancy.
- (v) The final outputs that will be required of the Consultant

Preparation and Issue of Request for Proposal (RFP)

Rule 186

RFP is the document to be used by the Ministry/ Department for obtaining offers from the consultants for the required service. The RFP should be issued to the shortlisted consultants to seek their technical and financial proposals. The RFP should contain:

- (i) A letter of Invitation
- (ii) Information to Consultants regarding the procedure for submission of proposal.
- (iii) Terms of Reference (TOR).
- (iv) Eligibility and pre qualification criteria in case the same has not been ascertained through Enquiry for Expression of Interest.
- (v) List of key position whose CV and experience would be evaluated.
- (vi) Criteria for evaluation of bids and selection procedure.
- (vii) Standard formats for technical and financial proposal.
- (viii) Proposed contract terms.
- (ix) Procedure proposed to be followed for midterm review of the progress of the work and review of the final draft report.

Receipt and opening of proposals

Rule 187

Proposals should ordinarily be asked from consultants in 'Two Bid' system with technical and financial bids sealed

separately. The bidder should put these two sealed envelopes in a bigger envelop duly sealed and submit the same to the concerned Ministry or Department by the specified date and time at the specified place. On receipt, the technical proposals should be opened first by the Ministry or Department at the specified date, time and place.

Late Bids

Rule 188

Late bids i.e. bids received after the specified date and time of receipt should not be considered.

Evaluation of Technical Bids

Rule 189

Technical bids should be analyzed and evaluated by a Consultancy Evaluation Committee (CEC) constituted by the Ministry or Department. The CEC shall record in detail the reasons for acceptance or rejection of the technical proposals analyzed and evaluated by it.

Evaluation of Financial Bids of the Technically Qualified Bidders

Rule 190

The Ministry or Department shall open the financial bids of only those bidders who have been declared technically qualified by the Consultancy Evaluation Committee as per Rule 189 for further analysis or evaluation and ranking, and for selecting the successful bidder for placement of the consultancy contract.

Methods of Selection/ Evaluation of Consultancy Proposals

Rule 191

The basis of selection of the consultant shall follow any of the methods given from Rule 192 to 194 as appropriate for the circumstances in each case.

Quality and Cost Based Selection (QCBS)

Rule 192

QCBS may be used for procurement of consultancy services, where quality of consultancy is of prime concern.

- (i) In QCBS initially the quality of technical proposals is scored as per criteria announced in the RFP. Only those responsive proposals that have achieved at least minimum specified qualifying score in quality of technical proposal are considered further.
- (ii) After opening and scoring the financial proposals of responsive technically qualified bidders, a final combined score is arrived at by giving predefined relative weightages for the score of the quality of the technical proposal and the score of the financial proposal.
- (iii) The RFP shall specify the minimum qualifying score for the quality of technical proposal and also the relative weightages to be given to the quality and cost (determined for each case depending on the relative importance of quality vis-a-vis cost aspects in the assignment, e.g. 70:30, 60:40, 50:50 or any other). The proposal with the highest weighted combined score (quality and cost) shall be selected.
- (iv) The weightage of the technical parameters i.e. non-financial parameters in no case should exceed 80 percent.

Least Cost System (LCS)

Rule 193

LCS is appropriate for assignments of a standard or routine nature (such as audits and engineering design of non-complex works) where well established methodologies, practices and standards exist. Unlike QCBS, there is no weightage for Technical score in the final evaluation and the responsive technically qualified proposal with the lowest evaluated cost shall be selected.

Single Source Selection/Consultancy by Nomination

Rule 194

The selection by direct negotiation/nomination on the lines of Single Tender mode of procurement of goods, is considered appropriate only under exceptional circumstance such as:

- (i) tasks that represent a natural continuation of previous work carried out by the firm;
- (ii) in case of an emergency situation, situations arising after natural disasters, situations where timely completion of the assignment is of utmost importance; and
- (iii) situations where execution of the assignment may involve use of proprietary techniques or only one consultant has requisite expertise.
- (iv) Under some special circumstances, it may become necessary to select a particular consultant where adequate justification is available for such single-source selection in the context of the overall interest of the Ministry or Department. Full justification for single source selection should be recorded in the file and approval of the competent authority obtained before resorting to such single-source selection.

- (v) It shall ensure fairness and equity, and shall have a procedure in place to ensure that the prices are reasonable and consistent with market rates for tasks of a similar nature; and the required consultancy services are not split into smaller sized procurement.

7.1.2. OUTSOURCING OF SERVICES

Rule 197

“Non-Consulting Service” means any subject matter of procurement (which is distinguished from ‘Consultancy Services’), involving physical, measurable deliverables / outcomes, where performance standards can be clearly identified and consistently applied, other than goods or works, except those incidental or consequential to the service, and includes maintenance, hiring of vehicle, outsourcing of building facilities management, security, photocopier service, janitor, office errand services, drilling, aerial photography, satellite imagery, mapping and other services.

Procurement of Non-consulting Services

Rule 198

A Ministry or Department may procure certain non-consulting services in the interest of economy and efficiency and it may prescribe detailed instructions and procedures for this purpose without, however, contravening the following basic guidelines.

Identification of Likely Contractors

Rule 199

The Ministry or Department should prepare a list of likely and potential contractors on the basis of formal or

informal enquiries from other Ministries or Departments and Organizations involved in similar activities, scrutiny of 'Yellow pages' and trade journals, if available, and web site.

Preparation of Tender enquiry

Rule 200

Ministry or Department should prepare a tender enquiry containing, inter alia:

- (i) The details of the work or service to be performed by the contractor;
- (ii) The facilities and the inputs which will be provided to the contractor by the Ministry or Department;
- (iii) Eligibility and qualification criteria to be met by the contractor for performing the required work/service; and
- (iv) The statutory and contractual obligations to be complied with by the contractor.

Invitations of Bids

Rule 201

- (i) ***For estimated value of the non-consulting service up to Rupees ten lakhs or less:*** The Ministry or Department should scrutinize the preliminary list of likely contractors as identified according to Rule 199, decide the prima facie eligible and capable contractors and issue limited tender enquiry to them asking for their offers by a specified date and time, as per standard practice. The number of contractors so identified for issuing limited tender enquiry should be more than three.
- (ii) ***For estimated value of the non-consulting service above ₹10 lakhs:*** The Ministry or Department should issue advertisement and it should be given on Central Public Procurement Portal (CPPP) at www.eprocure.gov.in.

gov.in and on GeM. An organization having its own website should also publish all its advertised tender enquiries on the website. The advertisements for invitation of tenders should give the complete web address from where the bidding documents can be downloaded.

Procurement of Non-consulting Services by Nomination

Rule 204

Should it become necessary in an exceptional situation to procure a non-consulting service from a specifically chosen contractor, the Competent Authority in the Ministry or Department may do so in consultation with the Financial Adviser. In such cases the detailed justification, the circumstance leading to such procurement by choice and the special interest or purpose it shall serve, shall form an integral part of the proposal.

7.2. Salient Documents of MHRD/UGC Relevant to Financial Management of HEIs

- (i) Guidelines for observance by Vice-Chancellors of all Central Universities while invoking their emergency powers (F.3-9/97 Desk (U) MHRD), dated 11.06.2001;
- (ii) Regarding improving Financial Management and strict compliance of Rules/Procedures in Central Universities (F.6-1/2016 (CU)), dated 16.03.2016;
- (iii) Procedure for payments to sellers/suppliers in Government e-Market place (GeM) (MHRD, Department of Education) dated 29.11.2016;
- (iv) Internal Audit to be undertaken by Autonomous Bodies and Internal Audit Reports to be placed before the Board of Governors/Executive Council (MHRD, Department of Education) dated 19.07.2017;

- (v) Circular on details of pending audit paras and action thereof (16-2/2017 (CU)) dated 15.12.2017;
- (vi) Implementation of Expenditure Advance and Transfer (EAT) module in universities/institutions receiving grants under various schemes from UGC (F.17-1/ 2015 (FD-II)) dated 26.06.2018.

Disciplinary Rules

Rule 7.2

The Government of India (DOPT) Disciplinary Rules and Norms as amended from time to time will be applicable to all Central Universities and centrally funded Deemed to be Universities. The Disciplinary Rules of the appropriate State Governments will be applicable to all State Universities and State Private Universities.

CHAPTER VIII

STUDENT HARMONY IN HIGHER EDUCATIONAL INSTITUTIONS AND GRIEVANCE REDRESSAL MECHANISM

Community university engagement is an area that focuses on how to make higher education more socially responsible and student-friendly. Student harmony in higher educational institutions is brought about by systems and processes which balance the happy living conditions of students amidst their educational responsibilities and social comradeship with fellow students, teachers, other members of the university community and the neighbourhood community. In spite of the best efforts of the university, the emergence of grievances on all facets of university life becomes inevitable. In order to address the issues of grievances, universities are expected to put in place effective grievance redressal system. The Grievance Redressal System is a mechanism to receive and act on complaints and grievances reported by students, parents, teachers, other staff, and other stake-holders of a university. Grievance Redressal may be handled directly by the higher educational institutions through personal representations, their own websites or through specified 'Grievance Redressal Committees'. While it is obligatory for the higher educational institutions to have the Grievance Redressal Mechanisms, it is also essential to address the root cause of the grievances so as to enable the universities to evolve as harmonious ecosystems.

Stress in Students' Life

8.1

Student life coincides with adolescence, and stress can manifest in youth as a reaction to the changes in life, in addition to academic pressures. The students become more self-aware and self-conscious, and their thinking becomes more critical and complex. At the same time, they often lack academic motivation and performance as their attention is divided among many things, especially creating an identity for themselves. Anything can be a stressor if it lasts long enough, happens too often, or is strong enough. Such a thing is perceived as stress. Working diligently on a project, performing many simple but boring tasks, or earning an “A” grade when one expected an “A+” or “D” may all be stressful.

8.1.1. Nature of Stress

Stress is a physical and psychological reaction to issues and events emanating from one's environment. Perceived obstacles to achievement of goal(s), environmental change, life challenges and periods of significant transition are common stress triggers for anyone, more so for college/university students. Excessive stress usually develops over a period of time and often goes unnoticed by the individual until a physical or emotional toll has been exacted. Learning to recognize the physical and psychological/emotional warning signs of stress enables us to be conscious of the sources of stress.

8.1.2. Issues that Cause Stress in Students:

- a) Stress is created by parental pressure to perform and to stand first among other students. When some students can't rise up to that expectation or during the process of meeting it, they may suffer from frustration, physical stress, aggression, undesirable complexes, and depression.

- b) Students who are under-performers develop negative traits such as shyness, unfriendliness, jealousy, and may retreat into their own world and become loners.
- c) Over scheduling a student's life can put him/her under stress. A student's in-college and after-college activities should be carefully arranged to give him or her some breathing space. Parents may want them to learn music, painting, or be outstanding in a particular sport. So many things are crammed into the student's schedule, often unmindful of the youngster's choice and capabilities. This puts a lot of mental pressure on the Student in an effort to fulfill the wishes of the parents.
- d) Higher education system burdens students with a tremendous amount of homework, which they usually have to complete spending their evenings, weekends and most of the vacations. Unable to find enough time of their own, students often lose interest in studies and under perform. They often feel stressed by being asked to do too much in too little time.
- e) Teenage depression or growing up tensions add to the academic pressures. If unable to adapt to transition and change, students often carry enormous anxiety, negative personal traits and can suffer from massive attention problems.
- f) When 'effortless' learning does not take place, these students lose confidence, motivation and interest, and this creates more stress.
- g) Ragging, denial of entitlements, harassments, discrimination, and other such causes create considerable stress in students.

8.1.4. Symptoms of Stress

Symptoms of stress appear in many forms. Some symptoms only impact the person who is directly experiencing the stress, while other symptoms may have an impact on one's relationships with others.

Following are the warning signs or symptoms of stress. If one experiences any one or more of such signs, it is better to seek assistance from elders, probably a mentor/ counsellor who can assist him or her in reducing unhealthy levels of stress.

- a) **Physical symptoms of stress** include changes in sleep and eating patterns, more frequent headaches than is normal, recurring colds and minor illnesses, frequent muscular aches and/or tightness, high blood pressure, indigestion, ulcers, fatigue and being more disorganized than normal.
- b) **Emotional symptoms** are shorter temper than is normal, a greater sense of continuous pressure on time, increased generalized frustration, depression, anger, fear or anxiety, feeling overwhelmed and mood swings.
- c) **Cognitive Symptoms** are forgetfulness, unwanted or repetitive thoughts, difficulty in concentrating and increased difficulty in task completion.

8.1.5. Need for Stress Management and Grievance Redressal Mechanisms

Management of stress in educational institutions and redressed of grievances have become a major requirement in the present day life. It is reported that unattended student stress and grievances have led to suicides, cognitive deficiencies, and other harmful effects. In view of such serious problems, there is urgent need the educational institutions, both private and government, should create an institutional

structure and mechanism to provide student-friendly Mentoring and Counseling system for the students, teachers and parents. This will create positive thinking, courage and self-confidence among students and enable them to march towards a glorious future career. Parallely, higher educational institutions should also establish grievance redressal systems as per the guidelines notified by the statutory bodies.

8.2. Regulations/Guidelines/Notifications of UGC to ameliorate the Academic and Living Conditions in the HEIs.

These include:

1. UGC Regulations on Curbing the Menace of Ragging in Higher Educational Institutions, 2009.
2. UGC Guidelines of Students Entitlements, 2013.
3. UGC (Grievance Redressal) Regulations, 2012.
4. UGC (Prevention of Caste based Discrimination/ Harassment/Victimization and Promotion of Equality in Higher Educational Institutions) Regulations, 2012.
5. Simplification of Self-attestation Procedure for UGC-NET, 2014.
6. UGC (Promotion of Equity in Higher Educational Institutions) Regulations, 2015.
7. UGC (Gender Sensitization, Prevention and Prohibition of Sexual Harassment of Women Employees and Students and Redressal of Grievances in Higher Educational Institutions) Regulations, 2015.
8. Determining a Uniform Span Period within which a student may be allowed to qualify for a degree, 2015.
9. Notification on Refund of Fees and Non-retention of Original Certificates, 2018.

8.2.1 UGC Regulations on Curbing the Menace of Ragging in Higher Educational Institutions, 2009

- (i) The UGC issued Guidelines for Curbing the Menace of Ragging in November, 1999.
- (ii) Report of the Lyngdoh Committee constituted to examine and certain aspects of student body and Student Union elections was submitted to the Hon'ble Supreme Court on 26th May, 2006.
- (iii) Report of the Committee under Dr. R.K. Raghavan to give suggestions on Means of Prevention of Ragging in Educational Institutions was submitted to the Hon'ble Supreme Court on 7th May, 2007.
- (iv) UGC Regulations on Curbing the Menace of Ragging in Higher Educational Institutions were notified in 2009.

These UGC Regulations were made pursuant to the directions of the Hon'ble Supreme Court of India. The Regulations have detailed definition of 'what constitutes ragging', measures for prohibition and prevention of ragging and the committees/bodies dealing with it at the institutional level, duties and responsibilities of the UGC and other Councils, among others. The measures at the UGC level include: establishing, funding and operating a **Toll-free Anti-Ragging Helpline (18001805522)**, operational round the clock, which could be accessed by students in distress owing to ragging related incidents; widely disseminating the telephone numbers of the Helpline and of all important functionaries in every institution; heads of institutions, faculty members, member of the anti-ragging committees and anti-ragging squads; district and sub-divisional authorities and State authorities, Wardens of hostels and other relevant authorities, and others.

8.2.2. UGC (Grievance Redressal) Regulations, 2012

The Regulations give a detailed definition of what constitutes “Grievances” and sections on mandatory publication of prospectus, its contents and pricing, appointment, tenure, removal, conditions of service, powers and functions of Ombudsman (Grievance Redressal Committee, in case of a College), Procedure for Redressal of Grievances by Ombudsman and the Grievance Redressal Committee, Consequences of non-compliance, etc.

8.2.3. UGC (Prevention of Caste based Discrimination/ Harassment/Victimization and Promotion of Equality in Higher Educational Institutions) Regulations, 2012

Apart from the definitions of the terms like ‘Discrimination,’ ‘Equality,’ ‘Harassment,’ ‘Victimization,’ and others., the Regulations provide measures for the elimination of these negative phenomena in Higher Educational Institutions and the mechanism for Punishments and the Appeal.

8.2.4. UGC Guidelines of Students Entitlements, 2013

There is a comprehensive chapter on this matter in the Radhakrishnan Commission (The University Education Commission), 1948-49. Students’ entitlements cover, among other things, the following:

- (i) Access to information or factors which would facilitate the aspiring students to make informed choice about the institution;
- (ii) Academic matters which would include information about teaching, library, laboratory and related matters;
- (iii) Facilities to be made available to the students, such as hostels, health, sports, recreation, and others;

- (iv) Financial support/assistance to be provided based on merit and /or merit-cum-means basis;
- (v) Structures in place and to be created to redress the various types of grievances articulated by the students.

8.2.5. Simplification of Self-attestation Procedure for UGC-NET, 2014

This document explains the existing requirement of submitting copies of certificates of educational qualifications, category certificates attested by gazetted officers, issuing of duplicate NET certificates in case of loss, production of category/caste/disability certificates in a regional language and production of their Hindi/English version. It stipulates where and in which case the existing practice may be continued, and where self-attested documents may be accepted.

8.2.6. UGC (Promotion of Equity in Higher Educational Institutions) Regulations, 2015

This is in supersession of the UGC (Promotion of Equity in Higher Educational Institutions) Regulations, 2012. Apart from the definitions of 'disability', 'harassment', 'victimization', these Regulations define 'discriminatory basis', conditions incompatible with the dignity of a human being, sexual orientation, real or perceived HIV status, suffering from any other disease – physical or mental – with a stigma attached to it, and others causes. The Regulations give the possible measures against these which the HEIs can take, the punishments and the mechanism for appeal.

8.2.7. UGC (Gender Sensitization, Prevention and Prohibition of Sexual Harassment of Women Employees and Students and Redressal of Grievances in Higher Educational Institutions) Regulations, 2015

In the context of the gang rape of December, 2012 and the widespread protests that followed demonstrating a new phase of public awareness about the nature and extent of sexual violence targeting women in general and students more specifically, the UGC set up a Task Force to explore the current situation prevailing on the campuses across the country in relation to the safety of women and youth more generally. The Task Force was asked to examine the situation, assess the shortcomings of gender sensitization and sexual harassment related redressal systems and suggest measures to address those concerns.

The deliberations took place against the backdrop of the Convention to End all Forms of Discrimination against Women (CEDAW), the establishment of Vishaka guidelines in 1998 by the UGC, and the Justice Verma Committee Report and especially its Bill of Rights. The Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act passed in 2013 has given further urgency to the implementation of the recommendations of the Task Force which submitted its Report in February, 2013 titled SAKSHAM.

The UGC Regulations, 2015 enumerate the responsibilities of the HEIs, Grievance Redressal Mechanism, Responsibilities of Internal Complaints Committees (ICCs)/ GSCASH, the process of making complaint and conducting inquiry, punishment and compensation, action against frivolous complaint, etc.

8.2.8. Determining a Uniform Span Period Within which a Student may be Allowed to Qualify for a Degree, 2015

The UGC Regulations for the Grant of First Degree and Master's Degree specify the minimum duration for the completion of a programme, but there is no maximum period in case of students who could not complete the programme in the stipulated period, resulting in different students for varied

reasons taking different duration (number of years) to complete the programme, sometimes taking many years, by which time even certain requirements/syllabi might have changed. This issue is dealt with in this document and an amendment is suggested to stipulate the maximum duration for the successful completion of a programme.

8.2.9. Notification on Refund of Fees and Non-retention of Original Certificates, 2018

The UGC considered the volume of complaints from students/parents/guardians regarding non-refund of fees and retention of original certificates by HEIs to force the students to continue in their institution, even if they get admission elsewhere which is more to their preference for various reasons, and decided to issue this Notification.

The Objective of this Notification is to prohibit coercive and profiteering institutional practices related to refund of fees in case of withdrawal from the programme and retention of original certificates at the time of and/or after admission. Thus, it is imperative that the higher educational institutions evolve as homes away from the students' homes with the full participation of teachers, parents and managements of the higher educational institutions.

The Notification stipulates the percentage of total amount of fees already paid by a student which the HEI has to refund, depending upon the time, before or after admissions, of the student's withdrawal from the programme.

CHAPTER IX

HIGHER EDUCATION: QUALITY, TEACHERS, AND EMPLOYABILITY OF GRADUATES

9.1. Quality Assurance in Higher Education

Part - A

The Indian Higher Education (HE) system is the second largest in the world next to China. Higher education in India has experienced an unprecedented expansion over the past decades. According to the All India Survey on Higher Education Report (MHRD, 2018), India has 903 universities, 39050 Colleges and 10011 stand-alone institutions in 2017-18. Indian HE enrolled 36.6 million students with a Gross Enrolment Ratio (GER) of 25.8 percent in 2017-18. The HE system comprises the Central Universities, State Universities, Institutions of National Importance, Deemed to be Universities, Autonomous Colleges and Affiliated Colleges.

The multiple Regulatory bodies like UGC, AICTE, NCTE and others, in the realm of Higher Education through their Regulations and Guidelines, attempt to ensure minimum standards in higher educational institutions across the country. This “Top down approach” through a ‘command and control’ methodology resulted in the massification of higher education. However, it also resulted in regional, equity and quality diversities/disparities within the country.

9.1.1. Initiatives to Improve Quality of Higher Education in India

The Committees and Commissions in independent India were seriously concerned about the quality of higher education in India. As an initial step, the University Grants Commission (UGC) was set up on the recommendations of the University Education Commission (1948) to maintain standards in higher education. The Education Commissions of 1948 and 1964-66 were in favour of selective admissions to higher educational institutions (HEIs) so as to maintain quality. The Kothari Commission (1964) argued for a cautioned expansion of higher education in apprehension of shortages of competence in the system. The Challenge of Education document of 1985 and the National Policy on Education 1986 were also in favour of consolidation of the system rather than quantitative expansion of higher education.

The approach to quality assurance in India can be seen in terms of:

- a) improved infrastructural facilities;
- b) changes in teacher recruitment policies to attract qualified and talented teachers to the system;
- c) special programmes initiated by the MHRD and the UGC for quality improvement;
- d) establishment of external quality assurance agencies; and
- e) establishment of internal quality assurance cells in higher educational institutions.

India laid down the minimum conditions for infrastructural facilities to open and operate HEIs. The UGC has been providing general development assistance to all eligible Central Universities, identified Deemed Universities and State Universities which are included under Section 2(f) and 12B of the UGC Act. Development assistance may be utilized for the consolidation of existing infrastructure and for modernizing teaching, research, and administration, as also for extension and field outreach activities to meet the changing needs of the

universities and to respond appropriately to the demands of the society. During the Eleventh Five Year Plan, the UGC created a scheme to provide a one-time catch-up grant to a large number of colleges, especially in the unserved and under-served areas. The **Rashtriya Uchchthar Shiksha Abhiyan** (RUSA) introduced in 2013 has also liberal provisions for infrastructural development of institutions of higher education.

Teacher recruitment policies and procedures have undergone dramatic changes over the years. The introduction of **National Eligibility Test (NET)** in 1989 and encouragement of faculty members to complete research degrees have certainly helped in improving the quality of teachers entering the system. Further, the salary levels and working conditions of teachers are also being improved. At the request of the UGC (UGC Regulations of 2010), universities and colleges introduced performance based appraisal system (PBAS). The university faculty members are expected to submit their annual report according to the Academic Performance Indicators (API) as part of the PBAS. The API takes into account the details on publications, research undertaken and seminars and conferences attended by the faculty members. API scores are considered for appointments as well as for promotions for academic positions in the institutional academic hierarchy. The National Assessment and Accreditation Council (NAAC) seeks data on PBAS from the institution during the process of accreditation, thus, strengthening the UGC mandate of improving the quality of HEIs. However, the recent UGC Regulations, 2018 has dispensed off the PBAs linked API System for the college teachers and continued for the university teachers only.

The UGC has been introducing several specific schemes to improve quality. These include schemes such as: University with Potential for Excellence (UPE), Centres with Potential for Excellence in Particular Areas (CPEPA), College with Potential for Excellence (CPE), Special Assistance Programme (SAP), Basic Scientific Research Programme (BSR) and others, which have helped to improve quality in selected domains and institutions. The schemes such as Autonomous Colleges, Academic Staff

Colleges (ASCs) and Faculty Development Programmes are oriented towards supporting teachers. Similarly, Coaching Scheme for Scheduled Castes, Scheduled Tribes, Other Backward Castes (OBC), Minorities, various UGC Fellowships/Awards, and scholarship schemes support students to improve their participation in studies and learning outcomes.

Part – B

In view of the intense debate on ‘what constitutes quality in higher education which will lead to productive employability,’ India went for a shift in the higher education governance model from ‘command and control’ to ‘steer and evaluate’ strategy during the last four years by giving more autonomy and accountability to states and HEIs with the goal of improving quality.

It is in this context that the UGC in its 532nd meeting held in May, 2018 deliberated on quality concerns in higher education and set the target of achieving FIVE results/outcomes at the institutional level for improving quality in higher education in India by 2022. They are:

- (i) Improved graduate outcomes in terms of at least 50% of graduates to have access to employment/self-employment or pursuit of higher education;
- (ii) At least 2/3rd of students of HEIs getting engaged in socially productive activities and/or in industry during their study;
- (iii) Graduates acquire essential professional (domain) knowledge and soft skills such as teamwork, critical thinking, communication, leadership, and entrepreneurship skills as well as human values and ethics;
- (iv) Ensuring teacher deployment to secure that teachers are in position against at least 90% of sanctioned strength at any point of time and professional development of 100% of teachers in terms of domain knowledge and pedagogical competencies; and

- (v) Obtaining NAAC accreditation with at least a minimum CGPA score of 2.5 by all HEIs by the year 2022.

The UGC recommended the following strategies to deliver these results:

- (a) Induction programmes for all students;
- (b) Outcome based curriculum framework and its revision at regular intervals;
- (c) Use of ICT based learning tools by teachers and students;
- (d) Teaching soft skills to students;
- (e) Mentoring students to become entrepreneurs and self-employable as for 'start-ups', and other ventures;
- (f) Engagement of HEIs in socially productive activities and with industry;
- (g) Examination reforms;
- (h) Tracking students' progress after completion of educational programmes;
- (i) Induction and regular refresher courses for teachers on a yearly basis;
- (j) Promoting quality research by faculty; and
- (k) Monitoring non-accredited HEIs to ensure that they get accredited by 2022.

9.2. External Quality Assurance (EQA)

India has one of the largest and diverse education systems in the world. Privatization, widespread expansion, increased autonomy, and introduction of programmes in new and emerging areas have improved access to higher education. At the same time, it has also led to widespread concern on its quality and relevance. To address these concerns, the National Policy on Education (NPE, 1986) and the Programme of Action (PoA, 1992) spelt out strategic plans for the implementation

policies, and advocated the establishment of an independent National Accreditation Agency. Consequently, the National Assessment and Accreditation Council (NAAC) was established in 1994 as an autonomous institution of the University Grants Commission (UGC) with its Headquarters in Bengaluru. The mandate of NAAC as reflected in its vision statement, is to make quality assurance an integral part of the functioning of Higher Educational Institutions (HEIs).

NAAC functions through its General Council (GC) and Executive Committee (EC) comprising educational administrators, policy makers, and senior academicians from a cross-section of Indian higher education system. The Chairperson of the UGC is the President of the GC and the Chairperson of the EC is an eminent academician nominated by the President of GC (NAAC). The Director is the academic and administrative head of NAAC and is the Member- Secretary of both the GC and the EC. In addition to the statutory bodies that steer its policies and core staff to support its activities, NAAC is advised by the advisory and the consultative committees constituted from time to time.

9.2.1. Vision and Mission

The vision of NAAC is:

To make quality the defining element of higher education in India through a combination of self and external quality evaluation, promotion and sustenance initiatives.

The mission statements of NAAC aims at translating vision into action plans and define NAAC's engagement and endeavour as given below:

- a) To arrange for periodic assessment and accreditation of institutions of higher education or units thereof, or specific academic programmes or projects;
- b) To stimulate the academic environment for promotion of quality in teaching-learning and research in higher educational institutions;

- c) To encourage self-evaluation, accountability, autonomy and innovations in higher education;
- d) To undertake quality-related research studies, consultancy and training programmes; and
- e) To collaborate with other stakeholders of higher education for quality evaluation, promotion and sustenance.

Striving to achieve its goals as guided by its vision and mission statements, NAAC primarily focuses on assessment of the quality of higher educational institutions in the country. The NAAC methodology for Assessment and Accreditation is very similar to that followed by Quality Assurance (QA) agencies across the world and consists of self-assessment by the institution along with external peer assessment organized by NAAC.

9.2.2. Core Values

Throughout the world, Higher Educational Institutions (HEIs) function in a dynamic environment. The need to expand the system of higher education, the impact of technology on the delivery of education, the increasing private participation in higher education and the impact of globalization (including liberal cross-border and trans-national educational imperatives), have necessitated marked changes in the Indian higher education system. These changes and the consequent shift in values have been taken into cognizance by NAAC while formulating the core values. Accordingly, in order to ensure external and internal validity and credibility, the QA process of NAAC is grounded within a value framework which is suitable and appropriate to the national context.

9.2.3. Value Framework

To promote the following core values among the HEIs of the country:

- a) Contributing to National Development.
- b) Fostering Global Competencies among Students.
- c) Inculcating a Value System among Students.
- d) Promoting the Use of Technology.
- e) Quest for Excellence

The five core values as outlined above form the foundation for assessment of institutions that volunteer for accreditation by NAAC. The HEIs may also add their own core values to these in conformity with the goals and mission of NAAC.

9.2.4. Assessment and Accreditation of Higher Educational Institutions (HEIs)

The NAAC has been carrying out the process of quality assessment and accreditation of HEIs over the past two decades. Several HEIs have gone through this process and a sizeable number has also undergone subsequent cycles of accreditation. True to its commitment for promoting the culture of quality in HEIs in consonance with the overall developments in the field of education in India as well as in the outside world, NAAC has strived to be sensitive to these and adequately reflected them in its processes. The assessment and accreditation (A&A) process of NAAC continues to be an exercise in partnership of NAAC with the HEI being assessed. As is known by now, the A&A process of NAAC is being revised and this revision attempts to enhance such a partnership. Over the years, the feedback procured from the HEIs, other stakeholders and developments in the national scene, have all contributed in making appropriate revisions in the process so as to accelerate with greater quality rigor.

9.2.5. Revised Assessment and Accreditation (A&A) Framework

The Revised Assessment and Accreditation Framework was launched in July, 2017. It represents an explicit paradigm shift making it ICT-enabled, objective, transparent, scalable, and robust. The shift is:

- a) from qualitative peer judgement to data-based quantitative indicator evaluation with increased objectivity and transparency;
- b) towards extensive use of ICT confirming scalability and robustness;
- c) for simplification of the process by drastic reduction in the number of questions, size of the report, visit days, and so on;
- d) for boosting benchmarking as a quality improvement tool. This has been attempted through comparison of NAAC indicators with other international QA frameworks;
- e) for introducing Pre-qualifier for peer team visit, as 30% of System Generated Score (SGS);
- f) for introducing *System Generated Scores* (SGS) with combination of online evaluation (about 70%) and peer judgement (about 30%);
- g) for introducing the element of *third party validation* of data;
- h) for providing appropriate differences in the metrics, weightages and benchmarks to universities, autonomous colleges and affiliated/constituent colleges;
- i) for revising several metrics to bring in enhanced participation of students and alumni in the assessment process.

9.2.6. Focus of Assessment

NAAC continues with its focus on quality culture of the institution in terms of Quality Initiatives, Quality Sustenance, and Quality Enhancement, as reflected in its vision, organization, operations, and the processes. Experience has shown that these can be ascertained either by on-site observations and/or through the facts and figures about the various aspects of institutional functioning. The Revised Manual places greater confidence in the latter as reflective of internal institutional processes.

In line with NAAC's conviction that quality concerns are institutional, Quality Assessment (QA) can better be done through self-evaluation. The self-evaluation process and the subsequent preparation of the Self Study Report (SSR) to be submitted to NAAC involves the participation of all the stakeholders; management, faculty members, administrative staff, students, parents, employers, community and alumni. While the participation of internal stakeholders, i.e. management, staff and students provide credibility and ownership to the activity and could lead to newer initiatives, interaction with the external stakeholders facilitates the development process of the institution and its educational services. Overall, the QA is expected to serve as a catalyst for institutional self-improvement, promote innovation and strengthen the urge to excel.

Attempt has been made to enlarge the digital coverage of the entire process of A&A. This, it is believed, will not only accelerate but also bring in greater objectivity into the process.

For the possible differentiation required in respect of HEIs which are going for subsequent cycles of A&A, appropriate scope has been provided in the Process. This will allow the HEIs to appropriately represent the developments they have attempted after the previous A&A cycle.

9.2.7. Quality Indicator Framework (QIF): Description

The criteria-based assessment forms the backbone of A&A process of NAAC. Seven criteria represent the core functions and activities of a HEI. In the revised framework not only the academic and administrative aspects of institutional functioning, but also the emerging issues have been included. The seven Criteria that serve as basis for assessment of HEIs are:

1. Curricular Aspects

2. Teaching-Learning and Evaluation
3. Research, Innovations and Extension
4. Infrastructure and Learning Resources
5. Student Support and Progression
6. Governance, Leadership and Management
7. Institutional Values and Best Practices

Under each Criterion, a few Key Indicators (KIs) are identified. These Key Indicators are further delineated as Metrics which actually elicit responses from the HEIs.

9.2.8. Eligibility for Assessment and Accreditation by NAAC

Higher Educational Institutions (HEIs), if they have a record of at least two batches of students graduated or have been in existence for six years, whichever is earlier and fulfil the other conditions or are covered by the other provisions, if any, mentioned below, are eligible to apply for the process of Assessment and Accreditation (A&A) of NAAC:

9.2.8.1. Universities (Central / State / Private / Deemed-to-be) and Institutions of National Importance

- a) Provided the Institutions /Deemed to be Universities and their off-campuses, if any, are approved by MHRD/UGC. NAAC will not consider the unapproved off-campuses for A&A;
- b) Provided that these institutions have regular students enrolled into the full-time teaching and research programmes offered on campus;
- c) Provided further that the duly established campuses within the country, if any, shall be treated as part of the universities

/ Institutions of National Importance for the A&A process;

- d) Provided that NAAC will not undertake the accreditation of off-shore campuses.

9.2.8.2 Autonomous colleges / Constituent Colleges/Affiliated Colleges (affiliated to universities recognized by UGC as an Affiliating University):

- a) Provided the colleges are affiliated to a university recognized by UGC for the purposes of affiliation. Constituent colleges of a Private and Deemed- to-be University are considered as the constituent units of the university and thus will not be considered for A&A independently. Such constituent colleges need to come for A&A along with the university;
- b) Provided the colleges/institutions not affiliated to a university are offering programmes recognized by Statutory Professional Regulatory Councils and have been recognized by Association of Indian Universities (AIU) or other such government agencies concerned, as equivalent to a degree programme of a university.

9.2.8.3. Accredited HEIs applying for Re-assessment or Subsequent Cycles (Cycle 2, Cycle 3, Cycle 4....) of Accreditation:

- a) Institutions which would like to improve their accredited status, may apply for re-

assessment, after a minimum of one year and before three years of accreditation, subject to fulfilling other conditions specified by NAAC from time to time for the purpose.

- b) Institutions opting for **Subsequent Cycles (Cycle 2, Cycle 3, Cycle 4....) of Accreditation** can submit the Institutional Information for Quality Assessment (IIQA), from the beginning of the last quarter of the validity period subject to the fulfillment of other conditions specified by NAAC from time to time for the purpose.

Note:

1. *NAAC accreditation does not cover distance education units of HEIs and off-shore campuses.*
2. *All the institutions intending to apply for Assessment and Accreditation by NAAC need to mandatorily upload the information on All India Survey on Higher Education (AISHE) portal. AISHE code (reference number) is one of the requirements for Registration.*

9.2.8.4. The Assessment Process

Taking cognizance of the diversity in the kinds of institutions, the HEIs have been grouped under three categories, namely, universities, autonomous colleges and affiliated/constituent colleges.

The assessment process will be carried out in three stages. It will comprise three main components, viz., Self-Study Report (SSR), Student Satisfaction Survey (SSS) and the Peer Team Report. The SSR has

a total of 137 Metrics for universities covering the seven criteria described earlier. The SSR has two kinds of Metrics: one, those requiring quantifiable facts and figures as data which have been indicated as '*quantitative metrics*' (Q_nM); and two, those metrics requiring descriptive responses and are accordingly named '*qualitative metrics*' (Q_lM). Table 1 depicts the distribution of Key Indicators (KIs) and Metrics across them.

Table 1: Distribution of Metrics and KIs across Criteria

Type of HEIs	Universities	Autonomous Colleges	Affiliated/ Constituent Colleges
Criteria	7	7	7
Key Indicators (KIs)	34	34	32
Qualitative Metrics (QIM)	38	38	41
Quantitative Metrics (QnM)	99	98	80
Total Metrics (QIM + QnM)	137	136	121

9.2.8.5. Procedural Details

The HEIs are expected to read the details given below carefully and note the specifications of the revised process of A&A.

1. Eligible HEIs seeking A&A are required to submit Institutional Information for Quality Assessment (IIQA) online any time during the year starting from June, 2018. Duly filled in IIQAs of eligible HEIs will be accepted by NAAC for further processing and others will be rejected.

2. In case of rejection of IIQA applications, specific suggestions would be given to HEIs to facilitate them to resubmit the IIQA. An institution can reapply twice after the first attempt has resulted in rejection. That is, each HEI is permitted three attempts in a year, with a single fee. After this, it will be considered a fresh application with required fees.
3. After the acceptance of IIQA, the institution will be asked to fill the SSR with the required document to be uploaded in the portal of NAAC website within 30 days. The SSR of the HEI will then be subjected to further process. As preparation of SSR is a systematic process, so it is suggested that the HEIs should be ready with soft copy of SSR and related documents well in advance of submitting IIQA. Those institutions who fail to submit SSR within 30 days will have to apply afresh starting from IIQA & its fees. In any case fees for IIQA will not be refundable.
4. The SSR has to be uploaded as per the format on the portal of NAAC. After submission of SSR on NAAC portal, the HEI would receive an auto generated link/ID of SSR in their registered email id. The same SSR in .pdf format should be then uploaded on the institutional website.
5. The SSR has to be submitted only online. HEIs should make necessary preparations with the required data, documents and/or responses before logging on to the NAAC website for submission of SSR online. Careful study of the Manual will be of great help in this regard.
6. As indicated earlier, the SSR comprises both Qualitative and Quantitative metrics. The Quantitative Metrics (Q_nM) add up to about 70% and the remaining about 30%, are Qualitative Metrics (Q_1M).

7. In addition there are some optional metrics. In this diversified education system, there can be a few metrics which may not be applicable to a HEI. Thus, in order to facilitate the HEIs, NAAC has come out with the concept of Non-Applicable Metrics.

Hence, the provision is made for the HEIs to opt out of some of the metrics which may not be applicable to them for various reasons. Following are the rules for opting out of non-applicable metrics:

- a) Maximum weightage of metrics that can be opted out should not exceed 50 (up to 5%).
- b) Metrics with maximum of total 20 weightage per criteria can only be opted out.
- c) All metrics in Criterion 7 are essential. None of the metrics in this Criterion can be opted out.
- d) Metrics identified as essential cannot be opted out.
- e) Qualitative metrics cannot be opted out.

The essential metrics across 6 criteria have been identified for universities, affiliated/constituent colleges and autonomous colleges which cannot be opted out. The calculation of Cumulative Grade Point Average (CGPA) of Higher Educational Institutions (HEIs) will be done excluding the 5% metrics as opted out by the HEIs. This decision is aimed at helping HEIs by not assessing them on metrics which is not applicable to them. HEIs willing to opt out the 5% of non-applicable metrics need to exercise the option, prior to final submission of SSR to NAAC.

The data submitted on Quantitative Metrics (Q_nM) will be subjected to validation exercise with the help of Data Validation and Verification (DVV) process done by NAAC. The responses to Qualitative Metrics (Q_1M) will be reviewed by the Peer Team on site only after the institution clears the Pre-qualifier stage.

8. Any Institution found to be providing wrong information/data during validation and verification stage will be asked for clarifications. On the basis of clarifications submitted by the HEIs the data will be again sent for Data Validation and Verification (DVV) process. The DVV process by NAAC will be done in not more than 30 days.
9. As mentioned earlier, the Quantitative Metrics (Q_nM) of SSR will be sent for Data Validation and Verification (DVV) Process. After DVV process, a DVV Deviation report will be generated. On the basis of the Deviation report, the A&A process will proceed further as per the following conditions:
 - a. HEI, whose Metrics are found to have deviation will be liable for penalty or legal action. Its first installment of accreditation fee will also be forfeited, and the name of such HEI will be sent to statutory authorities for further action.
 - b. HEI that clears the DVV process will proceed for Peer Team Visit with the condition that the HEI should score in the Pre-qualifier, at least 30% in Quantitative Metrics (Q_nM) as per the final score after the DVV Process. If the HEI does not clear the Pre-qualifier stage, then it will have to apply afresh by submitting the IIQA and its fees. Such HEIs are eligible to apply again but only after six months.
10. After the DVV process, NAAC will intimate the HEI, within 10 days, stating that they have successfully cleared the Pre-qualifier. This indicates that the institution has entered the next round of assessment to be done by the Peer Team during their on-site visit. The focus of Peer Team visit will be on the 30% Qualitative Metrics (Q_M).

11. **Student Satisfaction Survey (SSS):** will be conducted as per the following conditions:
 - a) SSS will be conducted simultaneously with the DVV process.
 - b) Institutions will have to submit the entire database of students with e-mail/mobile numbers, at the time of the filling of online SSR itself.
 - c) The SSS questionnaire (20 objective & 01 subjective) will be e-mailed to all students and the following rule will be applied for processing the responses:
 - i. For colleges, (UG/PG and Autonomous) responses should be received from at least 10% of the student population or 100, whichever is less.
 - ii. For universities, 10% of the student population or 500, whichever is less.
 - d) If the response rate is lower than the limits mentioned by NAAC, the metric will not be taken up for evaluation.
 - e) SSS will be completed within one month after its initiation.
12. Peer Team visit of the institution should not exceed three months after the clearance of the Pre-qualifier stage.
13. Based on the size and scope of academic offerings at the HEIs, the number of days and experts for onsite visit may vary from 2-3 days with 2-5 expert reviewers visiting the institutions. The role of the visiting teams would be very specific in the revised model limited to Qualitative Metrics (Q₁M). The teams would play an important role in reviewing the intangible aspects. Unlike in the past NAAC will not pre-disclose the details of the visiting teams and HEIs will not be responsible for the logistics for

the Visiting Teams. Henceforth, NAAC will directly take care of all the logistics regarding the visit of the Peer Teams to the institutions. All payments towards TA, DA, Honorarium, and others, will be directly paid by NAAC to the nominated members. There would be no financial transactions between the Institution and the visiting NAAC team.

14. Institutions need to add a link in the home page of their institutional website for NAAC records/files, viz., SSR, Peer Team Report, AQAR, Certificate of NAAC and Accreditation documents, and others for easy access by its stakeholders. The said link should be clearly visible/ highlighted.
15. **Guidelines for filling up Self-Study Report (SSR):**
 - a) Extended profile contains all the questions which are basically the figures of denominators of the formulas used for calculation of values of the various Metrics.
 - b) There are Tool Tips at various places in the portal, such as Metrics, sub-metrics, upload, and others. which are given as guidance regarding the data required to be submitted by the institution. Institutions are required to go through the appropriate Tool Tip thoroughly before filling the data.
 - c) The data filled should contextualize with the related metrics. There is an upload limit for the documents to be uploaded for various Metrics; if the size of the document exceeds that limit, the Institution may upload the same on their own website with password protection, if required. The link of the said uploaded document should be given in the portal.
 - d) There is a fixed timeline for the entire DVV process. Institutions are supposed to respond

within the stipulated time given by the DVV partner, during DVV clarification stage. If there is no response within the given time frame, the input value recommended by the DVV partner will be taken as the final value.

- e) The data of the students for Student Satisfaction Survey (SSS) have to be submitted concurrently during online submission of SSR.
 - f) Where so ever 'Asterisk Red mark'* is indicated in the portal it should be understood as mandatory requirement.
16. **Regarding withdrawal of SSR submitted:**
- a) The HEIs which have submitted their SSRs will not be allowed to withdraw from the process at any stage.
 - b) If a HEI which has submitted its SSR, for any reason, does not complete the A&A process, the information that it has withdrawn / not completed should be hosted both on the HEI and NAAC website.
 - c) Such HEI will be allowed to apply for A&A only after a period of three years.

9.2.8.6. Assessment Outcome

The final result of the Assessment and Accreditation exercise will be an ICT based score, which is a combination of evaluation of qualitative and quantitative metrics. This will be compiled as a document comprising three parts.

9.2.8.6.1. Part I *Peer Team Report*

- a) Section 1 gives the **General Information** of the institution and its context.
- b) Section 2 gives Criterion-wise analysis based on peer evaluation of qualitative

indicators. Instead of reporting with bullet points, this will be a **qualitative, descriptive assessment report** based on the Peer Team's critical analysis presenting strengths and weaknesses of HEI under each Criterion.

- c) Section 3 presents an **Overall Analysis** which includes Institutional Strengths, Weaknesses, Opportunities and Challenges.
- d) Section 4 records **Recommendations for Quality Enhancement of the Institution** (not more than 10 major ones).

9.2.6.3. Part II: Graphical Representation Based on Quantitative Metrics (QnM)

This part will be a **System Generated Quality Profile** of the HEI based on the statistical analysis of quantitative indicators in NAAC's QIF (Quality Indicator Framework). Graphical presentation of institutional features would be reflected through synthesis of quantifiable indicators.

9.2.8.7. Part III : Institutional Grade Sheet

This Part contains the **Institutional Grade Sheet** which is based on qualitative indicators, quantitative indicators and student satisfaction survey using existing calculation methods, but it will be generated by software.

The above three parts will together form "NAAC Accreditation Outcome" document. It is mandatory for the HEIs to display it on their institutional website apart from NAAC hosting it on its website.

9.2.8. Calculation of Institutional CGPA

The CGPA will be calculated based on the scores obtained from the three sources, viz., the System Generated Scores

(SGS) of the quantitative metrics which comprise about 70% of the total, the scores from the qualitative metrics including critical appraisal by the Peer Team through on site visit and the scores obtained on the Student Satisfaction Survey. These will be collated through an automated procedure based on ‘benchmarks’ and assessed on a five-point scale, viz., (0, 1, 2, 3 & 4).

9.2.8.8. The Final Grade

On the basis of the CGPA obtained by the institution in maximum possible score of 4.00, the final grade is assigned on a seven-point scale as shown in Table 2. The seven points refer to the seven letter grades each aligned to the seven specific score range.

Table 2 Institutional Grades and Accreditation Status

Range of Institutional Cumulative Grade Point Average (CGPA)	Letter Grade	Status
3.51-4.00	A++	Accredited
3.26-3.50	A+	Accredited
3.01-3.25	A	Accredited
2.76-3.00	B++	Accredited
2.51-2.75	B+	Accredited
2.01-2.50	B	Accredited
1.51-2.00	C	Accredited
≤ 1.50	D	Not Accredited

Institutions which secure a CGPA equal to or less than 1.50 are notionally categorized under the letter grade “D.” Such unqualified institutions will also be intimated and notified by NAAC as “Assessed and Found not qualified for Accreditation”.

9.3 Internal Quality Assurance Mechanisms

In pursuance of its Action Plan for performance evaluation, assessment and accreditation and quality up-gradation of institutions of higher education, the National Assessment and Accreditation Council (NAAC), (Bangaluru), stipulates that every accredited institution should establish an Internal Quality Assurance Cell (IQAC) as a quality sustenance measure. Since quality enhancement is a continuous process, the IQAC will become a part of the institution's system and work towards the realisation of the goals of quality enhancement and sustenance. The prime task of the IQAC is to develop a system for conscious, consistent and catalytic improvement in the overall performance of the institution. For this, during the post-accreditation period, the institution needs to channelize its efforts and take measures towards promoting holistic academic excellence including the peer committee recommendations.

The guidelines provided in the following pages are to guide and facilitate the institution in the creation and operation of the Internal Quality Assurance Cell (IQAC). The work of the IQAC is the first step towards internalization and institutionalization of quality enhancement initiatives.

Its success depends upon the sense of belongingness and participation of all the constituents of the institution. It will not be yet another hierarchical structure or a record-keeping exercise in the institution. It will be a facilitative and participative voluntary system/unit/organ of the institution. It has the potential to become a vehicle for ushering in quality enhancement by working out planned interventionist strategies by IQAC to remove deficiencies and enhance quality, like the "Quality Circles" in industries.

9.3.1. IQAC : Vision

To ensure the culture of quality as the prime concern for the Higher Educational Institutions through institutionalizing

and internalizing all the initiatives taken with internal and external support.

9.3.2. Objective

The primary aims of IQAC are:

- a) To develop a system for conscious, consistent and catalytic action to improve the academic and administrative performance of the institution;
- b) To promote measures for institutional functioning towards quality enhancement through internalization of quality culture and institutionalization of best practices.

9.3.3. Strategies

IQAC shall evolve mechanisms and procedures for:

- a) ensuring timely, efficient and progressive performance of academic, administrative and financial tasks;
- b) promoting relevant and quality academic/ research programmes;
- c) ensuring equitable access to and affordability of academic programmes for various sections of society;
- d) optimization and integration of modern methods of teaching and learning;
- e) ensuring credibility of assessment and evaluation process;
- f) ensuring the adequacy, maintenance, and proper allocation of support structure and services;
- g) sharing of research findings and networking with other institutions in India and abroad.

9.3.4. Functions

Some of the functions expected of the IQAC are:

- a) Development and application of quality benchmarks;
- b) Parameters for various academic and administrative activities of the institution;
- c) Facilitating the creation of a learner-centric environment conducive to quality education and faculty maturation to adopt the required knowledge and technology for participatory teaching and learning process;
- d) Collection and analysis of feedback from all stakeholders on quality-related institutional processes;
- e) Dissemination of information on various quality parameters to all stakeholders;
- f) Organization of inter and intra institutional workshops, seminars on quality related themes and promotion of quality circles;
- g) Documentation of the various programmes/ activities leading to quality improvement;
- h) Acting as a nodal agency of the Institution for coordinating quality-related activities, including adoption and dissemination of best practices;
- i) Development and maintenance of institutional database through MIS for the purpose of maintaining /enhancing the institutional quality;
- j) Periodical conduct of Academic and Administrative Audit and its follow-up;
- k) Preparation and submission of the Annual Quality Assurance Report (AQAR) as per guidelines and parameters of NAAC.

9.3.5. Benefits

IQAC will facilitate / contribute to:

- a) Ensure clarity and focus in institutional functioning towards quality enhancement;
- b) Ensure internalization of the quality culture;
- c) Ensure enhancement and coordination among various activities of the institution and institutionalize all good practices;
- d) Provide a sound basis for decision-making to improve institutional functioning;
- e) Act as a dynamic system for quality changes in HEIs;
- f) Build an organized methodology of documentation and internal communication.

9.3.6. Composition of the IQAC

The IQAC may be constituted in every institution under the Chairmanship of the Head of the institution with heads of important academic and administrative units and a few teachers and a few distinguished educationists together with representatives of local management and stakeholders as its members.

The composition of the IQAC may be as follows:

1. Chairperson, Head of the Institution
2. Teachers to represent all levels (Three to eight)
3. One member from the Management
4. A few senior administrative officers
5. One nominee each from local society, students and alumni
6. One nominee each from employers /industrialists/ stakeholders
7. One of the senior teachers as the Coordinator/ Director of the IQAC.

The composition of the IQAC will depend on the size and complexity of the institution, and accordingly, the

representation of teachers may vary. It helps the institutions in planning and monitoring. The IQAC also gives stakeholders or beneficiaries a cross-sectional participation in the institution's quality enhancement activities. The guidelines given here are only indicative and will help the institutions for quality sustenance activities.

The membership of the nominated members shall be for a period of two years. The IQAC should meet at least once in every quarter. The quorum for the meeting shall be two-third of the total number of members. The agenda, minutes, and Action Taken Reports are to be documented with official signatures and maintained electronically in a retrievable format.

It is necessary for members of the IQAC to shoulder responsibilities of generating and promoting awareness in the institution and to devote time for working out the procedural details. While selecting these members several precautions need to be taken. A few of them are listed below:

- a) It is advisable to choose persons from various backgrounds who have earned respect for integrity and excellence in their teaching and research. Moreover, they should be aware of the ground realities of the institutional environment. They should be known for their commitment to improving the quality of teaching and learning.
- b) It is advisable to change the co-ordinator after two to three years to bring new thoughts and activities into the institution.
- c) It would be appropriate to choose senior administrators, persons in charge of institutional services such as library, computer centre, estate, student welfare, administration, academic tasks, examination and planning and development.
- d) The management representative should be a person who is aware of the institution's objectives, limitations, and strengths and is committed to its improvement. The representatives of the local

society should be of high social standing and should have made significant contributions to society and, in particular, to education.

9.3.7. The Role of the Coordinator

The role of the Coordinator of the IQAC is crucial in ensuring the effective functioning of all the members. The Coordinator of the IQAC may be a senior/competent person with experience and exposure in quality aspects. She/he may be a full-time functionary or, to start with, she/he may be a senior academic/administrator entrusted with the IQAC as an additional responsibility. Secretarial assistance may be facilitated by the administration. It is essential that the Coordinator has sound knowledge of computers, data management and its various functions such as usage for effective communication.

9.3.8. Operational Features of the IQAC

Quality assurance is a by-product of ongoing efforts to define the objectives of an institution, to have a work plan to achieve them and to specify the checks and balances to evaluate the degree to which each of the tasks is fulfilled. Hence devotion and commitment to improvement rather than mere institutional control is the basis for devising procedures and instruments for assuring quality. The right balance between the health and growth of an institution needs to be struck. The IQAC has to ensure that whatever is done in the institution for “education” is done efficiently and effectively with high standards. In order to do this, the IQAC will have to first establish procedures and modalities to collect data and information on various aspects of institutional functioning.

The Coordinator of the IQAC will have a major role in implementing these functions. The IQAC may derive major support from the already existing units and mechanisms that contribute to the functions mentioned earlier. The operational features and functions discussed so far are broad-based to

facilitate the growth of the institutions towards academic excellence and so institutions may adapt them to their specific needs.

The institutions need to submit the Annual Quality Assurance Report (AQAR) to NAAC by end of September every year positively. A functional Internal Quality Assurance Cell (IQAC) and timely submission of Annual Quality Assurance Reports (AQARs) are the Minimum Institutional Requirements (MIR) to volunteer for the second, third or subsequent accreditation cycles. During the institutional visit, NAAC peer teams will interact with the IQACs to know the progress, functioning as well as quality sustenance initiatives undertaken by them.

9.4. Annual Quality Assurance Report (AQAR)

The Annual Quality Assurance Report (AQAR) may be part of the Annual Report. The AQAR shall be approved by the statutory bodies of the HEIs (such as Syndicate, Governing Council/Executive Council/Board of Management) for follow up action for necessary quality enhancement measures.

An IQAC may create its exclusive window tab on its institutional website for keeping the records/files of NAAC, Peer Team Reports, AQARs, and Certificate of Accreditation Outcomes and regularly upload/ report on its activities, as well as for hosting the AQARs.

NAAC has launched Revised Accreditation Framework since July, 2017 and hence, the AQAR format was also modified, in consonance with the new methodology. The tools and parameters are designed in the new AQAR format in such a way that the preparation of AQAR would facilitate the HEI's for upcoming cycles of accreditation. Data collected/prepared infuses quality enhancement measures undertaken during the years. Further, it also adds quality enhancement and quality sustenance measures undertaken in teaching, learning, research, extension and support activities of the Institution. It is hoped that new AQAR would facilitate educational institutions in

creating a good database at the institutional level for enhancing the culture of quality.

As per the Revised Accreditation Framework (RAF), NAAC Accredited institutions need to submit the AQAR online. NAAC is in the process of ICT integration in Assessment and Accreditation. The login id for the online submission for AQAR submission will be the e-mail id used for the IIQA. The AQAR submission will be a part of the post accreditation module, in due course of time. The NAAC portal will have the facility to submit the AQAR online and institutions will receive automated response. The AQAR of the preceding year has to be submitted to NAAC within six months, i.e. the institutions should submit the AQAR before the 31st December of every year.

9.5. The National Board of Accreditation (NBA):

Established by the AICTE in 1987 with the objective of evaluating technical programs/courses, the NBA acquired autonomous status in 2010. It was bestowed with the mission of ensuring quality in technical and professional institutions. Fields such as engineering, technology, architecture, pharmacy, and hospitality are covered by the NBA. The accreditation process starts with a Self-assessment Report (SAR) which is to be filled out by the institution for the programmes for which they are applying for accreditation. The SAR includes the following criteria:

- 1) Vision, Mission, and programme objectives
- 2) Programme Outcomes
- 3) Curriculum
- 4) Students' Performance
- 5) Faculty Contributions
- 6) Facilities and Technical Support
- 7) Academic support units and Teaching – Learning Process
- 8) Governance, Institutional Support, and Financial Resources

9) Continuous Improvement.

Following the completion of SAR, the NBA forms a team of evaluators including one chairperson and two evaluators to evaluate the program. The team prepares a pre-visit report based on their observations of SAR. A three-day visit to the programme is organized for the evaluators to note the strengths, weaknesses, and deficiencies of the programme based upon the criteria. The team submits its observation report, which is also sent to the institution concerned, to check that it does not have factual errors. The report is once again examined by the NBA and a final accreditation status is granted. In case of dissatisfaction, the institutions have the right to appeal.

Two different evaluation rubrics are used for undergraduate engineering programs. The Tier – I rubric is for constituent colleges of universities and programs offered by autonomous institutions and university departments. Tier – II is offered to non – autonomous institutions, that is those affiliated to a university. The evaluation criteria are the same for both tiers; however, Tier – I gives more importance to outcome oriented criteria such as the vision, mission, programme outcomes. Tier-II rubric has less of a focus on this outcome-oriented criteria and a greater focus on inputs such as facilities, students' performance and technical support.

The NBA assigns the institution one of three possible status: accredited, provisionally accredited, or not accredited. The institution receives a status of accredited for five years, if it gets a minimum of 750 points and a minimum of 60 percent in each of the nine criteria. A status of “provisionally accredited” is received for two years, if the institution receives a score of at least 600 points irrespective of the percentage received in each criterion. Finally, the status of “not accredited” is assigned, if the institution gets less than 600 points in the evaluation. (Centre for Civil Society: www.cs.in).

9.6. National Institutional Ranking Framework (NIRF)

The National Institutional Ranking Framework (NIRF) was approved by the MHRD and launched by the Honourable Minister of Human Resource Development on 29th September, 2015.

This framework outlines a methodology to rank institutions across the country. The methodology is drawn from the overall recommendations based on the broad understanding arrived at by a Core Committee set up by MHRD, to identify the parameters for ranking various universities and institutions. The parameters cover “Teaching, Learning and Resources,” “Research and Professional Practices,” “Graduation Outcomes,” “Outreach and Inclusivity,” and “Perception”.

9.6.1 Salient Features

Methodology is based on developing a set of metrics for the ranking of academic institutions, based on the parameters agreed upon by the Core Committee.

- a) These parameters are organized into five broad heads and have been further elaborated into suitable sub-heads. Each broad head has an overall weightage assigned to it. Within each head, the various sub-heads also have an appropriate weightage distribution.
- b) An attempt is also made to identify the relevant data needed to suitably measure the performance score under each sub-head. Emphasis here is on identifying data that the institution can easily provide or is easy to obtain from third party sources and easily verifiable, where verification is needed. This is important in the interest of transparency.
- c) A suitable metric is then proposed based on this data which computes the score under each sub-head. The sub-head scores are then added to obtain scores for each individual head. The overall score is

computed based on the weightage allotted to each head. The overall score can take a maximum value of 100.

- d) The institutions can then be rank-ordered based on their scores.

9.6.2. Eligibility for Common and Discipline Specific Rankings

9.6.2.1. Learning From the Experience in the 2016 Rankings, it is Proposed to have the Following Different Ways of Ranking.

- (i) This year, all candidate institutions, independent of their discipline or nature (comprehensive or otherwise) will be given a common overall rank, if they satisfy one of the following criteria:
 - a) They have a total of at least 1000 enrolled students (calculated on the basis of approved intake), OR
 - b) The institution is a centrally funded institution/university of the Government of India.
- (ii) Institutions will also be given a discipline specific rank as relevant.
- (iii) Highly focused institutions with a single main discipline (Engineering, Medical, Law, Management, Pharmacy or UG Degree Colleges in Arts, Science and Commerce, etc.) with less than 1000 enrolled students (as calculated on the basis of approved intake) will be given only a discipline specific rank;
- (iv) Schools or departments of universities or institutions (such as arts, architecture, engineering, health and life sciences, humanities and social sciences, law faculty, medical school, management departments, pharmacy and others.) will have to

register separately and provide additional data (in the same common format) pertaining to the respective school or department, if they desire to be included in the discipline specific ranking list. All institutions should seriously consider this option, if they wish to position their important Faculties/ Schools at the national level. Only options available on the registration portal will be considered for discipline specific rankings;

- (v) Provided that if an engineering school of a university consists of a single engineering discipline with very few students, it would not be eligible for ranking even under the discipline specific category. Thus, if the engineering faculty of a university has only the Department of Electronics Engineering as its Engineering School, it need not apply for a separate discipline specific ranking under the engineering category;
- (vi) Undergraduate Teaching institutions (including degree colleges affiliated to a university) are also invited to participate. Some of them may have a valid apprehension that they may not score well in research-related parameters on a common ranking list, but they can still score high on many other parameters like Graduation Outcomes and Perception. In any case, they would receive a fair comparison in the separate rankings for colleges that will also be published this time, and in which the parameter weightages will be suitably modified;
- (vii) Discipline specific ranks will be announced only in those disciplines where a significant number of institutions offer themselves for ranking, and the list includes some of the prominent institutions in that discipline, with an acceptable ranking score. The final decision on ranking of a discipline will therefore be decided by NIRF after analysing the data;

- (viii) Open Universities and Affiliating Universities (whether State or Centre approved/funded) will not normally be registered for ranking. However, if these universities have a teaching or research campus of their own, they are welcome to participate with data pertaining only to their physical campuses. Data pertaining to their function as open or affiliating universities cannot be included in the submitted data;
- (ix) Rankings will be considered only for those institutions that have graduated at least three batches of students in some programmes. If no programme run by the institution satisfies this requirement, the concerned institution will not be able to register for ranking.

9.6.2.2. While score computations for the parameters are similar for both kinds of rankings (i.e., common or discipline specific) on most counts, the weights are somewhat different on a few parameters, to take into account discipline specific issues.

9.6.2.3. Percentile calculations, where indicated, are done separately for the two sets of rankings.

9.7. Professional Development of Teachers and the Need for On-the-Job Training

9.7.1. Higher Education Needs to Focus on Deep Learning

The quality of teachers is an important element influencing learning outcomes and employment outcomes of the graduates

of higher education. The quality assurance mechanisms and qualification frameworks help institutions to fix learning targets and monitor teaching and learning processes. Traditionally, teaching and learning processes revolved around the course contents, textbooks, teachers, and lectures. In the present context of technology mediated learning situations, teaching and learning process has transformed from a classroom based institutional level activity to a globally connected interactive process.

The belief that good teaching will improve learner achievement forms the basis for prioritizing teacher development and investing heavily on teacher training programmes. The qualities of good teachers include deep content knowledge, good pedagogic skills and capacity to manage classroom situations. An effective teacher knows what to teach, how to teach and how to improve student learning. Teaching is not only about subject knowledge and methods of delivery in the classroom; it is also about adjusting the teaching process so that learning by all learners is promoted. This assumes significance especially when student diversity widens in any massifying system of higher education.

Quality teaching is student-centred and it ensures that all students learn. Learning does not necessarily imply the capacity to reproduce content, although many institutions, especially at the school level, promote rote learning. In higher education, unlike in school education, students should be able to understand and interpret the study material differently. Such variations in understanding and learning process are natural and should be promoted.

The approach to learning in higher education needs to differentiate between surface learning and deep learning. A surface approach to learning focuses on rote memorization to meet the external demands such as examination. A deep approach to learning, on the other hand, focuses on efforts to understand the theory and analyse the practice of learning among students. Surface learning is promoted in learning

situations when competition for higher grades is intense and successive progress in the learning ladder is based on examination results. Surface learning in higher education leads to poor development of analytical skills and results in low quality learning outcomes. The higher education system needs to promote deep learning leading to higher quality outcomes. The teacher preparation for deep learning is certainly different from those promoting surface and rote learning.

India has made serious efforts to recruit quality teachers in HEIs. Not only the higher education teachers are offered better salaries and working conditions, but also recruitment criteria are redefined. On the recommendation of the **Mehrotra Committee (1983)**, the UGC introduced National Eligibility Test (NET) examination from 1989 onwards. The UGC started refresher courses for teachers of higher education through its Academic Staff Colleges (now renamed as Human Resource Development Centres (HRDCs), following the **National Policy on Education (NPE 1986)** and Introduced Induction Training Programmes.

9.7.2. Need for Professional Development of Teachers in Indian Higher Education

Any system performs best when it succeeds in attracting best talents to the system. Very often, teaching is not an attractive profession in many countries for various reasons. However, this trend is changing in countries such as India due to the increase in the salary levels of teachers, improvements in their working conditions and career prospects. In all good education systems, teachers are professionally qualified, carefully selected and are provided with opportunities for their academic and professional development.

Indian higher education has entered a stage of massification. Massification is also accompanied by institutional and student diversity. When the system was elite, it attracted students from similar and more comparable

socio-economic background. However, in a massifying system with student diversity increasing, the traditional modes of teaching learning may not be the most appropriate ways to improve learning outcomes. The presence of a good number of students who are first generation learners, girls and students from disadvantaged and marginalized groups change the class room context and place demands on modifying teaching learning processes.

The following paragraphs describe the changes in teacher recruitment policies and professional development programmes after recruitment of higher education teachers in India.

9.7.2.1. Teacher Recruitment in Higher Education in India

The teacher recruitment policy in India has evolved over time and is based on recommendations contained in various Reports of Committees/Commissions on Education. The Radhakrishnan Commission (1948) strongly believed in the central role of teachers in shaping minds of students and emphasized the need for teachers to arouse curiosity and evoke the spirit of critical enquiry among the students. The Commission emphasized the importance of the teachers being regularly updated with the latest developments in the field.

The Education Commission (1964-66) deliberated on the efforts needed to attract the best talent to higher educational institutions. It recommended that the universities and affiliated colleges should be encouraged to pre-select their new teachers and attach them to major universities for about a year to receive orientation towards their chosen profession and perhaps study schemes and techniques of research adopted in those institutions.

The Report of the **National Commission on Teachers in Higher Education (1985)** recommended a rigorous merit-based selection at the entry level into the teaching profession based on an All India Test. The **National Policy on Education (1986)** emphasized the importance of teacher competency,

accountability, aptitude and favourable attitude to the teaching profession. The policy framework of NPE insisted on the recruitment of competent teachers and their in-service training. The Academic Staff Colleges were started as a follow-up to the recommendations of the NPE 1986. The **Yashpal Committee (2009)** recommended that it is necessary to develop full-fledged orientation programmes for newly recruited teachers in colleges and universities.

The University Grants Commission constituted a Committee in 1983 under the Chairmanship of **Professor R.C. Mehrotra** to examine the then structure of emoluments and conditions of service of university teachers and to make recommendations for (a) attracting and retaining talented persons in the teaching profession; and (b) providing professional advancement opportunities to teachers of universities and colleges. The Committee recommended at least 55 percent marks in the Master's degree and qualifying the NET as eligibility requirements for appointment as a teacher in HEI. It also recommended periodic in-service training of teachers.

On the recommendations of the **Mehrotra Committee report**, the UGC introduced National Eligibility Test (NET) in 1989. Till recently, the UGC conducted the national level test for lectureship and Junior Research Fellowship (JRF) in 77 subject areas at 65 selected centres around the country in Humanities (including languages), Social Sciences, Computer Applications, Electronic Sciences, and Environmental Sciences. The Council of Scientific and Industrial Research (CSIR) conducts the UGC-CSIR NET for other Science subjects, namely, Life Sciences, Physical Sciences, Chemical Sciences, Mathematical Sciences and Earth, Atmospheric, Ocean & Planetary Sciences jointly with the UGC. The tests are conducted twice in a year generally in the months of June and December. Lakhs of candidates appear for the test and only a very small percentage of those who appear pass the NET. However, candidates have the option to appear again and again in the NET examination.

While NET is an eligibility criterion, it does not guarantee recruitment as a teacher. There are two types of teacher recruitments in India: institution specific recruitments and recruitment as part of the State Civil Services. Teacher recruitments in most of universities (Central and State) are institution based. These recruitments are governed by the rules, regulations, salary and service conditions of the university and those recruited through this process are not part of the civil services. The universities notify the positions, constitute selection committees, invite candidates for interviews and appoint them in the respective departments.

In many affiliated government colleges, teachers are civil servants and are recruited to the system rather than to any specific institution. They are recruited by the State Public Service Commission (PSC). The recruitment process involves written test and interview. The selected candidates are notified by the State PSCs and posting is done from the selected list by the Directorates of Higher Education.

9.7.2.2. Efforts Towards Professional Development of Higher Education Teachers in India

While teacher training is a widespread phenomenon and a compulsory certification process to enter teaching profession at the school level, there are no such programmes for teachers at the higher education level in India. The National Commission on Teachers in Higher Education of 1985 recommended that orientation courses as well as refresher courses for higher education teachers. The Mehrotra Committee recommended one orientation programme be made mandatory for promotion of higher education teachers.

The UGC formulated the scheme of Academic Staff Colleges (ASC) in 1987-88 to regularly organize one-month long Orientation Programmes and three-week long Refresher Courses. The ASCs were rechristened as Human Resource Development Centres (HRDCs) in 2015. There are 66 HRDCs

operating in India at present. The UGC also initiated a few flagship programmes for professional development of college and university teachers, such as faculty recharge programmes, encore programmes (scholar-in-residence) and enhancing faculty resources programmes.

The programmes of the HRDCs focus on learning knowledge and skills, new educational technologies, developing new courses; planning for professional development; management educational and financial resources and development of corporate life. The Orientation Programmes, designed for the newly appointed teachers, focus on the linkages between education and socio-economic-cultural development, basic teaching skills, pedagogy, subject up-gradation, management and personality development and so forth.

Several studies have recognized the contribution made by the ASCs/ HRDCs in teacher development. However, it has also been felt that there is need for discipline specific post-induction programmes for all teachers, including ad-hoc/ contractual teachers and teachers of private HEIs. The evaluation study of the HRDCs by NAAC in 2012 shows that several of these centres are non-performers and, therefore, need overhauling. A recent study in 2017 highlighted that there is lack of sufficient motivation among the participating teachers to attend the courses as the courses are not always relevant and are prescriptive in many instances.

The recommendation of the UGC also emphasized on teacher training of longer duration. UGC has recommended modern teaching pedagogies and use of technologies in teaching and learning for the newly recruited teachers. The process to strengthen the existing HRDCs is going on in addition to creating resources for comprehensive teacher training for newly recruited as well as experienced teachers.

The Ministry of Human Resource Development (MHRD) launched the Pandit Madan Mohan Malaviya National Mission on Teachers and Teaching (PMMMNTT), a flagship scheme

to rejuvenate teacher training in India. Several premier institutes such as IITs, IIMs, IISERs, and other established HEIs are taking lead role in developing content, training modules, master training and so on. Till 2017, eleven Schools of Education were established in eleven Central Universities focusing on inter-disciplinary teacher training. Among the major areas, the Schools of Education (SoEs), Teaching and Learning Centres (TLCs) and Faculty Development Centres (FDCs) are directly focusing on teacher development.

- (i) The objectives of the SoEs are to conduct various academic programmes, establish centres and conduct research in curriculum development, pedagogy, special education, language teaching, and develop as model institutions for teacher education to ensure integrated and inter-sectoral linkages.
- (ii) TLCs are established to develop discipline-specific curricular framework and evaluation methods for incorporation into workshops and short-term professional development programmes, outline and recommend pedagogy and schemes of assessment appropriate for the curricular framework; develop learning materials, including textbooks and handbooks and organize their translation into regional languages; and create repositories of resources, including reference services and electronic data bases for promoting research on issues relating to teaching and learning practices.
- (iii) FDCs promote organizational strategies for faculty development so as to incentivise teachers to grow professionally and to enable the institutions to put faculty development in place. This is expected to result in improved teaching performance and better learning outcomes for students and teachers. Along with it, FDCs also aim to promote new ways of thinking about student-teacher relationship, and increased commitment to educational scholarship.

Developing all round skills is a prominent aspect of FDCs.

- (iv) The Inter-University Centres for Teacher Education provide common advanced centralized facilities and services for universities not available within individual stand-alone institutions; bring convergence among the various activities of Schools of Education (SoE); offer the best expertise in teacher education; continuously upgrade teacher education curricula and publish advanced research studies relating to teacher education.

Other initiatives under the PMMMNMTT scheme include the establishment of Centres of Excellence in curriculum and pedagogy; in science and mathematics, subject networks, higher education academy, institutes of academic leadership, national resource centres and innovation awards.

9.8. Graduate traits in the Twenty First Century and Curriculum Reforms in Higher Education

9.8.1. Graduate Employability in India

The United Nations (UN) made employability as one of its four priorities for national policy action on youth employment. Following this, the Youth Employment Network suggested that all countries need to review, re-think and re-orient their education, vocational training and labour market policies to facilitate the school-to-work transition and to give young people a head start in working life.

The unemployment situation in India is worrisome as it varies from 50% to about 75% depending on the discipline of qualification. Under-employment of those employed is another area of concern in Youth Development. Since 500 million of our Indian population is below the age of 25, it is expected that an ever-increasing number of youth will be seeking higher education, graduating from higher educational institutions and seeking employment. If the present jobless

growth continues, increase in unemployment among the higher education graduates cannot be ruled out. Another important dimension is that educated young people are finding it increasingly difficult to get employed not only because of the phenomenon of jobless growth, but also because many of them do not possess the needed skills and competences to be employed as per the present standards expected in the labour market.

The widening skill set-job gaps are creating a new form of demand and supply imbalance in the labour markets. Many graduates are forced to supplement and complement their formal university degrees with other forms of skill-based education. A few students are also joining Massive Open Online Courses (MOOCs) while continuing with their regular degree programmes. These on-line courses are supposed to improve their employment opportunities in the future.

Some characteristics of the labour market may help in understanding the gravity of the situation. First, India needs a large number of people to be skill-trained. It is estimated that the number of people to be skill-trained would be around 500 million by 2020. Of this, total 25 per cent of the prospective employees will be at the post-secondary level of education. This translates into a skill training target of around 125 million youth at the post-secondary level. Educating and skilling this huge mass in the new knowledge and skill domains would be a huge challenge for the Indian higher education sector.

Second, a large share of the demand for skilled labour is concentrated in the service sector occupations. Data reveals that highly educated and formally trained workers prefer to work in the fast-growing service sector. This preference is also because the service sector employers prefer highly educated and skill-trained employees.

Third, the Government of India has identified twenty high growth sectors expected to provide employment to

the burgeoning labour force in the coming years. These are Auto and Automobiles, Building and Construction Materials, Building and Construction, Real Estate Services, Electronics and IT Hardware, Education and Skill Development Services, Food Processing, Gems and Jewellery, Healthcare, Textiles, Leather and Leather Goods, Organized Retail, Tourism and Hospitality, Transportation and Logistics, Media and Entertainment, Banking Financial Services and Insurance, Chemicals and Pharmaceuticals, Furniture and Furnishings, IT and ITES. Out of these, currently in India, graduate workforce is concentrated in limited sectors. After the IT/ITES where the percentage of graduate workers is much higher than 50%, closely followed by financing services, no other sector employs a sizeable proportion of graduate workers, except for community and personal services, power, trade and hotels. The challenge is thus two fold : first motivate and train the youth for other sectors showing promising growth and second, to encourage them to frequently upgrade and update skill delivery in response to the highly dynamic, volatile, technology savvy IT/ITES and financial services industry that employ the vast majority of the graduates.

Fourth, there has been an unprecedented growth in demand for professional and technical graduates in the past two decades. A simple reason behind this is that industries and occupations related to engineering and science have been amongst the top five on employment index across major regions of the world. However, recent years in India have seen some change of course with a few non-traditional disciplines like Music/Fine Arts, Library Science, Physical Education, Journalism, Social Work, and Travel and Tourism, amongst others, witnessing remarkable growth in enrolments. This is reflective of the changing mindset of society at large and of youth in particular. The youth today have become more enterprising and open and are ready to experiment with new job spheres. They take bold decisions to follow their hearts

and aptitudes in choosing their lines of study followed by careers. However, these still constitute a minority.

Fifth, with industrial transformation towards greater automation and sophistication, the demand for graduates with additional highly specialized skills is growing. The HE sector is unable to match the pace of these changes either through curricular modifications or through industry-academia collaborations. At present, the system is producing graduates with poor quality education and skills. The widening gap between the demand and supply of the right kind of skills has become very evident among graduates from many of our technical and professional institutions.

The supply side situation is characterized by its poor education levels and poor knowledge base of the prospective employees. Only 17 per cent have levels of education higher than the secondary level, a minimum benchmark globally accepted for work skills. Of these, it is only about 8 per cent that possess a formal college education with a graduation plus degree. On the basis of a suggestion by AICTE, the UGC has specified two degrees for vocationalization of education: B.Voc and M.Voc.

India has higher share of degree holders than diploma holders while in many countries, the situation is reverse. The major reasons behind this imbalance are the societal perception in India that degrees command a higher premium in the job market *vis-a-vis* diplomas. Moreover, studies reveal that diploma holders were preferred by mainly small and medium Industry for low paid occupations, while the young people aspire for better paid white-collar jobs. Consequently, the demand for university degrees continues to increase leading to an aggravation of unemployment among the educated youth.

The empirical evidence shows that the share of university graduates among the educated unemployed is increasing over a period of time. A break-up of graduate job seekers by streams of study reveal that a majority of them are from general academic

disciplines such as arts graduates topping the list and less from science, engineering, veterinary and education.

There exists high degree of disparities in graduate employability skills and this has regional, social-economic and gender connotations. Multiple factors such as family and cultural background, place of residence and education, quality and type of education, capability and ability to access additional learning sources have become the cause of differential employability quotient across groups and individuals. The problem of skills becomes all the more grave in rural and semi urban centres. Studies have shown that the gap between the employability of technical graduates between Tier I and Tier II cities is almost 50% for most of the high growth tech sectors in the country. The situation is far worse in case of graduates from other streams.

9.8.2. Twenty First Century Skill Requirements

It is rather difficult to define the concept of the so called 21st century 'employability skills' needed to meet the demands of the new economy. The skills needed include both cognitive and non-cognitive aspects of human behaviour and learning. In the light of an extremely dynamic labour market, fast changing technology, constant re-skilling and up-skilling is also required. The concept of employability skills is thus highly complex and contextual and can be said to be based on Yorke's three super ordinate constructs of employability that map somewhat fuzzily on to the listed items:

- a) Employability as demonstrated by the graduate actually obtaining a job;
- b) Employability as the student being developed by his or her experience of higher Education (i.e. it is a curricular and perhaps extra-curricular process); and
- c) Employability in terms of the possession of relevant *achievements*.

Employability skills can broadly be classified under three heads: knowledge, skills and attitude. Since technical skills are extremely industry-specific, there is a growing acceptance in the international community that for measuring comparative employability, generic employability skills should be given more emphasis. Over the past 20 years, definitions of employability have shifted from demand-led skills towards a more holistic view of 'graduate attributes' that include 'softer' transferable skills and person-centered qualities, developed in conjunction with subject specific knowledge, skills and competencies.

Employability skills have also been defined as composed of a positive approach (being ready to participate, making suggestions, accepting new ideas and constructive criticism and taking responsibility for outcomes), supporting three functional skills (namely, using numbers, language and IT effectively), to be exercised in the context of personal skills (namely, self-management, punctuality and time management), fitting dress and behaviour to the context, overcoming challenges and asking for help when necessary, thinking and solving problems, working together, communicating, and understanding the business (**The Employability Challenge (2009), UK Commission for Employability and Skills**). While there is general agreement amongst employers that generic employability skills are important in the 21st century, there is no definitive list of such skills. They may, however, be classified into the following:

- a) Fundamental skills such as literacy, using numbers, technology skills,
- b) People-related skills such as communication skills, interpersonal skills, influencing skills,
- c) Negotiation skills, team work skills, customer service skills and leadership skills,
- d) Conceptualizing and thinking skills such as managing information, problem solving, planning and organizing, learning, thinking innovatively and creatively, and reflective skills,
- e) Personal skills and attributes such as being enthusiastic, adaptable, motivated, reliable

responsible, honest, resourceful, committed, loyal, flexible, well presented, sensible, able to manage time and deal with pressure,

- f) Skills related to the business world such as innovation, enterprise, commercial awareness, and business awareness,
- g) Skills related to the community such as citizenship skills.

These skills may be known by several other names, including key skills, core skills, essential skills, key competencies, transferable skills, and employability skills. These skills are required not only to gain employment but also to progress within an organization i.e. sustainable employability.

However, all definitions and descriptions largely converge into similar opinions. In an ILO definition adopted by most countries, “Employability” refers to “the capacity and willingness of workers to remain attractive for the labour market (supply factors), by reacting to and anticipating changes in tasks and work environment (demand factors), facilitated by the human resource development instruments available to them (institutions).”

9.8.3. Linking Higher Education Curriculum with Employment

Under the overall purview of the National Skills Ministry and policy, with the support of the National Skills Development Corporation (NSDC), educational institutions have geared themselves to join hands with other stakeholders in the labour market as well as with society at large to take a plunge into preparing our youth for the world of work. Many new players and processes have emerged in response to the changing needs of society but job-oriented education in India is still very limited in size (available only to the elite and well-off sections), limited in space (urban centres and limited disciplines) as well as structure (curriculum, teaching-learning methodology).

The HE curriculum has remained more or less rigid and outdated in the maximum number of institutions across majority of disciplines.

There exists high degree of resistance to change in the university system. Faculty is neither ready, nor trained well to take up the additional responsibility of introducing effective job-oriented courses, making meaningful industry academia linkages. Infrastructure has become obsolete or insufficient for making desirous changes which are internationally competitive. Academic, vocational, and technical education until recently remained distinct streams with very little scope of either horizontal or vertical transitions across each other and, hence, the new initiatives need a lot of hand holding for proper implementation.

The existing disconnect between the three major stakeholders of the education : the employers, education providers and students is a major challenge. The three stakeholders live in parallel worlds with little or no scope for regular communication or any engagement with each other. Employers hardly ever communicate with education providers to clearly state any of their needs, nor do the education providers engage in any kind of industry need assessment before starting a course or designing the curriculum. Living in silos, they are least able to guide students in making the choice of their subjects and disciplines. Very few students have a good understanding and awareness regarding the disciplines that lead to professions with good job openings and wages. Whatever little information they have is in an informal manner from family and friends. There is hardly any structured forum available for informed decision making by students. A robust open resource Labour Market Information System (LMIS) and online employer counseling may help plug these gaps.

It is important to understand the following dimensions of the problem:

- a) The determinants of Education to Work transition;

- b) The issues experienced by students/graduates in making effective transitions to the world of work/labour-market;
- c) The availability of support mechanisms for effective transition to the world of work;
- d) The role of guidance and counseling services;
- e) Indigenous knowledge and skills;
- f) Importance of soft skills and entrepreneurship skills and their integration into the curriculum as well as ways of imparting these skills;
- g) Education-employer Interface.

Academic renewal of curricula regularly according to the emerging needs of the changing job context both nationally and globally is necessary. Pedagogical changes should not just be limited to using new teaching–learning aids but need a complete reformation towards a learner-centric approach. Today information is available at the click of a button. The core of pedagogic changes should focus on how to use that information to generate and assimilate knowledge. Mandatory experiential learning in science, industry or social /community labs, by way of long duration internships at the undergraduate level is the need of the times.

Drawing from the labour market trends of a slowly diversifying employment base in India, new occupations and industrial units are coming up. The growing higher and middle class is ready to experiment and take risk with non-traditional professions. This gets reflected in the growing demand for courses in catering, media, animation, fashion, designing, event management, and other such courses. The higher education base for such non-traditional courses is extremely narrow. Many institutes that have come up in recent years in a sporadic fashion to quickly fill the gap are unrecognized and non-accredited, mainly giving short-term training courses rather than full-fledged graduate programmes. Well-structured degree programmes are essential to fully equip students with the required skills to sustain in the highly competitive global

environment and to rise up the career ladder. For such graduate programmes, scalability with quality control is required.

Institutions and programmes meant for middle and high level workers, executives and professionals should be opened aimed at up-skilling the working group. Currently, such programmes are run only in a few select management and engineering institutes. Up-skilling is a rising demand of employers across all industries, hence not only the scalability of such endeavours but also its diversity across other professional and non-professional streams is needed.

Innovative programmes like low cost bachelor of vocational studies, and one year/short-term sandwich vocational/hands-on work programmes, need to be promoted at the college level. Trainee schemes for graduates by large corporate and public sector organizations leading to professional/vocational/academic degrees/certificates may be increased and strengthened.

Career Services of universities to students will provide a gamut of professional support and guidance to students seeking employment. Placement cells with full-fledged trained placement officer and support staff have to be compulsorily established in order to generate and share labour market knowledge, provide career guidance and counseling and help in resume development. Such services may be sought from private players existing in the market on campus and at subsidized rate for all or differentially charged. For universities and big colleges, placement cells should be a permanent, regular body. However, for small sized institutions, such services may be provided with private participation on a monthly or quarterly basis. In order to make it financially viable for small institutes, a common placement cell may be created in a collaborative fashion.

9.8.4. Role of Networking and Connectivity in the Employment Market for Graduates

Networking and connectivity have become important in the HE sector so as to improve the employability quotient

of the students. Strong connectivity needs to be built at the local, national, and international levels. Very few educational institutions, mostly the premier ones, have been able to create such networking. A multitude of networking may be intensified both at the university and at the institutional levels.

9.8.4.1. Industrial Networking

Two-way flow between academia and industry has found an important place in the existing literature for improving student employability. It is the need of the hour to develop academic networking with global and national academia on the one hand and industry and corporate houses on the other. Knowledge exchange programmes by universities and experiential exchange programmes by industry are a common practice in the developed world. But the Indian situation warrants a unique approach to make this happen on a large scale, given the extent of diversity in its HEIs.

Right from curriculum development to transaction to high end research, such connectivity is a must in order to make the HE system market responsive. While it is possible for all institutions to take industrial support in the first two activities, if not globally at least locally, it is neither feasible nor desirable for each big and small institution to engage in high quality research for want of technical and human resources for the same. But it can be made mandatory for all the HEIs creating surpluses through charging high fee to spend a certain minimum amount of their earnings in hard core R&D by collaborating with local and regional industries or with other national and international institutions of research.

Industry sponsored research is also a small segment restricted only to the four walls of the few Indian elite HEIs. Greater momentum needs to be generated in this direction, particularly by bringing Central Universities in its inner circle. In order to promote graduate placements, particularly in smaller towns and cities, academia must be linked to Small

and Medium Enterprises (SMEs) locally as well as nationally. Identifying new courses in coordination with small and local entrepreneurs so that the students are able to seek employment near their home towns and employers are able to find the right talent locally will help make suburban and rural areas more dynamic and lessen the burden of congestion in urban centres.

9.8.4.2. Global Networking

The global experience of different countries and cultures is fast gaining on global employability needs due to the shrinking world of labour market. According to a study, 65 per cent Indian employers indicate having overseas exposure, be it short-term study or work tours, as one of the important considerations while hiring in multi-national corporations (MNCs). In fact, in such a vast and diverse country as India, such inter-state collaborative measures are also desirable. Group internships through institutional collaborative arrangement, transfer and mutual recognition with foreign universities are required.

9.8.4.3. Social Networking

With the growing importance of Corporate Social Responsibility (CSR), employers have also started valuing the involvement of students' in social work. Efforts should be made and opportunities consciously explored to compulsorily involve students in social activities by forming clubs and promoting serious interaction with the local society. This would not only help generate awareness regarding the local and the global issues related to social, environmental, religious and political spheres, but also give a real life experience to students in improving the 'world around you'. The following are some of the issues in this regard:

- a) Making community the classroom for learning the lessons of life;

- b) Compulsory involvement of undergraduates in community service with financial support from private sector under CSR;
- c) Engaging faculty and post graduates in socially relevant research projects;
- d) Credits for community involvement in student assessment, faculty appraisal, and institutional accreditation.

CHAPTER X

UNIVERSITY E-GOVERNANCE AND ADMINISTRATIVE, PROFESSIONAL AND LEADERSHIP DEVELOPMENT PROGRAMMES IN HIGHER EDUCATIONAL INSTITUTIONS

10.1. Modernization of University Governance

Total Quality Management (TQM) is proposed as a way to enhance the traditional way of managing any organization. It is a world over proven technique to guarantee survival and further growth in a competitive market through transformation of entire organization. Briefly, TQM is the art of managing the whole institution so as to satisfy the needs of internal and external stakeholders and to achieve excellence.

Thus TQM is both a philosophy and a set of guiding principles that represent the foundation of a continually improving organization, in this context, the universities. One of the modern tools projected today for achieving TQM in a university is by e-Governance.

E-governance is the use of Information and Communication Technologies with the aim of improving information and service delivery, encouraging citizen participation in the decision making process and making institutions more accountable, transparent and effective.

The issue of e-governance has gained a process of development, with innovations being tried in many different

countries as part of broader reforms of the higher education sector. E-governance can achieve many functions, especially those of providing information, acting as a channel linking the communication of citizens and public officials and facilitating citizen actions. The importance of e-governance for general services in the public sector and its value in the educational institutions is of paramount significance.

In view of the above, any university has to conceive and concretize the e-governance programme with the main objective of developing a software package in a standard Data base environment running on a campus-wide network that will provide a smooth flow of information, commands, requests and reporting between the “university administration” and “students, teachers, staff and public” so as to enhance the speed and quality of internal functioning as well as to provide a “user-friendly” access to outsiders. This should be a level above the concept of “Office Automation”, and would demonstrate how Information Technology tools can lead to definite improvements in productivity, efficiency and ‘customer satisfaction’ in the environment of a typical Indian university. A measurable result of this would be a substantial reduction in the use and movement of paper, as well as reduced need for the movement of people searching for information, leading to transparency, reduced delays, cost saving as well as environmental conservation.

10.2.E-Governance in the University System

Every university has to network and interconnect all the campuses and units by local area network (LAN) for each one of the campuses. On completion, the university has to implement the following core applications for the university operation:

- a) Academic Processing System
- b) Finance, Accounts and Purchase & Inventory
- c) Payroll & Human Resource Management Systems

- d) Assets management
- e) Examination, evaluation, and results processing.

These initiatives will improve the internal efficiency and will benefit the stakeholders (affiliated institutions, students, employees and others connected to the university functioning) through improved services.

10.2.1 Objectives of the E-Governance Project

- a) Automating all the academic related operations
- b) Making affiliation process and student registration online, including electronic payment
- c) Establishing a single student's master database which will be common for all the operations
- d) Establishing affiliated institution database
- e) Establishing curriculum related databases
- f) Establishing subject master with course identity and title.

10.2.2 Establishing an Integrated Financial System which Takes Care of all Financial Operations of the University and Interacts with Other Sub-systems:

- a) For all student related operations, student's master database to be used by Finance and Accounts;
- b) Preparation of Income and Expenditure account on accrual basis;
- c) Preparation of Balance Sheet at periodic intervals;
- d) Preparation of Consolidated Accounts comprising of all accounts which includes maintenance of all ledgers online;
- e) Transparency in all financial matters, duly exhibiting the fund position, assets, liabilities, accrued income, accrued liabilities and stock position and other related matters. It should

- exhibit true and fair view of the financial position of the institution;
- f) Compilation of accounts to enable furnishing details of expenditure to the funding agency at any point of time;
 - g) Accommodate any changes that could be brought by the university in future;
 - h) Checks and balances with in-built controls.

10.2.3. Establishing a Payroll and Human Resource Management System to Take Care of the University Requirements and Interact with Other Sub-systems:

- a) To automate the operational process for Human Resource Management;
- b) To maintain the Employee Records (Service Book) of every employee;
- c) To process the payroll of every department of the university with minimal manual intervention;
- d) To provide an integrated joining-to-separation cycle providing on-line MIS reporting of all employee-related information;
- e) To provide employee self-service options in areas like Payroll, Loans & Advances, Leave Management, Statutory Contributions, Training and others;
- f) To build up-to-date consolidated HRM information for effective HRM planning among departments;
- g) To achieve better communication, horizontal integration and more streamlined processes through establishing a richer collaborative system environment among the departments so as to provide a single window access to HRM transactions which usually cut across departments;

- h) To provide an open and flexible system which will fulfill and improve the information needs of operational and managerial processes at the different levels of departments.

10.2.4. Establishing Assets Registry to Take Care of the Properties and Facilities of the University:

Maintain the property details including the land and building details and the drawings:

- a) To manage the civil and electrical and pipeline infrastructures;
- b) To monitor the additions and deletions of the property details;
- c) To account the annual maintenance of infrastructure including computers, AC, intranet-internet fixtures and other communication devices;
- d) To record costly equipments and their maintenance;
- e) To maintain and enumerate all movable assets.

10.2.5. Establishing the Examination cum Evaluation Management System:

This e-governance module is to be designed and developed as an end-to-end architecture to take care of:

- a) Students' online registration for the various examinations, issue of online hall tickets and conduct of examinations in the assigned examination centres using Internet of Things (IOT) Technologies;
- b) Evaluation of answer scripts and e-processing of their marks/grades;
- c) Results processing e-technologies, announcements and e-grievance redressal system;

- d) Processing of certificates indicating marks/grade and digital repository creation together with participation in national e-repositories.

Thus the expectations of the students, parents and other stakeholders or, the society as a whole, from the university system have undergone a major transformation. The academic administrators at all levels in the university system have to be fully aware of these changes and be capable of meeting the new challenges through good governance and use of modern digital technologies.

10.2.6. Training and Capacity Building: Essential Requirements

In order to cope with the good governance requirements, three components of training are to be emphasized, viz., imparting knowledge, skills and developing correct attitude. The administrators at the top level have numerous functions, i.e. they are multi-functionaries, whereas at the lower level, the functions designated are very specific in which they are expected to be efficient. Emphasis in training should be on shared values of the university and these should be provided at all levels.

The training structure should be flexible rather than adopting a bureaucratic approach to training. It should impart training based on the functional responsibility of the person. Considerable emphasis should be given to value addition, effective resource allocation on priority basis and team work. The training should not only be for the present but should also be a preparation for future decades. Hence, a futurological exercise would be relevant, say till 2022.

10.2.7. Suggested Levels of Training

Professional development training programmes for educational administrators may be developed at FOUR levels:

10.2.7.1. Level I Comprising Vice-Chancellors, Pro-Vice-Chancellors and Governing Council / Syndicate / Board of Management Members

The Vice-Chancellors and senior officers have to take strategic decisions about the vision and the future growth of the concerned institution(s). Therefore, wide ranging training inputs to facilitate these officers to develop both short-term as well as long-term vision with associated technology and management requirements are considered necessary.

The training shall have to be imparted using multiple strategies including seminars, across the table discussions, briefing sessions, audio visual demonstrations, ICT based hands-on wet workshops, case studies, handbook and manual for self-learning, papers for ready consultation, and national and international exposure by way of visits and interaction. Vice-Chancellors/Pro-Vice-Chancellors/Governing Council/Syndicate/Board of Management members will be required to undergo this 'Induction Training Programme' immediately on assumption of office.

10.2.7.2. Level II Registrars, Finance Officers, Controller of Examinations, Deans, Directors in Universities, HODs of University Departments and Principals of Colleges

Training for this category must emphasize the need to orient them to be service providers (facilitators). It help them to deal with students, management of the areas of teaching, research, examination and extension work, curriculum development, computer literacy, behavioral and organizational structure, education policy, finances, auditing requirements, e-governance and others functions that they are required to perform. In addition, interactive teleconference inputs are suggested in the last two days of training.

A product mix of training methodologies including lectures, group discussions, case studies, self-development exercises, use of multi-media, ICT tools, and virtual realities, comprehensive finance/auditing procedures, man-power management protocols including disciplinary procedures will have to be the total package for this programme.

10.2.7.3. Level III Deputy Registrars in Universities and Bursars/HODs in Colleges

The programme may focus on practical aspects concerning the specialized functions of the university such as general administrative norms, e-governance details of the institution, examination, finance and accounting in much greater depth along with refresher courses in the hands on use of ICT based technologies. In addition, the participants could be exposed to procedures, Rules, Ordinances, Statutes, Acts, and the functioning of the Executive Council, Academic Council, Court, and other statutory bodies, besides information on the funding agencies at national and international levels. This can be called, “Administrative Refresher Programme” for duration of two to three weeks to be undergone soon after every promotion or after assuming office on the said post.

10.2.7.4. Level IV Assistant Registrars, Section Officers, Assistant Section officers, Assistants, Upper Division Clerks and Equivalentents.

Initially, a broad based basic programme should be offered to cover subjects like organization analysis, office management, noting and drafting, forms and procedure of communication, editing of files, elements of book keeping and accountancy, file system, writing skills, management system and computer training and other such functions.

The second higher level course may focus more on practical aspects concerning the specialized functions of the university such as examination, finance or accounting in much greater depth. In addition, the participants could be exposed to procedures, rules, ordinances and the functioning of the Executive Council, Academic Council, Court and other statutory bodies.

At the third level, the emphasis may be on human relations, communication skills and conceptual skills needed for efficient university administration. An advance course on the application of computers in the examination and financial and auditing branches could be highlighted.

Specific case studies, group exercises, individual project requirements and class sessions on specific problems faced by the individual organization should be given priority which shall be an intensive programme of 4 weeks duration.

10.2.8. Evaluation of the Training Programme:

In the case of officers at **Level I**, the written and oral feedback from the participants through a structured proforma shall be used to evaluate the impact analysis of the training programme and the learner capacity to assimilate them. In case of officers at Level II, the impact of the training shall be evaluated through written feedback from the participants by using multiple choice questionnaires before and after the programme for the benefit of the instructors. For Level III, at the end of the programme, the impact of the training should be evaluated through questionnaires suitably devised for the purpose and by making the participants undergo a simple test which evaluates their learning during the training programme. For Level IV, a structured theory and a computer-based test may have to be put in place which they would have to complete during their probation before the appointments are confirmed.

10.2.9. Training: Mandatory or Optional

Till now in India, the training of educational administrators has not been given the importance it deserves. It depends upon the individual person whether or not to join a training programme to improve his or her efficiency and skills. In Indian conditions, not many opportunities are available to the employees for such training. Making the training mandatory may introduce an element of compulsion and resentment on the part of employees, which, in turn, will affect the quality of training. On the other hand, making it optional will not encourage the individuals to participate in training visualizing it as a gain for the organization in which they are working, rather than a personal gain. It would, therefore, be best to adopt a strategy whereby the individuals are encouraged to take up the training programmes on their own. Appreciation or reward or certificate must be a part of the programme. One of the possible ways could be to link training to career advancement. To accomplish this, the training indicated above shall be one of the essential requirements for promotion, particularly to Levels III & IV which comprises about 95% of the staff in Indian conditions. As far as motivating the participants at Level I is concerned, it has to be the case of self-motivation. For Level II, training shall be made a pre-requisite for taking charge of the new assignment.

10.3. Professional development of Higher Education Teachers

Teachers have a central role in shaping the minds of students and, hence, the destiny of the education system in the country. The quality of teaching depends on the quality of teachers entering the system. It is rightly remarked that quality of an educational system may not exceed the quality of the teachers in the system. Traditionally, teaching depended on the course content and textbooks. Learning at higher educational levels does not focus on rote learning or improving capacity

to reproduce contents. While the approach to learning at the school level is largely surface and rote learning, the approach to teaching and learning in higher education is to read and interpret the study material in the way students would like to do so. (Trigwell and Prosser, 1991).

The effectiveness of teaching depends on the quality of teachers who enter the system and on professional development opportunities they get after recruitment. The former issue of teacher recruitment is discussed in detail in Chapter VI. This Chapter is devoted to the discussion of professional development of teachers after they enter the system. School education in India organizes pre-service and in-service training programmes. However, such opportunities are less in the higher educational sector. Professional development becomes all the more important in the present times, because the information transmission role of teachers has reduced considerably with the advent of technology assisted flow of information. The different commissions and committees which dealt with the issues of teacher training from the very beginning recommended mechanisms to be put in place to ensure that teachers are familiarized with the latest developments in their respective domains of knowledge. This Chapter highlights the initiatives taken by the government and the UGC to facilitate professional development of teachers in India.

10.3.1. Professional Development of Teachers in the Initial period: The Committees and Commissions on Professional Development of Teachers

10.3.1.1. Radhakrishnan Commission (1948)

The first education commission of independent India was the **Radhakrishnan Commission (1948)** on higher education. The Commission believed that ‘the teachers can do much to raise the tone of the universities. It is in educational institutions that we can train character, build personality, by

the discipline of body, intelligence and will'. The Commission noted that "No teacher who is not a master of the field, who is not in touch with the latest developments in his subject and who does not bring to bear upon his duties a free and untrammelled mind will ever succeed in inspiring youth with that love of truth which is the principal object of all higher education". However, it recognized that the situation of teaching "is far from satisfactory" as they lack "freshness" and teaching is full of repetitive information.

To improve teacher qualities, the Commission suggested the following reforms:

- (a) Refresher Course for intermediate college Teachers;
- (b) Refresher Courses to be organized by the universities;
- (c) Stimulus for Refresher Course by linking it with promotion.

In 1964, UGC, in collaboration with United States Agency for International Development (USAID), organized sixteen summer schools for university and college teachers in India. In 1966-67, the National Science Foundation, USA, along with USAID, extended support to assist teachers of science, engineering and technology in India. The UGC independently organized three summer institutes in Chemistry, Mathematics, and Biology and also provided assistance for conferences, symposia, refresher courses, seminars and others. In 1966, UGC took a pivotal role in improving teacher salaries as an effort to incentivize quality teaching.

10.3.1.2. Kothari Commission (1964 - 1966)

The **Kothari Commission** recommended providing financial assistance to teachers in universities and colleges to undertake research and scholarly works in science, humanities and social sciences (Sharma, 2013). Other schemes were also put into place to boost research and academic activities, where grants were provided for various academic purposes. Workshops and

Orientation Courses for college teachers, invitation to selected college teachers to spend an academic year with a university, were some of the programmes for the science faculties. Later, this scheme was extended to humanities as well.

The **Kothari Commission** also emphasized equality in access to education while focusing on improving the quality of higher education. It recognized the pivotal role of teachers in national development and an urgent need for their professional development.

The Commission recommended that;

- (a) All new teacher recruitment should be during summer vacation so that the new entrants to the system can join the Orientation Programmes from the very beginning which will allow them and the students the needed time to adjust.
- (b) As an experimental step, the Commission suggested that senior post-graduate students might be given occasional opportunities to teach, so that they gain important insights about teaching and later can become better teachers, if they opt for it.
- (c) Junior faculty may be mentored by senior faculty members as an effort to informally improve their teaching qualities.
- (d) The Fifth Plan provided financial support for University Leadership Projects, refresher and short-term courses of six-week duration, refresher courses through correspondence and so on.

10.3.1.3. The Sen Committee (1973)

The **Sen Committee** which was appointed during the Fifth Plan submitted its report in 1974. The Sen Committee report recommended:

- (a) Research activities for teachers and students;
- (b) Linking teachers' salaries with improvement in the qualities of teachers; and
- (c) UGC to undertake major programmes for providing training in collaboration with universities in suitable centres.

10.3.2. Professional Development of Teachers During 1980-2000

During this period (1980-2000), a strong need was felt to invest on teacher development. Proposing pre-induction, induction and in-service trainings are some of the stronger recommendations which appeared over and over again in policy documents. It is possible to see the difference between pre 80s and post 80s era regarding the issue of teacher development, where compared to the earlier period, a systematic approach was on the rise in the later stage.

In 1981, the UGC published the **Report of the Review Committee on UGC Programmes** to undertake a comprehensive review of the various programmes being implemented and to suggest further changes, wherever necessary. In an effort to improve the quality of teachers, UGC suggested:

- (a) providing opportunities for faculty improvement programmes which can facilitate teachers to keep abreast of modern developments in their fields of study and research and to exchange ideas with experts in similar or related fields through seminars, summer institutes, workshops and conferences;
- (b) enabling teachers, especially college teachers, to improve their professional competence through opportunities to work for M.Phil. or Ph.D. with adequate provision of salary and living expenses;
- (c) focusing on improving the mobility of teachers and enabling college teachers, especially from the backward areas, to avail the service of the outstanding teachers, travel grants, visiting fellowships, and so on;
- (d) enabling teachers to take time off from their normal teaching and engage themselves in writing the results of their studies and research and to opt for national fellowships, national associateships, and other opportunities.

The document also added a note on changing the role of traditional teaching. It recommended that lectures should be supplemented by tutorial instruction and, thereafter, students should turn to the library to find for themselves, with the help of reference libraries, the relevant materials.

10.3.2.1. National Commission of Teachers (1983)

In 1983, the Government of India appointed the **National Commission of Teachers under the chairmanship of Dr. D.P. Chattopadhyay**. The Commission observed that the majority of our Teaching Colleges and Training Institutes is not adequately equipped to provide quality training. The Commission recommended the opening of education departments, so that a section of students can be trained in teacher education.

10.3.2.2. Mehrotra Committee (1983)

In the same year (1983), the UGC constituted the **Mehrotra Committee** to review the pay-scales of teachers in universities and colleges. In addition to recommending pay revisions, the Committee also suggested well defined steps for the professional development of teachers. The fall-out of the Mehrotra Committee recommendations was the establishment of training programmes for teachers. The Committee felt that:

- (a) it is essential to impart training to those who are entering the teaching profession so that they could competently perform the various functions expected of them;
- (b) teachers at the university level had shown scant attention to the pedagogical aspects of teaching learning process as they do not have any formal training in pedagogy. Hence, a majority of these teachers need training at various levels of their career;

- (c) teachers must undergo training at the pre-induction stage;
- (d) there should be facilities available to provide orientation towards the profession and skills such as curriculum design, using audio visual aids, communication, educational psychology, evaluation methods and medium of instructions. Such qualities and skills need to be enhanced to improve the qualities of the teachers and teaching.

10.3.2.3. The UGC set up a working committee to work out the details of an orientation programme for higher education teachers.

- (a) The working committee inter-alia proposed to put in place the course packaging in major disciplines on video-point that would be available to teachers. This will help them to get the latest knowledge in the field of specialization.
- (b) The UGC decided to create awareness about the direction that the higher educational system was taking and the role of teachers in it.

One of the significant steps was the creation of institutional structure to provide in-service Orientation Programme for teachers of higher education. Forty eight Academic Staff Colleges (ASCs) were approved to organize Orientation Programmes for the newly appointed teachers (1987-88). They are renamed 'Human Resource Development Centres' (HRDCs) in 2015 and, at present, the country has 66 HRDCs. The main objective of ASCs and their programmes was to enhance the motivation and general awareness of teachers to ensure systematic orientation in specific subjects, techniques and methodologies. Each ASC was expected to organize five to six orientation programmes of four weeks' duration in a year. While 85-90 per cent of the teachers were to be enrolled from

the notified catchment area, the rest could come from other parts of the country.

10.3.2.4. National Policy on Education (1986)

The National Policy on Education (1986) envisaged professional development of teachers of higher education by organizing specially designed orientation programmes in teaching methodologies, pedagogy, educational psychology, and others for all new entrants at the level of lecturers. It emphasized on

- (a) Refresher courses for serving teachers to cover every teacher at least once in 5 years;
- (b) Orientation programmes by using internal resources of the universities and by bringing a number of colleges together;
- (c) Encouraging teachers to participate in seminars, symposia and other academic events.

10.3.2.5. Development of Higher Education and Research in the Universities(1986)

In 1986, another major document titled '**Development of Higher Education and Research in the Universities**' was released by UGC. As a follow up to the previous recommendations, this report dedicated an entire chapter, Chapter VI, for faculty development where the critical role of teachers in determining standards of higher education was described. The UGC encouraged the existing faculty development programmes, schemes for visiting professorship, and schemes to provide time to teachers for the research work and development. The National Fellowships, National Associateships, National Lectures, Teacher Fellowships, Career Awards, Travel Grants and other facilities were continued as a part of the support system for professional development of teachers of higher education.

One important programme introduced during this time, was the Merit Based Promotion of teachers. The scheme aimed at providing suitable opportunities to teachers working in HEIs for their career advancement in recognition of their significant contribution to teaching. Though this is not directly an initiative for teacher training, it may be considered as a trigger which influenced many teachers to excel in teaching and pro-actively engage in teacher developmental activities.

10.3.2.6. Report of the Committee on Revision of Pay Scheme of Teachers in Universities and Colleges (1986)

In the same year (1986), the UGC published another document titled '**Report of the Committee on Revision of Pay Scheme of Teachers in Universities and Colleges**'. The Report recognized the rapid spread of higher educational institutions, especially colleges, and the need for qualified and trained teachers. In an effort to improve teacher quality, the UGC recommended:

- (a) Orientation Courses of 3-4 week long duration designed for new faculty members;
- (b) Refresher courses of longer duration (5 weeks) which will allow teachers to gain in depth understanding of teaching pedagogies and subject competencies. This will, according to UGC, provide better exposure to newer materials and better ways of disseminating the existing and new knowledge;
- (c) A systematic provision to evaluate the teachers in the Orientation/ Refresher courses during the probationary period;
- (d) Encouraging participation of teachers in conferences, seminars and other academic events;
- (e) Teacher evaluation by students, self-appraisal by teachers and evaluation by seniors in the institution and peers in the discipline. However, the UGC also

reckoned that for such evaluation, the pros and cons should be studied thoroughly.

10.3.2.7. Report of the Rastogi Committee to Review the Pay Scales of University and College Teachers (1997)

In May 1997, the UGC published the 'Report of the Rastogi Committee to Review the Pay Scales of University and College Teachers' (UGC, 1997). The Committee focused on the need for pre-induction training programmes through the ASCs. The Report confirmed that the Orientation and Refresher course programmes seem to have taken some roots in the university system. However, the Committee suggested the delinking of the programmes from the Career Advancement Scheme. There were three important points which were brought to the notice of the Committee. These are:

- (a) The existing number of ASCs cannot cater to the needs of all the teachers who seek career advancement;
- (b) In a number of cases, teachers are unable to get permission to attend the courses during the working session; and
- (c) The courses, at times, are not cohesive and well-organized;
- (d) The Committee expressed its concerns about the partial effectiveness of the ASCs and their training in improving the qualities of teaching substantially.

10.3.2.8. Recommendations of the University Grants Commission on the Report of the Pay Review Committee'

As a follow up to the earlier Committee, the UGC released the 'Recommendations of the University Grants Commission on the Report of the Pay Review Committee' (December, 1997). The Commission recommended the need for:

- (a) Pre-induction training for newly-recruited teachers through ASCs by deputing them for such training; Principals of colleges and the heads of departments should prepare proper schedule for such deputation;
- (b) Encouraging senior teachers to participate in seminars, discussions and other academic activities.

10.3.3. Professional development of teachers during 2000-2018

One of the most significant moves in the direction of faculty development in the post 2000 period was the consistent intervention to strengthen the ASCs.

10.3.3.1. The UGC Guidelines for Academic Staff Colleges (UGC, 2002)

The UGC Guidelines for Academic Staff Colleges (UGC, 2002) provide for the functioning of the ASCs in a more elaborate manner. The Guidelines focused on:

- (a) Specially designed Orientation Programmes for all new entrants at the level of lecturers in pedagogy, educational psychology and philosophy, including socio-economic and political concerns;
- (b) Organizing such Orientation Programmes and Refresher Courses for serving teachers to cover every teacher at least once in three to five years;
- (c) Organizing specially designed Orientation Programmes and Refresher Courses in IT for new entrants as well as for in-service teachers.

In these guidelines, the UGC pointed out the importance of Educational Technology and Orientation in Information Technology. The Special Orientation Programme in IT is to:

- (a) create Internet literate people from amongst new entrants as well as in-service teachers; and
- (b) make them familiar with the use of software tools irrespective of their subject or discipline.

The Guidelines reaffirmed that acquisition of knowledge is a two-way process between the teachers and the taught and, therefore, collectively they must advance the frontiers of knowledge. In order to ensure its objectives, UGC pointed out that the courses on faculty development were not similar to B.Ed or M.Ed programmes, and should be treated and designed differently. It recommended that:

- (a) The Orientation Programmes should be flexible in nature which will allow the teachers to discover themselves through a positive appreciation of their role in the total social, intellectual and moral universe within which they function.
- (b) The Orientation Programmes must improve teacher awareness of the problems that Indian society faces, and that education is the solution for these problems. It recognized that focusing on matters relating to subject knowledge and pedagogy would be meaningful only if designed and executed based on the Indian context.
- (c) Along with the orientation of the newly-recruited teachers, the UGC recommended extending this programme for the Heads of the Departments, Principals, Deans, Officers and other officials;
- (d) The Orientation Programmes were to focus on:
 - (i) Awareness of linkages between society, environment, development and education;
 - (ii) Philosophy of education, Indian education system and pedagogy;
 - (iii) Resource awareness and knowledge generation;

(iv) Management and personality development.

Overall, the ASCs are supposed to equip teachers with the following:

- (a) General Awareness about higher education and national development; promoting national integration; developing scientific temper; information on UGC schemes and programmes;
- (b) Learning: imparting knowledge and skills; new education technology; developing new restructured courses; subject competency;
- (c) Planning: preparing teacher's own academic plan;
- (d) Management: managing library; managing financial resources;
- (e) Development of Corporate Life: dealing with students, creative work.

10.3.3.2. The Tenth Plan Guidelines for Faculty Improvement Programme (2002)

The Tenth Plan Guidelines for Faculty Improvement Programme (2002) provided for assistance in the form of 'teacher fellowship' for doing M.Phil or completing Ph.D. to teachers who were recruited in Indian Universities and Colleges (recognized by the UGC under section 2(f) and 12B of the UGC Act, 1956).

10.3.3.3. Revised Guidelines for Academic Staff Colleges (2007-2012)

During the XI Five Year Plan, the UGC came up with Revised Guidelines for Academic Staff Colleges (2007-2012) which uphold the virtues of the former guidelines, but focuses more on the massifying higher education in India and associated issues which teachers are supposed to deal with effectively. The new Guidelines stressed on:

- (a) understanding the linkages between education and economic, socio-economic and cultural

- development, with particular reference to the Indian polity;
- (b) acquiring and improving the art of teaching at the college/university level to achieve the goals of higher education;
 - (c) keeping updated of the latest developments in their specific subjects;
 - (d) understanding the organization and management of a college/university and perceiving the role of teachers in the total system;
 - (e) utilizing opportunities for development of personality, initiative and creativity; and
 - (f) promoting computer literacy as well as use of ICT in teaching and learning processes.

The Guidelines recognized that due to the expansion of higher education, the quality has degraded noticeably, which needs to be restored and improved further. Mentioning the degradation of quality as 'disturbing', UGC clearly stated that this state must be reversed and teachers and educational administrators need to take pro-active role in the right direction.

The 2009 document of UGC supported the Orientation Programmes and Refresher Courses for teachers to be conducted by UGC-Academic Staff Colleges (UGC-ASCs) and UGC-Refresher Course Centers (UGC-RCCs). In 2009-2010, another supporting document about the guidelines for ASCs further clarified the eligibility conditions for teachers to attend the programme/course(s), required number of courses for career advancement and the restructuring of courses using experts of eminence as resource persons. The UGC, in order to bring quality in the professional development programmes, introduced this new step, where the help of experts of eminence was to be taken for the development of course content as well as for teaching.

10.3.3.4. Guidelines for the Special Scheme of Faculty Development Programme for Colleges for the Twelfth Plan (2012-2017)

Another major guideline on teacher training was published during the XII Plan period titled 'Guidelines for the Special Scheme of Faculty Development Programme for Colleges for the Twelfth Plan (2012-2017). These guidelines clarified the UGC's position on the conditions of eligibility for teacher fellowship for M.Phil. / Ph.D., number of fellowship and reservations, procedure for applying for such fellowship under the scheme and so on. The document also gave its guidelines on the participation of teachers in academic conferences. In both cases, only permanent teachers were eligible to avail of such career benefits. Similarly, only permanent faculty members were allowed short-term visits to reputed institutions.

Highlighting the issue of student employability and the need for improved teaching to cater to it, the UGC in 2015 published the Guidelines to transform the existing ASCs into two level system in the form of a Scheme of setting up Human Resource Development Centres (HRDCs) and Regional Centres for Capacity Building (RCCBs) in selected universities in the country to create new systems commensurate with the expansion of higher educational institutions with the following broad plan of action:

- i) To organize specially designed Orientation Programmes (OPs) in pedagogy, educational psychology and philosophy and socio-economic and political concerns for all new entrants at the level of Assistant Professor;
- ii) To organize advanced level and more discipline-oriented Refresher Courses (RCs) for in-service Assistant Professors; for capacity enhancement and continuous knowledge up-gradation and exposure to emerging developments of faculty institutions of higher education;

- iii) To ensure that every teacher in higher education system of our country is exposed to an OP and a RC at least once during the first three to five years of his/her career;
- iv) To organize specially designed OPs/RCs to enable the faculty to utilize fast growing Information and Communication Technology support to teaching and research;

Teacher training is to be carried out at two levels,

- (i) Regional Centres for Capacity Building (RCCBs) with a Regional Programme Planning and Management Committee (RPPMC) for monitoring.
- (ii) Human Resource Development Centre (HRDC) with a Local Programme Planning and Management Committee (LPPMC) for monitoring.

The **Regional Centres for Capacity Building (RCCBs)** are recommended to focus on:

- i) Development and maintenance of online interactive connectivity for functional operations with all the HRDCs in the concerned region, and facilitation of e-content delivery, using the resources of the National Mission of Education through ICT (NMEICT), and adoption of emerging technologies and Massive Open Online Courses (MOOCs);
- ii) Developing a repository of experts with brief resumes who may be available for conducting the programmes in HRDCs in the region;
- iii) Development of a multimedia repository of some of the best content delivered in the Region or other Regions through collaboration for mutual sharing;
- iv) Setting up of a regional documentation-IT enabled centre-cum-library for reference and source materials necessary for the programmes;
- v) Communicating and managing the display of advisories to the participants in advance giving the theme, focus and other details about the programmes;

- vi) Maintenance of an information portal giving all the details about the programmes planned by the RCCBs and HRDCs in the specified region with names and brief CVs of resource persons and preferably full text or at least power point presentations with abstracts and references of the content proposed to be delivered;
- vii) Collaboration with HRDCs in the specified region, regular collection and analysis of feedback from participants on programmes delivered in the region, to enable for consistent review quality enhancement;
- viii) Sending detailed report every quarter about the programmes conducted and analysis from the feedback of the participants and other parameters to the coordinator of PPMSC.

The Human Resource Development Centres (HRDCs) are recommended to:

- i) Actively collaborate and cooperate with RCCBs, to achieve the highest standards of quality and effectiveness of programme delivery;
- ii) Utilize online systems for interactive connectivity with the RCCBs and all the HRDCs for fast and effective functional operations and content delivery;
- iii) Contribute to and share the repository of experts maintained by RCCBs for conduction of programmes in HRDCs;
- iv) Contribute to and share multimedia repository of RCCBs and other resources as indicated by some of the best content delivered at the HRDCs;
- v) Set up a documentation-IT enabled centre-cum-library for reference and source materials necessary for the programmes;
- vi) Communicate and manage display of advisories to the participants in advance giving them the theme, focus and other details about the programmes;

- vii) Actively cooperate with the RCCBs in the maintenance of an information portal giving all details about the programmes planned in the region with names and brief CVs of resource persons and preferably full text or at least power point presentations with abstract and references of the content proposed to be delivered;
- viii) Analysis of feedback from participants in programmes delivered in the HRDCs for consistent review for quality enhancement and communicate the same online to RCCBs within 15 days after the completion of a programme.

To bring the necessary changes, the HRDCs focus more on skills and competence development, compared to the ASC, which largely focused on subject knowledge. The new teacher training programmes have the following components:

- i) 10% weight for topics such as issues of ethics, gender, marginalized communities, plagiarism, and others.
- ii) 10% weight for issues related to environment;
- iii) 10% weight for issues concerning service matters of teachers;
- iv) 20% weight for broad cross discipline topics to motivate the trainees for development of interdisciplinary understanding and interest including basic legal awareness;
- v) 10% weight for Research Methodology;
- vi) 15% weight for Communication Skills and Information Technology;
- vii) 10% weight for Micro-teaching;
- viii) the remaining 15% for content of the First Level Programme focusing on a broad understanding of various subjects with recent global trends and developments.

In addition to the regular refresher and induction courses, the HRDCs are supposed to organize workshops and short term

courses of 3-6 days duration on research methodologies and specialized themes of interests.

The recent recommendation of the UGC also emphasized teacher training of longer duration. The UGC has recommended one month intensive teacher training for the newly recruited teachers and emphasized modern teaching pedagogies and use of technologies in teaching and learning. The process of strengthening the existing HRDCs is going-on, in addition to creating resources for comprehensive teacher training for newly recruited as well as experienced teachers.

10.3.3.5. Pandit Madan Mohan Malaviya National Mission on Teachers and Teaching (PMMMNMTT)

In May 2015, the Ministry of Human Resource Development (MHRD), Government of India launched the PMMMNMTT, a flagship scheme to rejuvenate teacher training in India. The objectives of the Mission include:

- i) Coordinated approach to holistically address issues related to teachers, teaching and research on pedagogical issues;
- ii) Strengthening of institutional mechanisms for augmenting training and domain knowledge; development of faculty and their periodic assessment for excellence;
- iii) Empowering teachers through training to develop generic skills, pedagogical skills, ICT and technological skills.

The Mission is expected to achieve:

- a) Orientation and training of one lakh teachers covering higher education sectors;
- b) Creation of good base for teacher educators and creating excellence in faculty for academic leadership positions;
- c) Creation of around 88 institutional structures and subject based networks.

The PMMMNMTT is a major reform initiative in India focusing on the crucial role played by the teachers in improving teaching learning processes and learning outcomes. The scheme mobilises top ranking institutions and high quality academics to provide academic leadership in higher education in India. Several premier institutes such as IITs, IIMs, IISERs and other established HEIs are taking the lead role in developing content, training modules, master training and so on.

The Scheme envisages focusing on the following seven components:

- i) Thirty Schools of Education (SoE) (in Central Universities);
- ii) Fifty Centres of Excellence for Curriculum and Pedagogy including Centres of Excellence in Science and Mathematics Education (CESME), Teaching Learning Centres (TLCs) and Faculty Development Centres (FDCs);
- iii) Two Inter-University Centres for Teacher Education;
- iv) One National Resource Centre for Education;
- v) Five Centres for Academic Leadership and Education Management;
- vi) Innovations, Awards, Teaching Resource Grant, including Workshops and Seminars;
- vii) Subject Networks for Curricular Renewal and Reforms.

While components such as Schools of Education, Centres of Excellence and Inter-University Centres are institution based, components such as innovations, awards and teacher resource grants are individual oriented, components such as subject networks and national resource centres are network based and others are academic leadership oriented;

Till date, Schools of Education (SoEs) were established in 39 Central Universities focusing on inter-disciplinary teacher training. Among the major areas, the Schools of Education

(SoEs), Teaching Learning Centres (TLCs) and Faculty Development Centres (FDCs) are directly focusing on teacher development.

The Inter-University Centres for Teacher Education provide common advanced centralized facilities and services for universities which are not normally available within individual stand-alone institutions; bring convergence among the various activities of SoEs; offer the best expertise in teacher education; help continuous upgradation of teacher education curricula and publish advanced research studies relating to teacher education.

The objectives of the SoEs are to conduct various academic programmes, establish centres and conduct research in curriculum development, pedagogy, special education, language teaching, develop as model institutions for teacher education and ensure integrated and inter-sectoral linkages.

The TLCs are established to:

- i) develop discipline-specific curricular framework and evaluation methods for incorporation into workshops and short-term professional development programmes;
- ii) outline and recommend pedagogy;
- iii) develop learning materials, including textbooks and handbooks and to organize their translation into regional languages;
- iv) create repositories of resources, including reference services and electronic data bases, for promoting research on issues relating to teaching and learning practices.

The FDCs promote organizational strategies for faculty development so as to incentivise teachers to grow professionally and enable the institutions in faculty development. This is expected to result in improved teacher performance and better learning outcomes for students and teachers. Along with it, the FDCs also aim to promote new ways of thinking about the student-teacher relationship and increased commitment

to educational scholarship. Developing all round skills is a prominent aspect for FDCs.

Other initiatives under the PMMMNMTT scheme include the establishment of Centres of Excellence (CoEs) in curriculum and pedagogy; in science and mathematics; subject networks; higher education academy; institutes of academic leadership; national resource centres and innovation awards. It is expected to result in developing a strong professional cadre of teachers by setting performance standards and creating top class institutional facilities for innovative teaching and professional development of teachers (Panda, 2018).

Among the recent initiatives of the Government of India, the move towards digital platforms for teacher training is notable. It is recognized that the existing brick and mortar system of teacher training alone cannot train all the teachers, of all the courses regularly. Hence, online course materials are being created with active participation from the existing teachers, experts from the fields which are being used to train teachers and strengthen existing teacher training programmes. The SWAYAM platform is being used for this purpose in the initial stages which was expanded further with plans to integrate digital technologies with physical teacher training.

The UGC Regulations on Minimum Qualifications for Appointment of Teachers and Other Academic Staff in Universities and Colleges and Measures for the Maintenance of Standards in Higher Education (UGC, 2018) focus on improving the quality of teachers through selecting the best teachers, teachers with Ph.D. degrees from top 500 international universities as well as on their training and integration with the online courses/platforms (such as MOOCs/ SWAYAM). The Regulations show the direction, in which the professional development of teachers of higher education is heading. Recruitment of quality faculty, longer duration of training, further involvement in online and classroom teaching activities, interactive sessions, short term competence development courses etc. - all point towards the thrust on quality.

The scheme of PMMMNMTT, dedicated for the development of teachers and teaching, is also expanding at a rapid pace and is being extended until 2020 by the Ministry, Government of India.

10.3.3.6. National Resource Centre for Education Under the PMMMNMTT Scheme

The National Resource Centre for Education was established in 2017 under the PMMMNMTT to comprehensively address all issues related to teachers, teaching, teacher preparation and professional development. The objective of the National Resource Centre for Education is to develop a national repository of all resources for the use of teachers, to develop the networking among teachers; in India and abroad; and to develop functional capabilities of teachers through the use of knowledge resources. NRCE will work towards:

- i) identifying the available subject-wise resources for teachers;
- ii) identifying possible subject-wise resources to be updated;
- iii) finding ways for making use of e-resources in a dynamic and useful way;
- iv) suggesting ways for making the network of teachers interactive and instituting a mechanism for the same;
- v) suggesting ways to prevent plagiarism and identifying safeguards against copyright infringement of authors while accessing common e-resources;
- vi) promoting best practices in teaching learning and documenting them; and
- vii) preparing teachers to use technology-enabled learning and making them aware of futuristic perspectives.

In view of the aforesaid schemes, the following issues are important to consider:

- i) Teacher training should be continuous because a stand-alone induction or a refresher course is not sufficient to keep pace with the progress of knowledge and pedagogic changes;
- ii) While designing teacher training courses, special focus should be on recent pedagogic development in the field and new experimentations so that, with the upgradation of subject-specific knowledge, teachers gain knowledge on newer and more effective ways of delivering it;
- iii) It is important for teacher training to deliver its programmes in multiple ways. The existing brick and mortar set up may be complemented by online platforms. Only then will it be possible to cover large number of teachers, especially those who are staying in remote, physically inaccessible areas. Digital platforms can help to bridge the gap in a greater way and this potential should be utilized;
- iv) Along with the planning and designing of the programmes, it is equally important to execute them properly. In many instances, it is seen that the new programmes are delivered much like the old way, which has proven ineffective. Hence, proper focus should be given on the delivery of training so that teachers gain most of it and the programmes also remain relevant to its target group;
- v) Finally, it is important to develop a culture of effective teaching and learning in Indian higher educational institutions which requires active participation from university and college teachers, administration and leaders of the higher education system.

CHAPTER XI

GOOD AND BEST PRACTICES IN HIGHER EDUCATIONAL INSTITUTIONS

11.1. Definition and Benchmarking:

A 'good practice' in a higher educational institution is an activity of the HEI commended through National Audit & Accreditation processes. A 'best practice' is a good practice which is time-tested and institutionalized according to the quality benchmarking stipulated by the National and International Audit and Accreditation processes. They add value to the HEI and its stakeholders. They can be adapted and transferred to other organizational settings. The terminologies of Good and Best practices are conventionally used interchangeably. However, the 'Good or Best practice' should be defined in terms of a complete Approach- Deployment-Results-Improvements (ADRI) cycle followed by Assessment and Accreditation (A&A) agencies, even though it may not necessarily be assessed as 'good' in all ADRI dimensions. The practice has been demonstrated as benefitting stakeholders.

Benchmarking or other external points of reference indicate that the 'Good and Best Practice' and consequential results are superior to most comparators. The practice is to be fully understood and verified that the outcomes are a deliberate consequence of the said practice rather than serendipity and the success of the practice has been independently verified through the audit process or reviews.

11.2. Good Practice Database (GPDB):

It is an 'academic online platform' which contributes to sharing experiences and serves the purpose of institutional improvement. It is a collaborative project with searchable collection of verified Good and Best Practices. With the permission of the auditees, it is made freely available via the A&A Good Practice Database.

11.2.1. Why GPDB

It is a felt need for the higher educational system of the country, as there is no publicly accessible Good Practice Database. It provides information about the actual and verified Good Practices across a comprehensive range of higher educational activities. It assists institutional improvement efforts as an appropriate acknowledgement both domestically and across the world. It is a key resource for HE practitioners and managers and the first point of reference for Auditees seeking information on good practices.

11.2.2 Good Practice Format

- (i) Standardized Formatting Template
- (ii) Template contains the following sub-headings:
Goals, Context, Practice, Evidence of Success,
Resources required and notes
- (iii) Linkage to the Contributor's Institution
- (iv) Contact details of an appropriate person.

11.2.3. Impact Assessment of GPDB

It is documented through the 'feedback from stakeholders' consisting of the following:

- (a) instructions are clear;
- (b) satisfied with the process of contributing to GPDB;
- (c) very worthwhile tool for replication;
- (d) well-structured and compiled;
- (e) quick and easy to access;

- (f) useful for benchmarking purposes;
- (g) resource for developing new policy and practice and
- (h) useful for reviewing existing policy and practice.

11.3. Best and Good Practices as Institutional Quality Index

Best practices, the practices which add commendable value to an institution and its various stakeholders, are considered as reliable benchmarks or standards of quality. The best institutions are those which use them widely. To put it differently, institutional excellence in higher education is the aggregate of the best practices followed in different areas of institutional performance. The National Assessment and Accreditation Council (NAAC) is advocating the best practices benchmarking approach for quality enhancement in higher education. The benchmarking, the systematic means of measuring and comparing the work processes of an organization with those of others, is widely used in industry and the service sector for quality measurement and improvement. The prevailing quality management systems in higher education also can benefit from this tool. The best practices as benchmarks help institutions to find their anchor for self-improvement.

Establishing benchmarks through best practices is not a new concept in higher education. The NAAC uses the best practice benchmarking in the form of criterion statements to assess the level of performance of higher educational institutions. In 1996, the Commonwealth Higher Education Management Service (CHEMS), a sub system of the Association of Commonwealth Universities (ACU) launched an international “University Management Benchmarking Club” for universities from the Commonwealth. This Club focuses on the effectiveness of university-wide processes. The CHEMS approach to benchmarking goes beyond the comparison of data-based scores and conventional performance indicators; it looks at the processes by which results are achieved.

By using a consistent approach and identifying processes which are generic and relevant, irrespective of the organization and how it is structured, it becomes possible to benchmark across sectoral boundaries like geography size and others. The overall purpose and intent of the Best Practices benchmarking can be summarized as follows:

- a) development of an understanding of the fundamentals that lead to success;
- b) focus on continuous efforts towards improvement; and
- c) management of the overall change process to close the gap between an existing practice of the institution and that of the best-in-class institutions with reference to the most relevant key performance variables.

11.4. BEST PRACTICE SERIES BY NAAC

The National Assessment and Accreditation Council (NAAC) through its A&A of several higher educational institutions has identified and appreciated number of 'Best Practices'. This resulted in a series of publications on the 'Best Practices' assessed on different aspects

- (i) Curricular Aspects;
- (ii) Evaluation of Students;
- (iii) Student Feedback and Participation;
- (iv) IQAC activities;
- (v) Library & Information Services; and
- (vi) Community engagement, Some of them are highlighted here:

11.4.1. CURRICULAR ASPECTS

Some of the 'Best Practices' identified under the 'Curricular Aspects' are:

- (a) Choice Based Credit System (CBCS) in universities as a tool for enhanced career prospects;
- (b) Curriculum for Experiential Learning;

- (c) Curriculum to cater to diverse needs;
- (d) Work integrated Modular Curriculum;
- (e) Research integrated Project-based Curriculum;
- (f) Training need analysis for Curriculum Development;
- (g) Curriculum for Learners with different learning abilities;
- (h) Curriculum Restructuring for Enhanced career opportunities
- (i) Curricular restructuring towards holistic education;
- (j) Integrated Pedagogical Model; and
- (k) Gurukulam Practices in Modern Curriculum.

11.4.2.EVALUATION OF STUDENTS

Examples of 'Best Practices' under this category are:

- (i) Internal Evaluation System to make examinations an integral part of Teaching-Learning Process;
- (ii) On-Line Examinations for Internal Evaluations;
- (iii) Integrated Software Solution for Examination Processing System;
- (iv) Electronic Distribution of Examination Papers (EDEP);
- (v) Tatkal System;
- (vi) Comprehensive Internal Evaluation System;
- (vii) Question Paper related Grievance Redressal Mechanism;
- (viii) Simultaneous conduct of examinations and evaluations;
- (ix) Immediate Supplementary Examination after publication of the results.

11.4.3.STUDENT FEEDBACK AND PARTICIPATION

The salient features highlighted are:

- (a) 24x7 Feedback System;

- (b) Evaluation of teachers by students;
- (c) Residential system;
- (d) Online Student Feedback Mechanism;
- (e) Ward - Tutorial System;
- (f) Student participation in planning and execution of programs;
- (g) Interactive Quality Education Management;
- (h) Quality Assurance through Student involvement;
- (i) Students' Senate;
- (j) Involvement of alumni in student development;
- (k) Green Campus through student participation;
- (l) Helping the economically-disadvantaged;
- (m) Student Quality Circles.

11.4.4. IQAC ACTIVITIES

The quality initiatives of IQACs are:

- (i) Planning of IQAC through democratic methods;
- (ii) Business and entrepreneurship motivation training and research centre;
- (iii) Organizational arrangements in Internal Quality Assurance Cell;
- (iv) Newsletter of IQAC showing Quality Initiatives and Endeavors;
- (v) Thirst for Knowledge: 'JIGYASA';
- (vi) "Skill-Will" Club;
- (vii) ICT as Teaching-Learning Process;
- (viii) IQAC–Tapping innovative ideas of faculty;
- (ix) Models of students' participation in decision making;
- (x) Students as important stakeholders in quality initiatives;
- (xi) Role of Parent Teacher Association (PTA) in faculty enrichment;
- (xii) Research and Development Cell; its constitution & functions;
- (xiii) Dry Run Inspection or Annual Internal Quality Audit.

11.4.5. LIBRARY AND INFORMATION SERVICES

Some examples of library and information services are:

- (a) Management and administration of library;
- (b) In-service programmes;
- (c) Special deposit scheme;
- (d) Resource generation (through external membership);
- (e) Use of education (Information literacy programme)
- (f) Initiation of freshers (Information literacy programme)
- (g) Preparatory course for students, projects (Information literacy programme)
- (h) User orientation (Information literacy programme);
- (i) Information aids (Information literacy programme);
- (j) Use of Information Technology;
- (k) On-line information retrieval (Internet access facility);
- (l) Library homepage for information dissemination;
- (m) Dynamic library website;
- (n) User feedback through the library homepage;
- (o) 24/7 Access to e-resources;
- (p) Group concession night services offer for outside students and scholars in accessing e-resources;
- (q) Access to digital repository through library website;
- (r) Digitization of manuscripts;
- (s) Multilingual, integrated, web enabled database with complete automation of in-house services;
- (t) Information retrieval through web OPAC;
- (u) Campus-wide local area network (LAN) facility;
- (v) Database creation using international standard formats; and
- (w) Electronic surveillance system.

11.4.6.COMMUNITY ENGAGEMENT

The highlighted 'Best Practices' are:

- (i) Vivekananda Sammelan;
- (ii) Social Labs: like Anganwadis as Community Resource Centers;
- (iii) Cancer Awareness Campaigns;
- (iv) A Model for Tribal Village Development;
- (v) Rehabilitation of Women Prisoners;
- (vi) Caring for Senior Citizens;
- (vii) Social Insurance Awareness programme for BPL community;
- (viii) Total Literacy drive;
- (ix) Using Infrastructure and Learning Resources for Social Transformation;
- (x) Change of Life-Style through Low-cost Nutrition, Hygiene and Relaxation techniques;
- (xi) Watershed Development Management; and
- (xii) Wildlife Conservation and Protection, among others.

11.5.National level Best and Good Practice initiatives and facilitating UGC Regulations and Guidelines:

11.5.1.Academia-Industry Interactions in Higher Educational Institutions

Academia-Industry interactions represent an important driver for the development of innovation and technology. Such interactions provide opportunities for both industrialists and academics to share their thoughts, ideas and ways for preparing academic campuses to deliver high value industry relevant output. This interaction should be in such a way that it envisages:

- (a) Industry support to basic research for knowledge creation;

- (b) Industry participation in development of technology development involving some exploratory work;
- (c) Academic intervention in solving specific industry problems;
- (d) Laboratory utilization by industry;
- (e) Continuing education programme(s).

11.5.1.1. Current Status of Cooperation between Academia and Industry

- (i) Academics are driven by their conferences and technical journals and their need to publish;
- (ii) Academics seldom attend industrial conferences as they feel this is below their standard;
- (iii) Academics look down upon industrial newspapers and magazines;
- (iv) Academics are not aware of the problems and constraints of industry.

11.5.1.2. Reasons Behind the Gap Between Academia and Industry

- (a) Academics and Industrialists have different mind-sets; therefore, they are living in two different worlds.
- (b) Academics and Industrialists are pursuing entirely different goals. The Academic is striving for recognition from his or her peers. The Industrialist is striving to survive.
- (c) Industry generally thinks in terms of short range goals, whereas the Academic has usually a long-range perspective.
- (d) Industry prefers proven solutions with low risk, whereas Academia is interested in

creating new solutions with a high innovation rate.

- (e) Industry seeks the minimum solution to minimize their risk, whereas Academia strives for a maximum solution to maximize their recognition.
- (f) Industry is mainly concerned with costs. Academia could not care less about costs; it is mainly interested in the benefits and prestige.

The gap between the needs of the industry and aspirations of academic community is very large. Academics always have a strong feeling that unless their initiatives find a place in the industrial sector, this interaction will be confined to only developmental activities. There is a strong mismatch in perceptions of the two on the issues related to technology development. At present, the academic community is not geared to face this challenge of translating an evolving idea into development of technology.

11.5.1.3. Avenues for Future

There is need to create avenues for a close academia-industry interaction through all the phases of development of technology.

A support system is needed to ensure a focused involvement of both academia and industry. Academic institutions should develop systems and procedures to ensure that industry expectations are met without any compromise on academic aspirations. Initially, academia should conceive and take up short-term, small budget projects which would instil confidence in industry and encourage it to start development projects. Industry also has to give a fresh look to its R&D efforts. This process must be guided by a complete shift from trading set up to a technologically- driven entrepreneurial set up. Academia should tilt the focus of basic research to applicative research. Research initiatives should involve industry with flexible

formats which could serve as the first step in this direction. **Avenues should be created for close interaction starting from conceptualization down to commercialization.** The setting up of technology incubation centers in close proximity to academic institutions could provide for fostering wholesome technology development.

11.5.1.4. Interaction Between Industry and Doctoral Programs

The interaction should begin when researchers are doctoral students and should continue well after they start their careers. Some institutions fear that if students are involved in industry work, it might distract them from their course work. However, many professors and faculty are willing to put this fear aside. **They may realize that allowing students to be involved with the industry could have very positive benefits.** Not only could it boost doctoral productivity and output, but also motivation and could potentially lead to a job (or even a start-up company someday). It would further foster the academia-industry relationship as the cycle continues with new post-docs and grad students.

Those who cannot secure academic positions will seek out industry positions and will need to acquire necessary skills, knowledge and experience in order to successfully break into industry. Industry provides research topics, funding, and access to data for research. Industry also provides an opportunity for employment outside the traditional academic setting.

11.5.1.5. Academia-Industry Interaction Should be Considered as Part of Education

The industry-employable professional programme(s) classes should not be taught just by the school of business, from people who live only in academia and know nothing about the industry. **There should be Ph.Ds from industry teaching**

these classes since they bring to the table real world experience and case studies. Also, the presence of the industry Ph.Ds on the campus would foster some sort of relationship. More important, this would allow for recruitment of outstanding candidates who live in academia and are looking to break into industry. Since graduate students and post-docs are not the greatest at networking, this would also allow for some exposure outside of their mundane lab environment.

Apart from classes, a variety of industry needs, for example, Biotech, Pharma, Healthcare and others, could be on the campus with clear offerings for internships. The incentive is that they can recruit the best and the brightest to strengthen and grow their company. How can one possibly obtain industry experience while in a graduate school without an internship? How can one possibly compete against someone who has a Ph.D. with industry experience and was just recently laid off?

A 3-month summer internship would dramatically increase a post-doc's or a graduate student's chance of securing a job in the industry. But until an academia-industry relationship is fostered at all levels, there will be little incentive to help struggling post-doctorates and graduate students with offering internships and optional coursework that could give them an edge. However, ignoring the problem of a growing gap between academia and the industry will only hurt our economy further and leave more people unemployed.

11.5.1.6. Industry Team Project: Real world Experience

At the completion of one's optional coursework, there should also be a final '**Industry Team Project**' where students are required to solve a real-world problem in industry. An Industry sponsor should assign the Team Project.

In order to ensure that the teaching programmes and the curricula meet the challenging needs of the industry, senior personnel from the industry should be involved as expert members of the committees which vet changes in

curricula as well as new academic programs. To provide a real-life exposure of the industrial world to the students, a “vacation training program”, similar to an internship, can be organized. The program can include industrial training of faculty and students with a built-in provision of incentives as well as for the appointment of adjunct faculty from the industry.

Provision for having honorary professors and faculty both from the industry and R&D organizations gives exposure to the students of interacting with working professionals. Several laboratories have been sponsored by industries. Software worth millions of dollars has been donated by Technology companies.

11.5.1.7. Industry and Government Research Relationships

Many researchers are working in advisory or consulting capacities with a number of companies. In some cases, the principal investigators in research hold positions on their technical advisory boards. Large scale collaborative projects are also being carried out in certain institutions.

11.5.1.8. Provision for Scale-up Operation and Entrepreneurial Ventures

Students develop new products or processes which are restricted as bench experiments. Due to non-availability of scale-up processes because of capital and operational costs, the research is not able to reach the market. Interaction and informal tie-ups can ensure successful implementation of work developed in the institution.

11.5.1.9. Consultancy Services

Academic institutions can help the industrial companies by providing consultancy services which are sought by small-scale entrepreneurs, having no access to R&D and

quality control facilities. It can be in the form of evaluation of products, processes, software development and others.

11.5.1.10. Nurturing the Innovation Ecosystem

The innovation ecosystem is a set of interactions amongst a diverse array of players who collectively contribute to the societal change. These players include entrepreneurs and companies, academics and research scientists, funding organizations, both public and private, service providers such as legal experts, designers, contract vendors and others.

The Government of India, through all its funding agencies, like Department of Science & Technology, Department of Biotechnology, UGC and others, has focused on building and strengthening each element of the innovation ecosystem. One of the intangible elements of building an innovation ecosystem is to weave a culture of innovation and integrate porosity within the system so that relevant information flows in all directions; a difficult but not entirely impossible task in a milieu where working in silos has been the modus operandi in several organizations. The success of the innovation ecosystem also depends on informal networks that increase chances of collaboration. These bodies have been laying several networks and platforms, either on their own or through their partners, which provide opportunities to the Indian start-ups, SMEs, academia and funding agencies to interact and launch collaborative efforts for innovation.

11.5.1.11. UGC Guidelines for Establishing University-Industry Inter-Linkage Centres in Universities

The main objectives of the Scheme of establishing UIL Centres in Higher Educational Institutions are to:

- a) identify the expertise available in the university which can be of use for the industries in the locality and region by way of consultancy services,

- evaluation of R & D activities of the industries, and others;
- b) take the help of the expertise of the industry to improve and redesign the curriculum periodically in tune with the requirements of the industries;
 - c) help create skilled human resource for industry requirement at various levels;
 - d) conduct Management Development Programmes (MDPs), Entrepreneurship Development Programmes (EDPs) and others;
 - e) initiate schemes for student teacher training and joint research;
 - f) undertake R & D in the areas related to skill education and development, entrepreneurship, employability, labour market trends, and other allied area. at the postgraduate and research levels;
 - g) maintain 'Labour Market Information' for the region in coordination with government agencies and industry associations;
 - h) help set up Science & Technology Entrepreneurs' Parks (STEPs), Technology Business Incubators (TBIs), and other such organizations.
 - i) work for coordination between the university and industry or industries in the neighbourhood to make the Centre a Centre of Excellence for skill development in specified areas;
 - j) conduct all other activities as are incidental or conducive to the functioning of the Centre.

There are many areas of collaboration between universities and industries which are mutually beneficial. Participation of expertise available in the faculty of the universities in offering consultancy services to industries and assisting their R & D activities and participation of industries in placements and internships of students of universities and in their skill development and employability are cases in point. Considering the importance of the issue, the UGC

has launched a scheme of setting up of University-Industry Inter-linkage Centres (UIL Centres) in the universities, which become an effective, goal-oriented and mutually-enriching mechanism.

11.5.2. Promotion of Indian Higher Education Abroad (PIHEAD) and the resultant Internationalization of Indian Higher Education

The Mandate of 'PIHEAD' is:

1. To internationalize Indian higher education by evolving a policy and approach for promotion of Indian higher education abroad through various measures at different levels; at the level of the higher educational institutions, the University Grants Commission (UGC), the Central and State Ministries concerned and Non-Governmental Organizations;
2. To position Indian higher education as a distinct brand by converging the strengths of the Indian universities and other higher educational institutions;
3. To meet the growing needs for quality higher education globally by appropriate curriculum design and development and by creating international partnerships for ensuring quality higher education for all across national boundaries and other measures, thus making India a most favoured destination in the world in this respect;
4. To promote diversity of student population on Indian campuses in response to the quality challenge in higher education in the context of globalization.

11.5.2.1. Importance of PIHEAD initiatives:

Range and Scope of Indian higher Education System

India has the second largest higher education sector in the world in terms of the number of students covered. Such a large

network of higher educational institutions offers a wide range of programmes and courses to choose from. Undergraduate education in India is decisively one of the best in the world. Besides, some of the institutions are outstanding; they offer high quality education in selected fields of knowledge and the imaginativeness of their curriculum endows the students with abilities and capacities to cope with the challenges of a fast-changing global society. Their products get easy admission to leading world class universities for higher studies and research and are employable anywhere in the developed world. It is a matter of fact that the Indian higher education system has provided a number of persons who have occupied or are occupying leading positions in certain other countries. Educational tradition in India combines the pedagogical and technical excellence of the West with the best of the value system of the East.

11.5.2.2. Indian Higher Education as a Brand

A remarkable feature of Indian higher education is that it is comparatively highly affordable. Tuition fees and living costs are very low compared to those in other countries, especially the developed ones. This is a creditable distinction of the Indian higher education that has been achieved, thanks to the enormous resources and efforts that have gone into nurturing and constantly augmenting the Indian system of higher education.

The fact that India provides quality higher education at affordable costs makes Indian higher education a **distinctive brand**, “**a low-cost-high-quality education hub**” as described by an Inter-Ministerial Committee. Being in India for higher studies is now an opportunity to be part of the action and part of the future. It provides opportunities to learn with the brightest and, at the same time, learn with dignity at very low overall costs. The pressing need of the hour is, therefore, to propagate Indian higher education as a model for realising a multi-pronged strategy.

11.5.2.3 International Dimension of Indian higher Education System

Indian education, especially higher education, has always had an international dimension. It is well known that during ancient times, there were centres of learning in India, China and Egypt that attracted students and scholars from across their international borders. Starting from Takshashila, now in Pakistan, established in 700 BC, by the early part of the first millennium, India had well-known centres of education at Nalanda, Vallabhi, Vikramshila, Kanchipuram and Pataliputra as centres of discussion and discourse for traveling students, scholars and priests. International education acquired a formal form in the nineteenth century when students started traveling to European centres of education for higher studies and grew rapidly during the twentieth century, especially in the years after World War II, with the United States becoming the favoured destination. It has acquired a new meaning after the advent of globalization in the early 1990s. Today, it is an integral part of all mature higher education systems which promote their education systems abroad and, thereby, internationalize them.

11.5.2.4. Benefits of Promotion of Indian Higher Education Abroad

Promotion of Indian Higher Education Abroad and the resultant internationalization of education

- a) enriches the teaching-learning process,
- b) increases the relevance and quality of research,
- c) encourages creation of global competitiveness,
- d) helps generate financial resources,
- e) promotes values and culture, and
- f) generates goodwill.

11.5.2.5. Potential of Indian Higher Education System

In modern times, knowledge has become the most powerful global industry. Thanks to the achievements of the

IT industry, the world has become a global village. Taking advantage of this development, many countries have been adopting and practising proactive and aggressive tactics to reap the most diverse and multi-pronged dividends accruing from knowledge which has emerged as a mighty channel with potential to augment a multitude of national needs and aspirations. In this background, India can hardly afford to lag behind. India is poised to become a knowledge destination in the twenty-first century and the system of higher education in India is pregnant with a plethora of potentials and possibilities. The country should make vigorous efforts with a view to harnessing the diverse potentials of the knowledge industry. These possibilities include academic, cultural, ethical, financial, and other issues.

11.5.2.6 The Initiatives of the University Grants Commission

Recognizing the qualities, challenges, enormous opportunities, potentials and benefits of promoting Indian higher education abroad, the UGC in the mid-1990s, appointed a Study Group to study various aspects related to international students. The group in its report 'Modalities to Provide Educational Opportunities to Foreign Students and to Generate Resources for Higher Education' recommended several measures for promoting international student mobility into India.

In 2003, the UGC identified internationalization of Indian higher education as a thrust area. It launched Promotion of Indian Higher Education Abroad (PIHEAD) as a coordinated national initiative. In 2004, the UGC published a 'Directory of Institutions & Programmes' that listed programme offerings and institutional profiles. Draft guidelines for "Promotion of Indian Higher Education Abroad" and for recognition of programmes offered by Indian universities abroad were also prepared.

During the Tenth Five-Year Plan, the UGC had projected a vision of promoting Indian higher education abroad as a response

to the phenomenon of globalization. Since the WTO regime has identified “education services” as a sector of industry under the General Agreement of Trade in Services (GATS), several countries in the world have expressed interest in negotiating arrangements for exchanging educational services with India in the field of higher education.

In view of these developments, the UGC, during the Eleventh Five-Year Plan, drew up a detailed “Action Plan on Internationalization of Indian Higher Education” to give the necessary impetus to intensify and expand the PIHEAD program.

In order to evolve appropriate strategies and to operationalize some specific activities under the PIHEAD program, the UGC, through Committees consisting of educationists and experts, identified the important issues related to the present ground realities and the possible activities needed for promotion of Indian higher education abroad and for accelerating the process of internationalization of the Indian higher education system.

In 2009, the UGC updated the Handbook promotion of Indian higher Education abroad (PIHEAD).

11.5.3. University Grants Commission (Promotion and Maintenance of Standards of Academic Collaboration between Indian and Foreign Educational Institutions) Regulations, 2012

Main features of these regulations are given below:

- (1) These Regulations shall apply to:
 - (a) All Foreign Educational Institutions operating in India through collaboration with Indian Educational Institutions, other than Technical Institutions, prior to the coming into force of these regulations, or intending to operate through collaboration, for offering their programmes leading to award of degrees and postgraduate diplomas; and

- (b) Indian Educational Institutions, other than Technical Institutions, already having collaboration prior to the coming into force of these regulations or intending to collaborate with Foreign Educational Institutions for offering programme(s) of study leading to award of degrees and postgraduate diplomas.
- (2) Any Indian Educational Institution or Foreign Educational Institution already having a collaborative arrangement shall comply with these regulations within a period of six months from the date of their coming into force.

The Regulations provide

- (i) Eligibility criteria and conditions for collaborations
- (ii) Procedure for collaboration
- (iii) Procedure for approval
- (iv) Miscellaneous conditions
- (v) Consequences of violation
- (vi) Interpretation, etc.

The Good and Best Practices are the backbone of educational excellence and higher educational reforms and are dynamic in keeping with the ultra-speed advancements that are taking place in international higher education scenario. The Academia-Industry Interactions in Higher Educational Institutions, Promotion of Indian Higher Education Abroad (PIHEAD) and academic collaboration between Indian and foreign HEIs are examples of such Good or Best Practices. The UGC and MHRD Conference for Vice-Chancellors, conducted recently from 26th to 28th July 2018, has documented several modern ‘Good/Best Practices’. The proceedings of the Conference, hosted on the UGC Website, will be a rich resource for the adoption of the proven Good/Best Practices and innovating new ones by the Indian HEIs.

CHAPTER XII

UGC QUALITY MANDATE

The Commission, in its 532nd meeting held on 24-05-2018, approved the objectives set for improving the quality in Higher Education Institutions (HEIs). All HEIs shall strive to achieve the following Objectives by 2022:

1. Improve the graduate outcomes for the students so that at least 50% of them secure access to employment/self-employment or engage themselves in pursuit of higher education.
2. Promote linkage of the students with the society/industry so that at least 2/3rd of the students engage in socially productive activities during their period of study in the institutions.
3. Train the students in essential professional and soft skills such as team work, communication skills, leadership skills, time management skills etc; inculcate human values and professional ethics, and the spirit of innovation/entrepreneurship and critical thinking among the students and promote avenues for display of these talents.
4. Ensure that teacher vacancies at any point of time do not exceed 10% of the sanctioned strength; and 100% of

the teachers are oriented about the latest and emerging trends in their respective domains of knowledge, and the pedagogies that translate their knowledge to the students.

5. Every institution shall get NAAC accreditation with a minimum score of 2.5 by 2022.

The following **initiatives** shall be undertaken in pursuit of the above objectives:

1. Induction programme for students.
2. Learning outcome-based curriculum framework - revision of curriculum in regular intervals.
3. Use ICT based learning tools for effective teaching-learning process.
4. Soft skills for students.
5. Social and Industry connect for every institution: Every institution shall adopt at least 5 villages for exchange of knowledge and for the overall social/economic betterment of the village communities.
6. Examination Reforms - test the concept and application; exit examinations.
7. Tracking of the student progress after completion of course.
8. Induction training for all new teachers and annual refresher training for all teachers - role of the NRCs; and mandatory leadership/management training for all educational administrators.
9. Promoting quality research by faculty and creation of new knowledge.
10. Mentoring of non-accredited institutions, so that every institution can get accreditation by 2022.

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Appendix Compendium

Sl. No.	O.M. No.	Date	Subject
I	Policy Matters related to Administrative Decisions		
1	Department of Personnel and Training	--	Brochure on engagement of casual labour/ workers in Central Government Offices consolidating the existing instructions in one place.
2	No.F.10-52/87-Desk (U) Government of India MHRD Department of Education	2.11.1988	Registrars, Deputy Registrars, Assistant Registrars and equivalent posts – Revision of pay scales.
3	D.O.No.F.1-25/93 (CPP-II) UGC CPP Bureau	28.7.1993	Recognition of degrees awarded by Open Universities.
4	No.F.1-4/93 (CU). UGC Central University Bureau	22.3.1994	Report of Justice Dr. K. Punnayya Committee – 1992-93 UGC funding of Institutions of Higher Education
5	No.24-15/95-IFD Government of India MHRD Department of Education IFD	22.12.1995	Agenda Papers for the meetings- Timely submission of
6	D.O.No.F.4-78/97-U.I Government of India MHRD Department of Education	8.4.1998	Regarding revision of pay-scales of the non-teaching employees in Central Universities, Deemed Universities, Inter-University Centres and Delhi Colleges.

Sl. No.	O.M. No.	Date	Subject
7	D.O.No.F21-1/98 (CU). UGC Central University Bureau	12.10.1998	Instructions regarding No Work No Pay for the strike period.
8	No.F3(1)-E.II(A)/99 Government of India Ministry of Finance Department of Expenditure	9.2.1999	Recovery of charges for staff car used for private purposes by officers of the level of Secretary to the Government of India and above.
9	D.O.No.F4-22/2000- U.I Government of India MHRD Department of Secondary Education and Higher Education	28.6.2000	Regarding Career Advancement, Promotion Policies and other service matters which are contrary to the Government of India's instructions and rules governing financial transactions.
10	No.F19-7/2000 (CU). UGC Central University Bureau	27.7.2000	Regarding Career Advancement, Promotion Policies and other service matters which are contrary to the Government of India's instructions and rules governing financial transactions.
11	No.F3-9/97-Desk (U) Government of India MHRD Department of Secondary and Higher Education	11.6.2001	Guidelines for observance by the Vice-Chancellors of all the Central Universities while invoking their emergency power.
12	D.O.No.F3-12/2000- Desk (U) Government of India, MHRD Department of Secondary Education and Higher Education	3.10.2001	Appointment of temporary lecturers against the permanent posts of Professors / Readers – Discontinuance of the practice – Regarding.

Sl. No.	O.M. No.	Date	Subject
13	No.3(4)/E.II.(A)/99 Ministry of Finance Department of Expenditure	24.7.2003	Inclusion of Maruti Esteem VX(MPI) in the list of approved models of Staff Cars.
14	D.O.No.F4-53/2003- U.I Government of India, MHRD Department of Secondary Education and Higher Education	26.11.2003	Regarding the maintenance of campuses in the Central Universities and payment of unauthorized allowed etc. by some of them to their employees.
15	No.3(4)/E.II(A)/99 Government of India Ministry of Finance Department of Expenditure	27.11.2003	List of approved models for use as staff car by Government Ministries/ Departments
16	D.O.No.F30-1/2003 (CU). UGC Central University Bureau	8.12.2003	Regarding the maintenance of campuses in the Central Universities and payment of unauthorized allowed etc. by some of them to their employees.
17	No.3(4)/E.II(A)/99 Government of India Ministry of Finance Department of Expenditure	11.12.2003	List of approved models for use as staff car by Government Ministries/ Departments
18	F.No.V.11014/11/04- CDN Government of India MHRD Department of Secondary Education and Higher Education (CDN Section)	19.7.2004	Instructions for Heads/ Chairman of Autonomous Bodies regarding Selections/ Promotions, three months before concluding their tenure.
19	F36-1/2001(CU). UGC Central University Bureau	8.11.2004	Discontinuance of appointment of temporary lecturers against permanent posts.

Sl. No.	O.M. No.	Date	Subject
20	No.3(4)/E.II(A)/99 Government of India Ministry of Finance Department of Expenditure	23.12.2004	List of approved models for use as staff car by Government Ministries/ Departments
21	F.No.1-19/2006-U.II Government of India MHRD Department of Higher Education	23.3.2007	Enhancement in the age of superannuation from 62 to 65 years for teaching positions in centrally funded institutions in higher and technical education.
22	No.F.3-1/94(PS) (Vol. 9) UGC Pay Scale Bureau	30.3.2007	Enhancement in the age of superannuation from 62 to 65 years for teaching positions in centrally funded institutions in higher and technical education.
23	D.O.No.F.1-24/2006-Desk (U) Government of India MHRD Department of Higher Education	30.3.2007	Regarding increase the age of superannuation of the Vice-Chancellor to Seventy years.
24	No.F.3-1/94(PS) (Vol. 9) UGC Pay Scale Bureau	4.4.2007	Enhancement in the age of superannuation from 62 to 65 years for teaching positions in centrally funded institutions in higher and technical education.
25	F.No.1-19/2006-U.II Government of India MHRD Department of Higher Education	19.4.2007	Enhancement in the age of superannuation from 62 to 65 years for teaching positions in centrally funded institutions in higher and technical education.

Sl. No.	O.M. No.	Date	Subject
26	F.No.3(4)/E.II(A)/99 Government of India Ministry of Finance Department of Expenditure	9.1.2008	Inclusion of new models of Air-Conditioned Cars on the Rate Contract of DGS&D
27	D.O.No.F.1-2/2008 (XI Plan) UGC XI Plan Cell	31.1.2008	New Initiatives under the 11th Plan – Academic Reform in the Universities.
28	No.E.229/JS(Per) E.Coord.I/2008 Government of India Ministry of Finance Department of Expenditure	19.3.2008	Regarding delegation of power to the Ministry for creation of faculty and non-faculty posts in the centrally funded institutions.
29	F.6-1(7)/2006(CPP-I) UGC CPP Bureau	6.11.2008	Revision of the age limit of Vice-Chancellor/ Directors of Deemed to be Universities.
30	No.1-10/2004 Pt.III (CPP-II) UGC CPP Bureau	30.1.2.2008	Specification of Degrees
31	No.E.5-1/2008 (CPP-II) UGC CPP Bureau	1.7.4.2009	Specification of thirty eight new degrees (yet to be notified)
II Policy Matters related to Plan Schemes			
32			Background Note on Plan Schemes
33	No.E.19-2/90 (CPP-II) UGC CPP Bureau	24.2.1998	Treating interest earned by the Institutions on the grants sanctioned by UGC as additional grant.
34	No.5/1/2002-MC Government of India Ministry of Finance Department of Expenditure Monitoring Cell	28.2.2002	Cases to release of grants-in-aid without getting utilization certificate for the previous grants.
35	No.1-6/2004/FA UGC Finance Bureau	14.12.2004	Simplification of Procedure for Utilization of Building Grants.

Sl. No.	O.M. No.	Date	Subject
36	No.F.17-1/2002(CU). UGC Central University Bureau	28.4.2005	Simplification of Procedure for Utilization of Building Grants.
37	F.No.23-24/07-IFD Government of India MHRD Department of Higher Education IFD	28.4.2008	Information to be incorporated in Utilisation Certificates – guidelines regarding
38	No.F.9-1/2008 (XI Plan) UGC XI Plan Cell	22.8.2008	UGC XI Plan Allocation of funds - Scheme Wise
39	No.F.10-1/2008(FD-II/ III)	31.12.2008	Information to be incorporated in Utilisation Certificates – guidelines regarding
III Policy Matters related to Non-Plan Schemes			
40			Background Note on Non-Plan Scheme
41			List of Central Universities – State-Wise (As on 29.4.2009)
42	F.19-15/2001(CU). UGC Central University Bureau	11.12.2001	Instructions issued by the UGC regarding to maintain the Register for sanctioned strength of teaching and non-teaching staff.
Statistical Information			
(i)			Statement of Teaching Staff Strength as on 31.03.2008 (Existing and Vacant positions) – Central Universities

Sl. No.	O.M. No.	Date	Subject
(ii)			Statement of Non-Teaching Staff Strength as on 31.03.2008 (Existing and Vacant positions) – Central Universities
(iii)			Statement of Teaching Staff Strength, Non-Teaching Staff Strength, Students Enrolment, Teacher-Student Ratio and Teaching to Non-Teaching Staff Ratio (As on 31.3.2008) –Central Universities
(iv)			Statement of Teaching Staff Strength as on 31.03.2008 indicating number of position filled up against SC and ST
(v)			Statement of Non-Teaching Staff Strength as on 31.03.2008 indicating number of position filled up against SC and ST
(vi)			Statement of Students Enrolment as on 31.3.2008 (Gender and Category-wise) in the University Depts. and affiliated colleges.
IV Fifth Central Pay Commission – Teaching Staff and other Administrative Posts			
43	D.O.No.F.26-8/85 (NP-I) UGC Pay Scale Bureau	22.11.1991	Draft Model Ordinance on Terms and Conditions of service of Vice-Chancellor
44	No.F.1-40/89 (PS) UGC Pay Scale Bureau	21.10.1995	Minimum qualification prescribed for the appointment of Physical Education Personnel in Universities and Colleges

Sl. No.	O.M. No.	Date	Subject
45	No.3-1/94 (PS) UGC Pay Scale Bureau	24.12.1998	UGC Notification on Revision of Pay Scales, minimum Qualification for Appointment of Teachers in Universities, Colleges & Other measures for the Maintenance of Standards, 1998
46	No.F.1-22/97-U.I Government of India MHRD Department of Higher Education	24.3.1999	Revision of pay scale of teachers in Universities and Colleges – Clarifications on various points of doubt – regarding
47	No.F.1-22/97-U.I Government of India, MHRD Department of Higher Education	20.8.1999	Revision of pay scale of teachers in Universities and Colleges – Clarifications on various points of doubt – regarding
48	F.No.1-65/CD/ NCE/98-99 AICTE	30.12.1999	AICTE Notification on Revised Pay Scales & Service Conditions at Diploma Level Technical Institutions
49	No.F.3-1/94 (PS) UGC Pay Scale Bureau	12.1.2000	Regarding fixation formula and ready reckoner for fixing the pay of university and college teachers in the revised scale of pay.
50	F.No.1-65/CD/ NEC/98-99	15.3.2000	AICTE Notification on Revised Pay Scales & Service Conditions at Degree Level Technical Institutions
51	D.O.No.F.3-1/2000 (PS) UGC Pay Scale Bureau	4.4.2000	UGC Regulation on Minimum Qualifications for Appointment and Career Advancement of Lecturers, Readers and Professors in the Universities and Colleges.

Sl. No.	O.M. No.	Date	Subject
52	No.E2-2/98(PS) UGC Pay Scale Bureau	11.10.2000	Degree College- Revised UGC Scale of Pay, 1986 – Career Advancement Scheme – Pay Fixation under FR 22 (a)(i) – Clarification regarding.
53	No.E3-3/2000 (PS) UGC Pay Scale Bureau	21.2.2002	Modification in the procedure for promotion of Reader to Professors under the CAS in University Departments.
54	F2-15/2003 (PS) UGC Pay Scale Bureau	29.10.2003	Eligibility criteria and terms and conditions for promotion to the post of Reader under CAS – Regarding.
55	No.F.No.3-1(2000)(PS) UGC Pay Scale Bureau	Nov.2005	UGC Regulations on Minimum Qualification for Appointment and Career Advancement of Lecturers, Readers and Professors in Universities and Colleges.
56	No.E3-1/94 (PS) UGC Pay Scale Bureau	19.10.2006	Career Advancement Scheme (CAS) for Assistant Librarian/ College Librarians/ Assistant Director of Physical Education / College Director of Physical Education.
57	No.E3-1/94 (PS) Pt. file UGC Pay Scale Bureau	16.2.2008	Model Guidelines for Re-employment of superannuated Teachers.
Counting of Past Services Circulars			
58	F2-1/96 (PS) UGC Pay Scale Bureau	12.2.1998	Counting of previous services – Clarification requested – Regarding

Sl. No.	O.M. No.	Date	Subject
59	D.O.No.F.2-6/98 (PS) UGC Pay Scale Bureau	25.12.1998	Counting of previous service rendered by lecturers for placement in the senior scale/ selection grade.
60	F.2-5/2000 (PS) UGC Pay Scale Bureau	13.3.2003	Guidelines for counting of past service for promotion from Reader to Professor under Career Advancement Scheme.
61	F.2-1/2001 (PS) UGC Pay Scale Bureau	22.8.2003	Counting of past service for grant of senior scale/ promotion to teachers under Career Advancement Scheme.
62	F.2-5/200 (PS) UGC Pay Scale Bureau	23.09.2003	Guidelines for counting of past service for promotion from Reader to Professor under Career Advancement Scheme.
63	F.2-5/2000 (PS) UGC Pay Scale Bureau	5.3.2004	Guidelines for counting of past service for promotion from Reader to Professor under Career Advancement Scheme – Regarding
Incentives for Ph.D. Increments			
64	F.5-6/99 (PS) UGC Pay Scale Bureau	16.10.1999	Revision of pay scales – advance increments – Regarding
65	D.O.No.5-2/99 (PS) UGC Pay Scale Bureau	21.2.2000	Clarification about grant of advance increments.
66	No.F.1-51/98-U.1 Government of India MHRD Department of Secondary & Higher Education	3.3.2000	Fixation of pay of teachers in the revised scales – Clarification regarding.

Sl. No.	O.M. No.	Date	Subject
67	No.E.5-3/2001 (PS) UGC Pay Scale Bureau	31.08.2001	Grant of advance increments to teachers who acquired Ph.D. during service (prior to 1.1.96)
68	No.E.2-11/2001 (PS) UGC Pay Scale Bureau	22.07.2002	To seek clarification on various points of doubt on the guidelines of UGC with regard to revision of pay scale of teaching staff on UGC pattern w.e.f. 1.1.96.
69	No.E. 5-3/2001 (PS) UGC Pay Scale Bureau	24.7.2002	Regarding to extend the benefit of two advance increments to teachers who acquired Ph.D. during service prior to 1.1.96 and who did not get the benefit of any advance increments as per earlier CAS.
Honorarium for Guest Faculty			
70	No.E.2-9/97 (PS) UGC Pay Scale Bureau	21.3.1999	Appointment of Guest Faculty in place of Part-Time Teachers.
71	No.E.2-9/97 (PS) UGC Pay Scale Bureau	17.4.1999	Revision of Honorarium to be paid to Guest/ Part-Time Teachers in Universities and Colleges – Regarding.
72	No.E.2-9/97 (PS) UGC Pay Scale Bureau	3.6.1999	Revision of Honorarium to be paid to Guest/ Part-Time Teachers in Universities and Colleges – Regarding.
73	No.E.2-9/97 (PS) UGC Pay Scale Bureau	21.3.2000	Appointment of Guest Faculty in place of Part-Time Teachers
74	No.E.2-9/97 (PS) UGC Pay Scale Bureau	27.3.2001	Appointment of Guest Faculty in place of Part-Time Teachers- payment on per lecture basis.
75	No.E.7-1/2001 (PS) UGC Pay Scale Bureau	5.8.2001	Honorarium for Guest Faculty

Sl. No.	O.M. No.	Date	Subject
76	No.E.7-1/2001 (PS) UGC Pay Scale Bureau	19.11.2004	Honorarium for Guest Faculty
V Sixth Central Pay Commission – Teaching Staff and other Administrative Posts			
77	No.1-32/2006-U. II/U.I(i) Government of India MHRD Department of Higher Education	31.12.2008	Scheme of revision of pay of teachers and equivalent cadres in universities and colleges following the revision of pay scales of Central Government employees on the recommendations of the Sixth Central Pay Commission
78	No.1-32/2006-U. II/U.I(ii) Government of India MHRD Department of Higher Education	31.12.2008	Scheme of revision of pay scales for the post of Registrar, Deputy Registrar, Assistant Registrar, Controller of Examination, Deputy Controller of Examination, Assistant Controller of Examination, Finance Officer, Deputy Finance Officer and Assistant Finance Officer following the revision of pay scales of Central Government employees on the recommendations of the Sixth Central Pay Commission – regarding
79	F.1-6/2009/PRC UGC (Addressed to all State Education Secretaries)	27.2.2009	Scheme of revision of pay of (a) teachers and equivalent cadres and (b) administrative posts in universities and colleges following the revision of pay scales of Central Government Employees on the recommendations of the Sixth Central Pay Commission

Sl. No.	O.M. No.	Date	Subject
80	F.1-6/2009/PRC UGC (Addressed to all VCs of CUs/Deemed to be Universities receiving Plan/Non-Plan/Fixed grants from UGC (23))	28.2.2009	Scheme of revision of pay of (a) teachers and equivalent cadres and (b) administrative posts in universities and colleges following the revision of pay scales of Central Government Employees on the recommendations of the Sixth Central Pay Commission
VI Sixth Central Pay Commission – Non-Teaching Employees			
81	1/1/2008-IC Government of India Ministry of Finance Department of Expenditure	29.8.2008	Sixth Central Pay Commission Resolution
82	G.S.R.622(E) Government of India Ministry of Finance Department of Expenditure	29.8.2008	Sixth Central Pay Commission Notification
83	2(13)/2008-E.II (B) Government of India Ministry of Finance Department of Expenditure	29.8.2008	Decision of the Government on the recommendations of the Sixth Central Pay Commission relating to grant of House Rent Allowance (HRA) and Compensatory (City) Allowance (CCA).
84	21(2)/2008-E-II(B) Government of India Ministry of Finance Department of Expenditure	29.8.2008	Grant of Transport Allowance to Central Government employees

Sl. No.	O.M. No.	Date	Subject
85	11(5)/2008-E-II(B) Government of India Ministry of Finance Department of Expenditure	29.8.2008	Special (Duty) Allowance for Civilian Employees of the Central Government serving in the North Eastern Region (including Sikkim) and Ladakh- Recommendations of Sixth Central Pay Commission
86	4(2)/2008-E-II(B) Government of India Ministry of Finance Department of Expenditure	29.8.2008	Special Compensatory (Hill Area) Allowance- Recommendations of the Sixth Central Pay Commission-Revision of Rates
87	No.9(11)/2008-E.II(B)	29.8.2008	Grant of Split Duty Allowance to Sweepers and Farash in Central Secretariat and allied offices
88	3(1)/2008-E-II(B) Government of India Ministry of Finance Department of Expenditure	29.8.2008	Special Compensatory (Remote Locality) Allowance- Recommendations of the Sixth Central Pay Commission-Revision of Rates
89	5(1)/2008-E-II(B) Government of India Ministry of Finance Department of Expenditure	29.8.2008	Bad Climate Allowance – Recommendations of the Sixth Central Pay Commission-Revision of Rates
90	12(4)/2008-E-II(B) Government of India Ministry of Finance Department of Expenditure	29.8.2008	Grant of Hard Area Allowance to the Central Government employees posted in the Nicobar group of Islands and Minicoy in Lakshadweep Islands- Recommendations of the Sixth Central Pay Commission

Sl. No.	O.M. No.	Date	Subject
91	17(1)/2008-E-II(B) Government of India Ministry of Finance Department of Expenditure	29.8.2008	Scheduled /Tribal Area Allowance- Recommendations of the Sixth Central Pay Commission-Revision of Rates
92	12(3)/2008-E-II(B) Government of India Ministry of Finance Department of Expenditure	29.8.2008	Island Special (Duty) Allowance for Civilian Employees of the Central Government serving in the Andaman & Nicobar & Lakshadweep group of Islands- Recommendations of the Sixth Central Pay Commission-Revision of Rates
93	6(3)/2008-E-II(B) Government of India Ministry of Finance Department of Expenditure	29.8.2008	Construction Projects –Grant of Project Allowance-Revision of Rates
94	13 (1)/2008-E.II.B Government of India Ministry of Finance Department of Expenditure	29.08.2008	Discontinuation of Border Area Allowance to the Central Government employees serving on the International Border of Rajasthan-Implementation of Recommendations of the Sixth Central Pay Commission
95	1(3)/2008-E-II(B) Government of India Ministry of Finance Department of Expenditure	29.8.2008	Recommendations of the Sixth Central Pay Commission-Decision of Government relating to grant of Dearness Allowance to Central Government servants- Revised rates effective from 1.1.2006, 1.7.2006, 1.7.2007 and 1.1.2008, 1.7.2008

Sl. No.	O.M. No.	Date	Subject
96	19039/3/2008-E-IV Government of India Ministry of Finance Department of Expenditure	29.8.2008	Revision in the rates of Cycle (maintenance) Allowance under SR-25
97	7(19)/2008-E-III(A) Government of India Ministry of Finance Department of Expenditure	30.8.2008	Revision in rates of Non- Practising Allowance attached to medical posts other than posts included in the Central Health Services (CHS)
98	No.1-1/2008-IC Government of India Ministry of Finance Department of Expenditure	30.8.2008	Implementation of Sixth Central Pay Commission recommendations – fixation of pay and payments of arrears – instructions regarding
99	12011/03/2008-Estt. (Allowance) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	2.9.2008	Recommendations of the Sixth Central Pay Commission- implementation of decisions relating to the grant of Children Education Assistance and Reimbursement of Tuition Fee.
100	2/22(A)/2008-Estt. (Pay II) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	3.9.2008	Implementation of the recommendations of Sixth Central Pay Commission: Revision of the rates of Central Secretariat (Deputation on Tenure) Allowance and Special Pay applicable to officers of Organized Group-A Services on their appointment as Under Secretary, Deputy Secretary and Director in the Central Secretariat under the Central Staffing Scheme and their headquarters respectively.

Sl. No.	O.M. No.	Date	Subject
101	13024/1/2008-Trg.I Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training) Training Division	5.9.2008	Implementation of Government's decision on the recommendations of the Sixth Central Pay Commission-Revision of rate of Training Allowance and Sumptuary Allowance.
102	14/3/2008-JCA Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	11.9.2008	Grant of increased rate of Washing Allowance to common categories of Group 'C' and 'D' employees of various Ministries/Departments.
103	13018/2/2008-Estt.(L) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	11.9.2008	Recommendations of the Sixth Central Pay Commission relating to enhancement of the quantum of Maternity Leave and introduction of Child Care Leave in respect of Central Government employees.
104	12011/04/2008-Estt. (Allowance) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	11.9.2008	Recommendations of the Sixth Central Pay Commission- implementation of decisions relating to Special Allowance for child care for women with disabilities and Education Allowance for disabled children of Government employees.
105	49011/31/2008-Estt. (C) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	12.9.2008	Recommendations of the 6th Central Pay Commission-Applicability for revised Group 'D' pay scales to Casual Labourers with Temporary Status.

Sl. No.	O.M. No.	Date	Subject
106	1/1/2008-IC Government of India Ministry of Finance Department of Expenditure (Implementation Cell)	13.9.2008	Clarifications on CCS (Revised Pay) Rules, 2008.
107	19030/3/2008-E-IV Government of India Ministry of Finance Department of Expenditure	23.9.2008	Travelling Allowance Rules-Implementation of the Sixth Central Pay Commission.
108	31011/4/2008-Estt. (A) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	23.9.2008	Sixth Central Pay Commission- Recommendations relating to LTC-Acceptance of.
109	19030/2/2008-E-IV Government of India Ministry of Finance Department of Expenditure	23.9.2008	Revision of Conveyance Allowance to Central Government Employees under SR- 25. Recommendations of the Sixth Central Pay Commission.
110	7(20)/2008-E-III (A) Government of India Ministry of Finance Department of Expenditure	24.9.2008	Revision in the rates of Family Planning Allowance for adoption of small family norms following the recommendations of the Sixth Central Pay Commission.
111	13018/2/2008-Estt. (L) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	29.9.2008	Grant of Child Care Leave to women Government employees-Clarification Regarding.

Sl. No.	O.M. No.	Date	Subject
112	A.45012/2/2008-CHS-V Government of India Ministry of Health & F.W. CHS.V Section	29.9.2008	Recommendations of Sixth Central Pay Commission-Revision of rates of Non-Practicing Allowance in respect of Central Health Service Officers reg.
113	7/23/2008-E-III(A) Government of India Ministry of Finance Department of Expenditure	30.9.2008	Pay revision of employees of Quasi Government Organizations, Autonomous Organizations and Statutory Bodies, etc. set up by and funded/controlled by the Central Government – Guidelines regarding.
114	4/6/2008-Estt. (Pay II) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	1.10.2008	Revision of Special Allowance and Cash Handling Allowance-Recommendations of the Sixth Central Pay Commission.
115	1(3)/2008-E-II(B) Government of India Ministry of Finance Department of Expenditure	3.10.2008	Rates of Dearness Allowance applicable w.e.f. 1.7.2008 to the employees of Central Government and Central Autonomous Bodies continuing to draw their pay in the pre-revised scale.
116	2/1/2008-U.I(A) Government of India Ministry of Human Resource Development Department of Higher Education	6.10.2008	Revision of the scales of pay of employees of the autonomous organizations, statutory bodies, etc., set-up by and funded/controlled by the Central Government-guidelines regarding.

Sl. No.	O.M. No.	Date	Subject
117	12(1)/E-II(A)/2008 Government of India Ministry of Finance Department of Expenditure E-II(A) Branch	7.10.2008	Grant of advances – Sixth Central Pay Commission recommendations- Amendment to Rules 31,35,38,53,58,66 of Compendium of Rules on Advance to Government Servants.
118	7/23/20080-E-III(A) Government of India Ministry of Finance Department of Expenditure	7.10.2008	Pay revision of employees of Quasi- Government Organizations, Autonomous Organizations and Statutory Bodies etc. set-up by and funded/ controlled by the Central Government
119	F20-1/2008(CU). UGC (Central University Bureau)	13.10.2008	Revision of the scales of pay of employees of the Central Universities/UGC maintained Deemed to be Universities-guidelines regarding.
120	1/1/2008-IC Government of India Ministry of Finance Department of Expenditure	13.10.2008	Fixation of pay in the pay bands where posts have been upgraded as a result of recommendations of Sixth CPC-clarification regarding.
121	19030/3/2008-E-IV Government of India Ministry of Finance Department of Expenditure E-IV Branch	14.10.2008	Admissibility for reimbursement for travel within the city.

Sl. No.	O.M. No.	Date	Subject
122	7/23/2008-E-III(A) Government of India Ministry of Finance Department of Expenditure E-III(A) Section	15.10.2008	Pay revision of employees of Quasi- Government Organizations, Autonomous Organizations, and Statutory Bodies, etc., set-up by the funded/ controlled by the Central Government-Clarifications regarding.
123	F.23-7/2008-IFD Government of India Ministry of Human Resource Development Department of Higher Education Integrated Finance Division	23.10.2008	Pay revision of the employees of Quasi- Government Organizations, Autonomous Organizations, and Statutory Bodies, etc., set-up by and funded/ controlled by the Central Government –Clarifications regarding.
124	12(1)/E-II-A/2008 Government of India Ministry of Finance Department of Expenditure	24.10.2008	Interest bearing advances/Sixth Central Pay Commission recommendations.
125	12011/03/2008-Estt. (Allowance) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	11.11.2008	Children Education Allowance – clarification
126	13013/2/2008-Estt.(L) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	11.11.2008	Implementation of the recommendations of the Sixth Central Pay Commission regarding half pay leave facilities to Teachers, Principals, Headmasters, Librarians, Laboratory Assistants and Watermen working in Schools under the Central Government

Sl. No.	O.M. No.	Date	Subject
127	3/13/2008-Estt. (Pay II) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	11.11.2008	Applicability of CCS (RP) Rules, 2008 to persons re-employed in Government Service after retirement and whose pay is debitible to Civil Estimates.
128	F.20-1/2008(CU). UGC Central University Bureau	14.11.2008	Pay revision of the employees of Quasi-Government Organizations, Autonomous Organizations and Statutory Bodies, etc., set-up by and funded/ controlled by the Central Government –Clarifications regarding.
129	13018/2/2008-Estt. (L) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	18.11.2008	Child Care Leave in respect of Central Government-employees as a result of Sixth Central Pay Commission-clarification regarding.
130	19030/3/2008-E-IV Ministry of Finance Department of Expenditure	19.11.2008	Travelling Allowance Rules-Implementation of the Sixth Central Pay Commission.
131	25011/1/2008-Estt.(A) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	19.11.2008	Sixth Central Pay Commission Recommendations – Special dispensation in the form of Special Casual Leave to Central Government Employees with disabilities
132	13018/2/2008-Estt.(L)	2.12.2008	Child Care Leave in respect of Central Government employees as a result of Sixth Central Pay Commission recommendations-clarification regarding.

Sl. No.	O.M. No.	Date	Subject
133	No.12(1)E.II-(A)/2008 Government of India Ministry of Finance	12.12.2008	Interest-bearing advances – Sixth Central Pay Commission Recommendations
134	14021/5/2008-AIS-II Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel & Training	16.12.2008	Implementation of Sixth Central Pay Commission recommendations – clarification regarding.
135	1/1/2008-IC Government of India Ministry of Finance Department of Expenditure Implementation Cell	24.12.2008	Clarifications regarding pay fixation of existing Group ‘D’ employees in the revised pay structure.
136	2(13)/2008-E-II(B) Government of India Ministry of Finance Department of Expenditure	7.1.2009	Decision of the Government on the recommendations of the Sixth Central Pay Commission relating to re-classification of cities/towns for grant of House Rent Allowance (HRA).
137	11/2/2008-JCA Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training) JCA Section	12.1.2009	Setting up of Anomaly Committee to settle the Anomalies arising out of the implementation of the Sixth Central Pay Commission’s recommendations.
138	19030/3/2008-E-IV Ministry of Finance Department of Expenditure	22.1.2009	Travelling Allowance Rules-Implementation of the Sixth Central Pay Commission.

Sl. No.	O.M. No.	Date	Subject
139	14017/4/2005-AIS(II) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	10.2.2009	Additional monetary incentive to All India Service officers belonging to the North-East Cadres.
140	19030/3/2008-E-IV Ministry of Finance Department of Expenditure	18.2.2009	Travelling Allowance Rules-Implementation of the Sixth Central Pay Commission.
141	F.No.21/(2)/2008-E- II(B) Government of India Ministry of Finance Department of Expenditure	5.3.2009	Rate of Transport Allowance in the case of Officers of All-India/Group 'A' Services appointed at the Centre on deputation basis as Directors equivalent.
142	AB 14017/66/2008- Estt. (RR) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	9.3.2009	Criteria for assessing suitability of officers where there is revision/ upgradation/ merger of pay scales.
143	No.1(1)/2009-E-II(B) Government of India Ministry of Finance Department of Expenditure	13.3.2009	Payment of Dearness Allowance to Central Government employees – Revised Rates effective from 1.1.2009.
144	No.1(3)/2008-EII(B) Government of India Ministry of Finance Department of Expenditure	19.3.2009	Rates of Dearness Allowance applicable w.e.f. 1.1.2009 to the employees of Central Government and Central Autonomous Bodies continuing to draw their pay in the pre-revised scale.

Sl. No.	O.M. No.	Date	Subject
145	AB 14017/61/2008- Estt. (RR) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	24.3.2009	Sixth Central Pay Commission's recommendations-revision of pay scales-amendment of Service Rules/Recruitment Rules.
146	No.2(19)/E/II(B)/2008 Government of India Ministry of Finance Department of Expenditure (E.II(B) Section)	26.3.2009	HRA at old duty station for the Civilian employees of the Central Government serving in the State and Union Territories of North Eastern Region including Andaman & Nicobar Islands and Lakshadweep Islands.
147	F.No.2/8/2001-PIC Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel & Training)	9.4.2009	Optimization of Direct Recruitment to Civilian Posts – regarding.
VII Sixth Central Pay Commission – Pensioners			
148	F.No.38/37/08-P & PW (A). Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners Welfare)	29.8.2008	Sixth Central Pay Commission Resolution

Sl. No.	O.M. No.	Date	Subject
149	F.No.38/37/08-P & PW (A) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners Welfare)	1.9.2008	Implementation of Government's decision on the recommendations of the Sixth Pay Commission –Revision of Pension of pre-2006 pensioners/ family pensioners etc.
150	F.No.38/37/08-P & PW (A) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners Welfare)	2.9.2008	Implementation of Government's decision on the recommendations of the Sixth Pay Commission –Revision of provisions regulating pension/ gratuity/ commutation of pension/ family pension disability pension/ ex-gratia lump-sum compensation.
151	42/2/2008 P & PW (G) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners Welfare)	12.9.2008	Recommendation of 6th Central Pay Commission – Decision of Government relating to grant of Dearness Relief to Central Government pensioners/ family pensioners – revised rates effective from 1-1-2006, 1-7-2006, 1-1-2007, 1-7-2007, 1-1-2008 and 1-7-2008.

Sl. No.	O.M. No.	Date	Subject
152	4/38/2008- P & PW (D) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners Welfare)	15.9.2008	Revision of 1/3rd commuted portion of pension in respect of Government servants who had drawn lumpsum payment on absorption in Central Public Sector Undertaking/ Central Autonomous Bodies- Implementation of Government's decision on the recommendation of the Sixth Pay Commission.
153	14028/3/2008-Estt. (L) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners Welfare)	25.9.2008	Recommendation of the Sixth Pay Commission relating to encashment of leave in respect of Central Government civilian employees.
154	42/2/2008 P&PW(G) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners' Welfare)	25.9.2008	Recommendation of the Sixth Pay Commission relating to eligibility for encashment of leave
155	14028/3/2008-Estt. (L) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners' Welfare)	25.9.2008	Recommendation of 6th Central Pay Commission – Decision of Government relating to grant of Dearness Relief to Central Government pensioners/ family pensioners – revised rates effective from 1-1-2006, 1-7-2006, 1-1-2007, 1-7-2007, 1-1-2008 and 1-7-2008.

Sl. No.	O.M. No.	Date	Subject
156	14021/7/2008-AIS (II) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners Welfare)	26.9.2008	Implementation of Government's decision on the recommendation of the Sixth Central Commission – Revision of Provisions regulating pension/gratuity/ commutation of pension/ family pension/disability pension and ex-gratia lump- sum compensation.
157	F.No.38/37/08-P & PW (A). pt.1 Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners Welfare)	3.10.2008	Implementation of Government's decision on the recommendations of the Sixth Pay Commission –Revision of Pension of pre-2006 pensioners/ family pensioners etc.
158	F.No.38/37/08-P & PW (A). pt.1 Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners Welfare)	14.10.2008	Implementation of Government's decision on the recommendations of the Sixth Pay Commission –Revision of Pension of pre-2006 pensioners/ family pensioners etc.
159	No.45/3/2008-P& PW (F) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners' Welfare)	18.11.2008	Special benefits in case of death and disability in service - payment of Disability Pension/ Family Pension – regarding

Sl. No.	O.M. No.	Date	Subject
160	F.No.38/37/08-P & PW (A) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners Welfare)	11.12.2008	Implementation of Government's decision on the recommendations of the Sixth Pay Commission.
161	F.No.38/37/08-P&PW (A) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners' Welfare)	11.2.2009	Representations regarding revision of pension of pre-2006 pensioners
162	No.7/7/2008-P& PW (F) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners' Welfare)	13.2.2009	Implementation of Government's decision on the recommendations of Sixth CPC- Revision of provisions regulating gratuity.
163	No.38/79/2008-P&PW (G) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners' Welfare)	16.2.2009	Clarification regarding commutation of pension after the implementation of recommendations of 6th CPC.

Sl. No.	O.M. No.	Date	Subject
164	No.E.20-2/2008 (CU). UGC Central University Bureau	27.2.2009	Implementation of Government's decision on the recommendations of the Sixth Central Pay Commission – Revision of provisions regulating pension/ gratuity/ commutation of pension/ family pension/ disability pension/ ex-gratia lump-sum compensation and revision of pension of pre-2006 pensioners/ family pensioners etc. in Central Universities – regarding.
165	No.E.2-1/2008-U.I Government of India MHRD (Department of Higher Edu.)	13.3.2009	Extension of orders issued by the Government on revision of pension and various allowances applicable to the employees of Central Government to the employees of Central Autonomous Bodies.
166	No.45/7/2008-P&PW (F) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners' Welfare)	16.3.2009	Implementation of Government's decision on the recommendation of the Sixth CPC – Revision of provisions regulating special benefits in the cases of Death and Disability in service – payment of ex-gratia lump sum compensation to families of Central Government employees – modification regarding.

Sl. No.	O.M. No.	Date	Subject
167	No.42/12/2009-P&PW (G) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Pension and Pensioners' Welfare)	27.3.2009	Grant to dearness relief to Central Government pensioners/ family pensioners – Revised rates effective from 1.1.2009.
VIII New Pension Scheme			
168	F.No.5/7/2003-ECB & PR Government of India Ministry of Finance Department of Economic Affairs ECB&PR Division	22.12.2003	Introducing a new restructured defined contribution pension system for new entrants to Central Government service except to Armed Forces
169	F.No.1(7)(2)/2003/TA/11 Government of India Ministry of Finance (Controller General of Accounts) read with O.M.No.1 (7)(2)(2003)/TA/67-74 dated 4.2.2004	7.1.2004	Introduction of New Pension Scheme
170	F.No.1(7)(2)/2003/TA/245 Government of India Ministry of Finance Department of Expenditure Controller General of Accounts Lok Nayak Bhawan, Khan Market, New Delhi	21.4.2004	Clarification of various issues relating to New Pension Scheme

Sl. No.	O.M. No.	Date	Subject
171	No.CPAO/NPS/CRA/ Autonomous/2004 / 151	16.11.2004	Instructions for allotment of Permanent Pension Account Number to beneficiaries of the New Pension Scheme
172	F.No.1-2/2004 (FA- NPS) UGC	16.12.2004	Applicability of New Pension Scheme to the employees of Central Universities – regarding
173	F.No.19-15/2004/IFD Government of India MHRD Department of Secondary and Higher Education	5.7.2005	Workshop on New Pension Scheme for all autonomous bodies held on 30.5.2005 at NCERT Campus.
174	No.28/30/2004-P&PW (B) Government of India Ministry of Personnel, Public Grievances & Pensions Department of Pension & Pensioners Welfare 3rd Floor Lok Nayak Bhawan New Delhi	26.07.2005	Counting of past service on submission of technical resignation on or after 1.1.2004 by employees governed by Central Civil Services (Pension) Rules, 1972
175	F.No.5(27/A)/2006- ECB & PR Government of India Ministry of Finance Department of Economic Affairs ECB & PR Division	14.3.2006	Terminal Benefits under New Pension Scheme in respect of the death case of Shri Ravinder Singh Parmar Postman – reg.
176	F.No.5(12)/2004-ECB & PR Government of India Ministry of Finance Department of Economic Affairs ECB & PR Division	17.5.2006	Clarification of final settlement of cases covered under the New Pension Scheme to Employees of Central Tibetan School and Administration (CTSA) (Autonomous Body) – regarding

Sl. No.	O.M. No.	Date	Subject
177	No.E.5-9/2006-Desk (U) Government of India MHRD Department of Secondary and Higher Education	1.2.2007	Introduction of NPS in the JNU for those who joined the service on or after 1.1.2004 – counting of past service on technical resignation on or after 1.1.2004 by the employees governed by CCS (Pension) rules, 1972.
178	No.F.19-15/2004-IFD Government of India MHRD Department of Higher Education Integrated Finance Division	12.6.2008	Applicability of New Pension Scheme to the employees of autonomous bodies under the administrative control of the different Central Ministries/Departments
179	No.1(7)/2003/TA/Part file/238-251 Office of the Controller General of Accounts Department of Expenditure Lok Nayak Bhavan New Delhi	24.7.2008	Introduction of New Pension Scheme – Changes in respect of functions of Cheque Drawing and Distributing Officers (CDDOs) in civil ministries.
180	F.No.19-15/2008-IFD Government of India MHRD Department of Higher Education IFD	31.7.2008	Grant of option for shift from CPF to New Pension Scheme (NPS) in respect of employees recruited prior to 1.1.2004 - Clarification regarding.
181	No.1(7)(2003)/TA/Part file/279 Ministry of Finance Department of Expenditure Office of Controller General of Accounts Lok Nayak Bhawan, Khan Market, New Delhi	2.9.2008	Implementation of the Defined Contribution Pension Scheme (DCPS) – Streamlining of procedure for remittance of contributions to Trustee bank by PAOs/ CDDOs-regarding

Sl. No.	O.M. No.	Date	Subject
182	F.19-15/2004-IFD-Vol. II Government of India MHRD Department of Higher Education Integrated Finance Division	29.12.2008 read with 28.11.2008	Applicability of New Pension Scheme to the employees of autonomous bodies under various Central Ministries/Departments – operationalization of NPS architecture.
IX SC/ST/OBC/Physically challenged			
183	No.36028/17/2008-Estt.	13.1.2009	Brochure on Reservation for Scheduled Castes/ Scheduled Tribes and Other Backward Classes
184	No.36035/8/89-Estt. (SCT) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	20.11.1989	Reservation for the physically handicapped in the posts filled by promotion
185	No.36012/31/90-Estt. (SCT) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	13.8.1990	Recommendations of the Second Backward Classes Commission (Mandal Report) Reservation for Socially and Educationally Backward Classes in services under the Government of India
186	No.36012/31/90-Estt. (SCT) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	8.9.1993	Reservation for Other Backward Classes in Civil Posts and Services under the Government of India – Regarding

Sl. No.	O.M. No.	Date	Subject
187	No.36012/22/93/Estt (SCT) Government of India Ministry of Personnel, PG & Pensions Department of Personnel and Training	22.10.1993	Reservation for Other Backward Classes in Civil Posts and Services under the Government of India – regarding
188	No.E.1-4/94 (SCT) UGC SCT Cell	21.4.1994	Reservation for Other Backward Classes in Civil Posts and Services under the Government of India – Instructions regarding
189	No.36035/7/95/Estt. (SCT) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	18.2.1997	Reservation for the physically handicapped in the posts filled by promotion
190	No.42011/18/96-Estt. (Res) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	6.03.1997	Reservation for OBCs – Appointment of separate Liaison Officer for look after matter relating to OBCs
191	No.36025/03/97/Estt. (Res) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	4.7.1997	Reservation for the physically handicapped persons in Group 'A' and 'B' posts/ services under the Central Government

Sl. No.	O.M. No.	Date	Subject
192	No.36012/23/96/Estt. (Res) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	22.7.1997	Reservation in promotion – Prescription of lower qualifying marks/ lesser standard of evaluation.
193	No.36035/7/95/Estt. (SCT) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	16.1.1998	Reservation for the physically handicapped in the posts filled by promotion
194	No.36025/03/97/Estt. (Res) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	24.7.1998	Reservation for the physically handicapped in the posts filled by promotion
195	No.36035/14/98/Estt. (Res) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	28.8.1998	Reservation for the persons with disabilities in Group 'A' and 'B' posts/ services under the Central Government – clarification regarding identification of posts.
196	No.42011/16/98/Estt. (Res) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	23.9.1998	Prime Minister's announcement on reservation in posts/ services in his address to the Nation on 15th August, 1998

Sl. No.	O.M. No.	Date	Subject
197	No.36012/23/96/Estt. (Res) Vol.II Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	3.10.2000	Reservation in promotion – Prescription of lower qualifying Marks/ lesser standard of evaluation
198	No.2/8/2001-PIC Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	16.5.2001	Optimization of direct recruitment to civilian posts
199	D.O.No.F.11-5/95 (CPP-II) (Vol.III) UGC CPP Bureau	18.8.2001	Implementation of the Persons with Disabilities (Equal Opportunities, Protection of Rights and Full Participation Act, 1995)
200	F.No.1-13/2002 U-5 Government of India MHRD Department of Secondary and Higher Education	26.11.2002	Regarding reservation of posts for SC/ST/OBC/PH for teaching and non-teaching cadre
201	No.36017/1/2004-Estt. (Res) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	5.07.2005	Revision of quantum of reservation for Scheduled Castes, Scheduled Tribes and Other Backward Classes in case of direct recruitment to Group 'C' and 'D' posts normally attracting candidates from a locality or a region.

Sl. No.	O.M. No.	Date	Subject
202	No.36035/3/2004-Estt. (Res) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	29.12.2005	Reservation for the Persons with Disabilities.
203	F.No.2-1/2006 U-5 Government of India MHRD (Department of Secondary and Higher Education)	18.8.2006	Regarding Persons with Disabilities (Equal opportunities, Protection of Rights and Full Participation) Act, 1995 – Instructions – Reservation for the PWD
204	No.F.1-5/2006 (SCT) UGC SCT Cell	25.8.2006	For strict observation of Reservation Policy of the Government in Universities, Deemed to be Universities, Colleges and other Grant-in-Aid Institutions and Centres
205	No.F.1-4/1994 (SCT) UGC SCT Cell	24.1.2007	Reservation for Other Backward Classes to the Teaching posts in Central Universities and its affiliated / constituent colleges, and Institutions deemed to be universities
206	No.F.1-4/1994 (SCT) UGC SCT Cell	25.1.2007	Reservation for Other Backward Classes to the Teaching posts in Central Universities and its affiliated / constituent colleges, and Institutions deemed to be universities

Sl. No.	O.M. No.	Date	Subject
207	F.1-8(1)/2006 (SCT) UGC SCT Cell	5.3.2007	To implement the recommendations of the Sub-Committee of the Standing Committee meeting on SC/ST held on 14.12.2006 in the office of the UGC, New Delhi
208	F.1-8-1-/2006 (SCT) UGC SCT Cell	9.3.2007	To implement the recommendations of the Sub-Committee of the Standing Committee meeting on SC/ST held on 13th and 14th December, .2006 in the office of the UGC, New Delhi
209	No.36017/1/2007-Estt. (Res.) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	4.7.2007	Revision of quantum of reservation for Schedule Tribes in case of direct recruitment to Group 'C' and 'D' posts normally attracting candidates from a locality or a region in the State of Goa.
210	No.F.1-4/1994 (SCT/ OBC) UGC SCT Cell	26.9.2007	Reservation of the Other Backward Classes to the Teaching posts in State Universities and its affiliated /constituent colleges
211	No.36038/1/2008-Estt. (Res) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	19.11.2008	Special Recruitment Drive for filling up the backlog reserved vacancies of SCs, STs and OBCs

Sl. No.	O.M. No.	Date	Subject
212	No.36038/2/2008-Estt. (Res) Government of India Ministry of Personnel, PG & Pensions (Department of Personnel and Training)	10.12.2008	Special Recruitment Drive for filling up the backlog reserved vacancies for persons with Disabilities
213	No.E.6-1/2006 (CPP-II) UGC CPP Bureau	9.1.2009	Status Note on Equal Opportunity for Disabled Persons – Persons with disabilities/ Differently abled persons – UGC Circulars/ Schemes towards Assistance to Universities/ Colleges for Disabled Persons (Physically Handicapped)
X OBC Reservation in Admissions (Oversight Committee)			
214	No.36033/5/2004-Estt. (Res.) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel and Training)	14.10.2004	Clarifications regarding creamy layer amongst OBCs.
215		4.1.2007	The Central Educational Institutions (Reservation in Admission) Act, 2006 No. 5 of 2007
216	No.E.36-2/2003 (CU). UGC Central University Bureau	8.1.2007	The Central Educational Institutions (Reservation in Admission) Act, 2006-regarding.
217			Format for DPR for implementation of Reservation for OBCs and Capacity Expansion.

Sl. No.	O.M. No.	Date	Subject
218	F.No.6-1/2005(DU) DU Bureau UGC	18.1.2007	Central Education Institutions (Reservation in Admissions) Act, 2006
219	No.1-1/2005-U.1.A/847 Government of India MHRD (Department of Higher Education)	20.4.2008	Implementation of reservation in admission under the Central Educational Institutions (Reservation in Admissions) Act, 2006 in respect of persons belonging to the socially and educationally backward classes.
220	No.F.1-1/2005-U.I (A) Government of India MHRD (Department of Higher Education)	21.4.2008	Reservation of seats for students belonging to the Scheduled Castes, the Scheduled Tribes and the Other Backward Classes (OBCs) in the Central Educational Institutions including institutions deemed to be Universities Established, maintained or aided by the Central Government.
221	No.1-1/2008-U.I A Government of India, MHRD (Department of Higher Education)	13.10.2008	Revision of income criteria to exclude socially advanced persons/ sections (Creamy Layer) from Other Backward Classes (OBCs).
222	No.36033/3/2004-Estt. (Res.)	14.10.2008	Revision of income criteria to exclude socially advanced persons/ sections (Creamy Layer) from the purview of reservation for Other Backward Classes (OBCs).
223	No.F.1-1/2008-(II)- U.1A Government of India, MHRD (Department of Higher Education)	16.10.2008	Revision of income criteria based on the recommendations of National Commission for Backward Classes

Sl. No.	O.M. No.	Date	Subject
224	No.F.1-1/2008-(III)-U.1(A) Government of India, MHRD (Department of Higher Education)	17.10.2008	To fill the reserved seats for the eligible Other Backward Classes (OBCs) candidates
225	No.F.1-5/2005-UI (A) Government of India, MHRD (Department of Higher Education)	30.5.2008	Reservation for Other Backward Classes- exclusion of Creamy Layer for the purpose of appointment in service and posts under the Government of India – Certificate to be provided by the candidates.
XI Assured Career Progression (ACP) Scheme/ Dynamic Assured Career Progression Scheme (DACP)/ Promotion Scheme for Staff Car Driver			
226	No.22036/1/92-Estt.(D) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel and Training)	30.11.1993	Promotion Scheme for Staff Car Drivers
227	No.22036/1/92-Estt.(D) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel and Training)	27.7.1995	Promotion Scheme for Staff Car Drivers
228	No.35034/3/97-Estt.(D) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel and Training)	1.6.1998	Promotion Scheme for Staff Car Drivers

Sl. No.	O.M. No.	Date	Subject
229	35034/1/97-Estt(D) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel and Training)	9.8.1999	The Assured Career Progression Scheme for the Central Government Civilian Employees
230	35034/1/97-Estt(D) (Vol. IV) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel and Training)	10.2.2000	Assured Career Progression Scheme for the Central Government Civilian Employees – Clarifications regarding
231	35034/2/2001-Estt(D) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel and Training)	1.6.2001	Grant of financial upgradations under the Assured Carrer Progression Scheme to Group 'D' civilian employees of Central Government – clarification regarding
232	No.6/1/98-IC-I Government of India Ministry of Finance Department of Expenditure (Implementation Cell)	12.2.2001	Introduction of Revised pay scale corresponding to the pre-revised merged pay scales of ₹ 775-12-871-14- 955-15-1030-20-1150
233	F.No.43019/54/96-Estt. (D) Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training	15.2.2001	Promotion Scheme for Staff Car Drivers

Sl. No.	O.M. No.	Date	Subject
234	35034/1/97-Estt(D) (Vol.IV) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel and Training)	18.7.2001	Assured Career Progression Scheme for the Central Government Civilian Employees – Clarifications regarding
235	22034/5/2001-Estt(D) Government of India Ministry of Personnel, Public Grievances and Pensions (Department of Personnel and Training)	20.8.2001	Assured Career Progression Scheme(ACPS) for the Central Government Civilian Employees – Clarification regarding
236	F.No.43019/54/96-Estt. (D) Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training	22.8.2001	Promotion Scheme for Staff Car Drivers
237	No.21/14/97-PC(H)/ CHS-V Government of India Ministry of Health & Family Welfare (Department of Health) Nirman Bhawan New Delhi	5.04.2002 read with UGC letter dated 20.1.2003	Recommendations of 5th Central Pay Commission regarding Dynamic Assured Career Progression (DACP) Scheme for officers of the Central Health Service – implementation thereof
238	No.F.30-9/99 (CU). UGC Central University Bureau	20.1.2003	Implementation of Dynamic Assured Career Progression (DACP) Scheme and other facilities for the Medical Officers of Central Universities and Deemed to be Universities

Sl. No.	O.M. No.	Date	Subject
239	No.E.19-9/2003-Desk (U) Government of India MHRD Department of Secondary Education and Higher Education	22.12.2005	Implementation of Assured Career Progression (ACP) Scheme in Central Universities / Deemed to be Universities and Delhi Colleges – Regarding.
240	F.40-1/2004 (CU/JCRC) UGC JCRC Bureau	5.5.2008	Violation of UGC instructions relating to implementation of upward movement schemes/ award of higher scale of pay to non-teaching staff/ creation of non-teaching posts without the approval of UGC – Regarding.
XII Guidelines on Expenditure Management			
241	No.7(7)-E(Coord)/93 Government of India Ministry of Finance Department of Expenditure	3.5.1993	Economy in administrative expenditure of the Government – Ban on creation of posts/ filling up of vacancies – Guidelines for processing of cases.
242	No.E.1(16)-E.II(A)/96 Government of India Ministry of Finance Department of Expenditure	17.6.1996	Guidelines on Expenditure Management – Fiscal prudence and austerity.
243	No.7(3)-E(Coord)/99 Government of India Ministry of Finance Department of Expenditure	5.8.1999	Guidelines on Expenditure Management – Fiscal prudence and austerity.
244	No.F.8-13/99-U.I Government of India MHRD Department of Education University Division	19.8.1999	Guidelines on Expenditure Management – Fiscal prudence and austerity.

Sl. No.	O.M. No.	Date	Subject
245	D.O.No.F.7-8/99 (CPP-II) UGC CPP Bureau	31.8.1999	Guidelines on Expenditure Management – Fiscal prudence and austerity.
246	D.O.No.F.7-8/99 (CPP-II) UGC CPP Bureau	22.9.1999	Regarding clarification on filling up of teaching posts
247	D.O.No.F.7-8/99 (CPP-II) UGC CPP Bureau	17.11.1999	Regarding clarification on foreign travel to attend Conference/Workshop/ Symposia etc.
248	No.7(3)-E(Coord)/2000 Government of India Ministry of Finance Department of Expenditure	24.9.2000	Guidelines on Expenditure Management – Fiscal prudence and austerity.
249	D.O.No.F.8-45/2001-U.I Government of India MHRD Department of Elementary Education & Literacy	24.12.2001	ERC Recommendations with regard to ratio of academic to non-academic ratio.
250	D.O.No.F.1-57/2001(CPP-II) UGC CPP Bureau	30.4.2002	ERC Recommendations with regard to ratio of academic to non-academic ratio.
251	D.O.No.F.1-57/2001(CPP-II) UGC CPP Bureau	19.7.2002	Implementation of recommendations of Expenditure Reforms Commission (ERC).
252	D.O.No.F.1-57/2001(CPP-II) UGC CPP Bureau	6.9.2002	ERC Recommendations with regard to ratio of academic to non-academic ratio.
253	F.No.7 (3)/E-Coord/2003 Government of India Ministry of Finance Department of Expenditure	26.2.2004	Mobile Phones in respect of entitled categories of Government employees.

Sl. No.	O.M. No.	Date	Subject
254	F.No.7 (5)/E-Coord/2004 Government of India Ministry of Finance Department of Expenditure	24.09.2004	Guidelines on expenditure management – Fiscal prudence and austerity
255	F.No.7 (2)/E-Coord/2005 Government of India Ministry of Finance Department of Expenditure	23.11.2005	Budget/ Expenditure Management: Economy measures, rationalization of expenditure, and measures for augmentation of revenues.
256	F.No.7 (3)/E-Coord/2006 Government of India Ministry of Finance Department of Expenditure	22.7.2006	Expenditure Management – Economy Measures, Rationalization of Expenditure and Measures for Augmentation of Revenues.
257	F.19-1/2007 (CU) UGC Central University Bureau	31.8.2007	Facility of telephone (landline and/or mobile connection) at the residence in respect of entitled categories of Government Employees.
258	F.No.7 (2)/E-Coord/2007 Government of India Ministry of Finance Department of Expenditure	17.9.2007	Expenditure Management – Economy Measures and Rationalization of Expenditure.
259	F.No.7 (1)/E-Coord/2008 Government of India Ministry of Finance Department of Expenditure	5.6.2008	Expenditure Management – Economy Measures and Rationalization of Expenditure.
260	D.O.No.23(2) E.Coord/2006 Cabinet Secretary New Delhi	12.6.2008	Instructions on economy and austerity in Government expenditure issued on June 5, 2008 by the Ministry of Finance.

Sl. No.	O.M. No.	Date	Subject
261	F.No.23 (2)/E-Coord/2006 Government of India Ministry of Finance Department of Expenditure (E-Coord Section)	13.6.2008	Expenditure Management – austerity measures with respect to foreign travel.
262	F.No.24-3/2007-IFD Government of India MHRD Department of Higher Education IFD	13.6.2008	Expenditure Management – Economy Measures and Rationalization of Expenditure.
263	F.No.G.23011/26/2008-IFI Government of India, MHRD Department of Higher Education IFI Section	7.7.2008	Expenditure Management – Economy Measures and Rationalization of Expenditure.
264	F.No. 7 (1)/E-Coord/2008 Government of India Ministry of Finance Department of Expenditure (E-Coord Section)	1.10.2008	Expenditure Management – Economy Measures and Rationalization of Expenditure – Supplementary guidelines related to TA/DA.
265	7(1)/E.Coord./2008 Government of India Ministry of Finance Department of Expenditure (E.Coord. Branch)	10.11.2008	Expenditure Management- Economy Measures and Rationalization of Expenditure-Guidelines related to LTC.
266	7(1)/E.Coord./2008 Government of India Ministry of Finance Department of Expenditure (E-Coord. Branch)	4.12.2008	Expenditure Management- Economy Measures and Rationalization of Expenditure-Guidelines related to LTC- Clarifications regarding.

Sl. No.	O.M. No.	Date	Subject
267	F.No.7(1)/E. Coord/2008 Government of India Department of Expenditure E-Coord Branch	10.12.2008	Replacement of Government vehicles by Ministries / Departments.
XIII Guidelines for investment of surplus funds by autonomous bodies			
268	No.F.13-13/95-U.5 Government of India, MHRD Department of Education	3.7.1995	Guidelines for investment of surplus funds by autonomous bodies
269	No.F.33-1/95-IFD(Pt.) Government of India MHRD Department of Education IFD	21.4.1997	Guidelines for investment of surplus funds by Autonomous Organizations.
270	No.F.11(3)-PD/98 Government of India Ministry of Finance (Department of Economic Affairs)	31.03.1999	Pattern of investment to be followed by the non- Government Provident Funds, Superannuation Funds and Gratuity Funds.
271	F.21-12/98 (CU). UGC Central University Bureau	8.7.1999	Pattern of investment to be followed by the non- Government Provident Funds, Superannuation Funds and Gratuity Funds.
272	F.1-18/99 (DC) UGC DC Bureau	19.7.1999	Pattern of investment to be followed by the non- Government Provident Funds, Superannuation Funds and Gratuity Funds.
273	No.F.33-1/95-IFD Government of India MHRD, Department of Secondary & Higher Education IFD	14.8.2003	Pattern of investment to be followed by the non- Government Provident Funds, Superannuation Funds and Gratuity Funds.

Sl. No.	O.M. No.	Date	Subject
274	No.E.19-16/2003-IFD Government of India, MHRD Department of Secondary & Higher Education IFD	9.2.2004	Rate of Interest payable to subscribers of GPF/CPF of autonomous organizations - regarding
275	F.30-3/2003 (CU). UGC Central University Bureau	27.4.2004	Clarification on shortfall in the rate of interest of GPF accumulations.
276	F.No..29-1/2007-IFD Government of India, MHRD Department of Higher Education IFD	27.2.2007	Investment of Statutory Fund (Non-Government Provident Fund & Pension Fund) and Surplus Fund by Autonomous Bodies including Central Universities / Deemed Universities – Guidelines regarding.
277	F.No..29-1/2007-IFD Government of India MHRD Department of Higher Education IFD	7.5.2007	Investment of Statutory Fund (Non-Government Provident Fund & Pension Fund) and Surplus Fund by Autonomous Bodies including Central Universities / Deemed Universities – Guidelines regarding.
XIV Instructions for preparation and submission of Annual Accounts and Annual Report to the MHRD			
278	F.No.2-2/94(CU). UGC Central University Bureau	3.8.1994	Instructions regarding to submit the Annual Report for the Institution and the Audited Accounts by 31st December every year for the preceding financial year.

Sl. No.	O.M. No.	Date	Subject
279	D.O.No.F.8-15/93-U.5 Government of India MHRD Department of Education	13.9.1994	Instructions regarding to submit the Annual Report for the Institution and the Audited Accounts by 31st December every year for the preceding financial year.
280	No.F.17-1/97 (CU). UGC Central University Bureau	29.9.2003	Adoption of Common Format of Accounts for all Central Autonomous Organizations/ Institutions.
281	D.O.No.F.19-18/2003-IFD Government of India MHRD Department of Higher Education	23.5.2008	Issue relating to the delay in preparation, adoption and audit of the Annual Accounts by the Central Autonomous Organizations.
282	F.2-2/94 (CU). UGC Central University Bureau	21.7.2008	Timely preparation, adoption and audit of the Annual Accounts of the Central Universities to be laid down before both houses of Parliament by 31st December of following year.
XV Implementation of Official Language Policy			
283		24.4.2007	
284	No.I/20012/07/2005-O.L. (Policy-1) Government of India Ministry of Home Affairs Department of Official Language	2.7.2008	Resolution to convey the orders of the President made under section 4 (4) of the Official Language Act on the recommendations made in the eighth part of the Committee of Parliament on Official Language.
285			
XVI Right to Information, Act, 2005			
286		1.1.2005	Template for Information Handbook.

Sl. No.	O.M. No.	Date	Subject
287		15.6.2005	Sec.4 - The Right to Information Act, 2005 No. 22 of 2005
288	No. 34012/8(S).2005-Estt. (B)	16.9.2005	Notification (RTI – Regulation of Fee and Cost Rules, 2005)
289	No.34012/12(S)/2005-Estt. (B) Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	28.9.2005	Amendments in the Second Schedule to the RTI Act
290	No. 34012/13(S)/2005-Estt. (B) Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	06.10.2005	Designation of Central Assistant Public Information Officers (CAPIOs)
291	No. 34012/8(S)/2005-Estt. (B)	27.10.2005	Notification – Amendment to Fee and Cost Rules, 2005
292	No. 1/4/2005-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	28.10.2005	Appeal Rules
293	No. 1/4/2006-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	21.2.2006	Implementation of the various provisions of the RTI Act, 2005

Sl. No.	O.M. No.	Date	Subject
294	No. 34012/8(S)/2005-Estt.(B) Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	17.5.2006	Notification (RTI – Regulation of Fee and Cost Rules, 2005)
295	No. 1/4/2005-IR	31.8.2006	Notification
296	F.No.1/2/2007-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training	23.3.2007	Non-Implementation of various provisions of RTI Act, 2005 by Public authorities – regarding.
297	No. 10/23/2007-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	9.7.2007	Disposal of first appeals under the RTI Act, 2005
298	No. 1/12/2007-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	31.7.2007	Preparation of Inventory of Public Authorities under RTI Act, 2005
299	No. 1/18/2007-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	21.9.2007	Maintenance of records and publication of information under the Right to Information Act, 2005

Sl. No.	O.M. No.	Date	Subject
300	No. 10/20/2006-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	21.9.2007	Disclosure of Annual Confidential Reports under the RTI Act, 2005
301	No. 1/14/2007-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	31.10.2007	Disclosure of information relating to occurrence / event / matter which took place 20 years back.
302	No. 1/8/2007-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	8.11.2007	Guidelines for information seekers under the RTI Act, 2005
303	No. 1/24//2007-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	14.11.2007	Designation of the CPIOs in the Organizations specified in the second schedule of the RTI Act, 2005
304	No. 1/33/2007-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	14.11.2007	Updating of Records – Recommendations of the Second Administrative Reforms Commission
305	No. 1/32/2007-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	14.11.2007	Creation of a Central Point for receiving applications and designation of appellate authorities under the Right to Information Act, 2005.

Sl. No.	O.M. No.	Date	Subject
306	No. 1/69/2007-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	27.2.2008	Guidelines for the officers designated as Central Public Information Officer under the RTI Act, 2005
307	No. 1/7/2007-IR	27.3.2008	Notification
308	No. 11/12/2008-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	22.4.2008	Transfer of applications under the RTI Act, 2005
309	No. 1/3/2008-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	25.4.2008	Guidelines for the officers designated as first appellate authority under the RTI Act, 2005
310	No. 13/10/2007-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	29.4.2008	Special Civil Application No. 23305 of 2007 – Ahmedabad Education Society & Another Vs. UOI & Ors.
311	No. 10/2/2008-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	12.6.2008	RTI applications received by a public authority regarding information concerning other public authority / authorities.

Sl. No.	O.M. No.	Date	Subject
312	No. 1/12/2008-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	23.6.2008	Initiatives for effective implementation of the RTI Act, 2005
313	No. 4/9/2008-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	24.6.2008	Courteous behaviour with the persons seeking information under the RTI Act, 2005
314	No. 11/2/2008-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	10.7.2008	Clarification regarding format in which information should be supplied under the RTI Act, 2005
315	No. 1/14/2008-IR Government of India Ministry of Personnel, Public Grievances and Pensions Department of Personnel and Training.	28.7.2008	Clarification regarding Sub-sections (4) and (5) of Section 5 of the RTI Act, 2005
316	No. 1/6/2008-IR	08.10.2008	Notification
317	No. 10/9/2008-IR	05.12.2008	Payment of fee under the RTI Act by demand draft / bankers cheque / Indian Postal Order.
XVII Non – Net M.Phil./Ph.D. Fellowship to Central Universities			
318	No.F. 50 – 1/2009 (CU). UGC Central University Bureau	30.09.2009	Implementation of the Scheme of grant of M.Phil/ Ph.D. Scholars.

Sl. No.	O.M. No.	Date	Subject
319	No.E.57 – 1/2009 (CU). Vol. II UGC Central University Bureau	29.07.2010	Clarification on payment of Fellowship for Ph.D. students under Plan Scheme.
320	No.E.15 – 1/2012 (CU). UGC Central University Bureau	27.05.2012	Continuation of Fellowship to M.Phil/Ph.D. Scholars in Central Universities who are not in receipt of any fellowship from any other sources.
321	No.E.15 – 1/2012 (CU). UGC Central University Bureau	11.01.2013	Tenure of fellowship to fulltime M.Phil/Ph.D. Scholars in Central Universities who are not in receipt of any fellowship from any other sources (Non – NET Fellowship).
XVIII Mobility of Personal amongst Central/State Autonomous Bodies			
322	No.F.1-2/2004 (FA-NPS) UGC Central University Bureau	24.11.2009	Mobility of Personnel amongst Central/State & Autonomous Bodies while working under Pensionable establishments – regarding.
323	F.No.8 – 9/2008- T.S.I MHRD Department of Higher Education	28.12.2011	Mobility of faculty and non – faculty personnel to the newly established Central Educational Institutions (CEIs)/Scientific Institutions.
324	F.No.51-1/2009 (CU). UGC Central University Bureau	12.01.2012	Clarification on applicability of Pension Scheme in newly established Central Universities (established on or after 01.01.2004).

Sl. No.	O.M. No.	Date	Subject
325	F.No.8-9/2008 –T.S.I MHRD Department of Higher Education	31.07.2012	Mobility of faculty and non – faculty personnel to the newly established Central Educational Institutions (CEIs)/Scientific Institutions.
326	F.No.19-5/2003 (CU). UGC Central University Bureau	03.08.2012	Instructions/Clarification regarding grant of Pensionary benefits such as switch over from CPF to Pension, counting of past services, new pension Scheme etc., in respect of employees of various Autonomous Bodies under the Ministry of HRD.
327	F.No.15-1/2012 – IFD MHRD Department of Higher Education	06.08.2012	Mobility of staff from one Autonomous organization to another Autonomous organization – admissibility of pensionary benefits clarification regarding.
328	F.No.15-1/2012 – IFD MHRD Department of Higher Education	18.02.2014	Mobility of staff from one Autonomous organization to another Autonomous organization – admissibility of pensionary benefits clarification regarding.
329	F.No.8-9/2008 – T.S.I MHRD Department of Higher Education	13.10.2014	Mobility of faculty and non – faculty personnel to the newly established Central Educational Institutions (CEIs)
330	F.No.71-6/2012 (CU). UGC Central University Bureau	24.02.2015	Clarification on fixation of pay of re-employed pensioners – regarding.

Sl. No.	O.M. No.	Date	Subject
331	F.25014/1/2013 – AIS (II) Ministry of Personnel, P.G. Pension, Department of Personnel & Training	18.03.2015	Mobility of personnel amongst Central/State & Autonomous Bodies while working under Pensionable Establishments – regarding.
XIX New Pension Scheme			
332	No.F.5-9/2006 – Desk (U) MHRD Department of Higher Education	01.02.2007	Clarification on introduction of NPS in the JNU for those who joined the service on or after 1.10.2004 – counting of past service on technical resignation on or after 1.1.2004 by the employees governed by CCS (Pension rules, 1972).
333	F.19-15/2004 – IFD, Vol – II MHRD Department of Higher Education	15.04.2009	Applicability of New Pension Scheme to the employees of Autonomous Bodies under various Central Ministries/ Departments.
334	No.F.1-2/2004 (FA-NPS) UGC Central University Bureau	29.05.2009	Applicability of New Pension Scheme to the employees of Autonomous Bodies under various Central Ministries/ Departments - regarding.
335	No.1 (2)/E.V./2007 Ministry of Finance Department of Expenditure	30.06.2009	Transition from contributory Provident Fund to Defined Contribution Pension Scheme for the employees of Autonomous Bodies.

Sl. No.	O.M. No.	Date	Subject
336	F.No.1-2/2004 (CU). UGC Central University Bureau	05.06.2014	Registration of Government employees aged 60 years and above under National Pension System (NPS).
337	F.No.1-2/2004(CU). UGC Central University Bureau	15.06.2014	Clarification regarding NPS/ CPF Scheme or any other Pensionary benefits.
338	--	--	Doubts and Clarification for NPS.
XX UGC letters related to Policy matters/Administrative Decisions			
339	F.No.13-1/2012 (CU). UGC Central Univesrity Bureau	28.06.2012	Implementation of the recommendation of Committee on autonomy of CEI and recommendations of core committee of Vice-Chancellors of Central Universities on several critical areas – regarding.
340	D.O.No.14-5/2007 (CPP-II) UGC CPP Bureau	29.11.2012	Introduction of an optional paper on Disaster Management of UG level across the Universities/ Colleges.
341	D.O.No.14-7/2009 (CPP-II) UGC CPP Bureau	16.01.2013	Introduction of Cyber Security/Information Security as a Subject.
342	D.O.No.F.14-32/2011 (CPP-II) UGC CPP Bureau	23.04.2013	UGC Guidelines on Students Entitlements.
343	D.O.No.F.1-7/2011 (CPP-II) UGC CPP Bureau	23.04.2013	UGC's support for promotion of NSS in Universities and Colleges.
344	F.No.5-5/2013 (JCRC) UGC JCRC Cell	19.08.2013	Administrative Reforms Commission's 12th Report – adoption of self-certification provision for simplifying procedure.

Sl. No.	O.M. No.	Date	Subject
345	F.No.1-1/2012 (CU). UGC Central University Bureau	27.12.2013	Mandatory accreditation under the UGC (Mandatory Assessment and Accreditation of Higher Educational Institutions) Regulations, 2012
346	D.O.No.6-1/2014 (CPP-II) UGC CPP Bureau	April, 2014	Inclusion of History and Unique Culture Heritage of the North East in Curriculum in of Courses in HEI's
347	D.O.No.5-1/2014 (CPP-II) UGC CPP Bureau	09.06.2014	Specification of Degree.
348	D.O.No.1-13/2010 (CPP-II) UGC CPP Bureau	20.06.2014	Regarding provision of certain concessions for the wards of Kashmir migrants in the matter of their admission to the educational institutions in other parts of the country.
349	D.O.No.5-1/2014 (CPP-II) UGC CPP Bureau	11.07.2014	Specification of Degrees.
350	F.5-1/99 (CPP-II) UGC CPP Bureau	05.08.2014	Notification – Clarification on Duration of LLM Degree.
351	D.O.No.F.13-1/2000 (EA/ENV/COS-1)	07.08.2014	To introduce environmental studies course in all universities and affiliated colleges.
352	F.No.UGC/DEB. QMC/2013	09.08.2014	Territorial jurisdiction & offering of programmes through off campus/ Study Centres etc., by institutions/Universities – reg.

Sl. No.	O.M. No.	Date	Subject
353	F.No.1-54/2013 (CC/ NVEQF) UGC NSQF Bureau	13.08.2014	Clarification about Awarding Authority for Certificate(s)/Diploma(s) to the students under the Scheme of Community Colleges.
354	D.O.No.14-13/2011 (CPP-II) UGC CPP Bureau	19.08.2014	Scheme of reservation of supernumerary seat in Engineering/Technology/Architecture/Pharmacy courses conducted at Degree level Technical institutions approved by AICTE for North Eastern States/Islands UTs.
355	No.E.5-1/13 (CPP-II) UGC CPP Bureau	21.08.2014	Public Notice on Awarding of Specified Degrees
356	D.O.No.14-3/2007 (CPP-II) UGC CPP Bureau	September, 2014	Regarding recognition/ equivalence of certificates/ Qualification awarded by State Madarasa Boards.
357	F.No.6-7/97 (JCRC) Vol.IV UGC JCRC Cell	01.10.2014	Report of the Joint Cadre Review Committee (JCRC) on reforms in Cadre Recruitment Rules for various categories of posts in respect of 24 identified services/cadre structures on uniform staffing pattern of the non – teaching staff of the Central Universities, UGC maintained deemed to be Universities and Delhi Colleges.
358	F.No.65-6/2012 (CU). Central Univesrity Bureau	14.10.2014	Clarification on requirement of 12B Certificate for applying the NAAC accreditation.
359	D.O. No.F.1-1/2014 (Secy)	12.11.2014	Choice Based Credit System (CBCS)

Sl. No.	O.M. No.	Date	Subject
360	D.O. No. F.11-1/2014 (CU). Central University Bureau	17.12.2014	To establish a placement cell in central universities.
361	D.O. No. F.1-1/2014 (Teacher Education)	02.01.2015	Regarding promotion and strengthening of Teacher Education Programme in the University system
362	No.F-1-1/2012 (CU). Central University Bureau	03.01.2015	Mandatory accreditation under the UGC (Mandatory Assessment and Accreditation of Higher Educational institutions) Regulations, 2014
363	D.O. No. F.1-1/2015 (CM)	08.01.2015	Regarding Introduction of Choice Based Credit System (CBCS) and adoption of Credit Framework for Skill Development (CFSD)
364	D.O. No. F.1-1/2014 (Secy)	20.01.2015	Choice Based Credit System (CBCS)
365	D.O. No. F.91-3/2014 (GS)	27.01.2015	Regarding arrangements for the safety and security of girls & women in particular and of the entire youth in general on the campuses of institutions of higher learning.
366	D.O. No. F.1-1/2012 (SA-III) UGC Selections & Awards Bureau	10.03.2015	Regarding creation of 2 seats under supernumerary Quota for students from Jammu&Kashmir
367	D.O. No. F.1-13/2010 (CPP-II) UGC CPP Bureau	19.03.2015	Regarding provision of certain concessions for the wards of Kashmiri migrants in the matter of their admission to the educational institutions in other parts of the country

Sl. No.	O.M. No.	Date	Subject
368	D.O. No. F.1-13/2010 (CPP-II) UGC CPP Bureau	23.03.2015	Regarding provision of certain concessions for the wards of Kashmiri migrants in the matter of their admission to the educational institutions in other parts of the country
369	D.O. No. F.1-13/2012 (SA-III) UGC Selections & Awards Bureau	June, 2015	Regarding creation of 2 seats under supernumerary Quota for students from Jammu & Kashmir.
370	D.O. No. F.1-14/2015 (CPP-II) UGC CPP Bureau	29.09.2015	Regarding Guidelines for the Scheme of Establishing University – Industry Inter Linkages in the University system
371	D.O. No. F.1-12/2015 (CM)	22.12.2015	Choice Based Credit System (CBCS)
372	D.O. No. F.1-11/2014 (CPP-II) UGC CPP Bureau	27.01.2016	Regarding to create the Students Counseling Centres in Universities
373	D.O. No. F.6-1/2016 (CU). UGC Central University Bureau	16.03.2016	Regarding improving financial management and strict compliance of rules / procedures in the Central Universities.
374	D.O. No. 1-1/2016 (Secy)	15.07.2016	Inclusion of the IPR as a generic elective subject under the Choice Based Credit System (CBCS)
375	No.F.9-3/2016 (CPP-II) UGC CPP Bureau	19.07.2016	Public Notice on Equivalency of Degrees
376	D.O. No.1-3/2007 (CPP-II) UGC CPP Bureau	06.12.2016	Notification on “Remittance and Refund of Fees and other Student Centric issues”.

Sl. No.	O.M. No.	Date	Subject
377	D.O. No. F.14-30/2016 (CPP-II) UGC CPP Bureau	16.01.2017	Online payments
378	F. No. 20-1/2014 (PS) UGC Pay Scale Bureau	17.03.2017	Public Notice – Clarification regarding :Regular Mode: with reference to the Ph.D. Degrees
379	F. No. 4-1/2016 (DEB-III) UGC Distance Education Bureau	31.05.2017	Public Notice – Clarification on M.Phil./Ph.D. programme through distance learning mode
380	D.O. No. F.1-2/2017 (CPP-II) UGC CPP Bureau	19.06.2017	Regarding compulsory implementation of module syllabus on Environmental Studies for undergraduate course of all branches of higher education in universities and colleges.
381	No.24-1/2016 (CPP-II) UGC CPP Bureau	04.10.2017	To consider compulsory courses on Disaster Management for all students
382	No. F. 16-2/2017 (CU). UGC Central University Bureau	15.12.2017	Circular on details of pending audit paras and action taken thereof.
383	F. No. 1-9/2016 (CPP-II) UGC CPP Bureau	February, 2018	Regarding to have stakeholders access to relevant Information related to Higher Educational Institutions (HEIs) to assist them in taking informed decisions.
384	D.O. F. No. 1-14/2017 (CPP-II) UGC CPP Bureau	20.04.2018	Giving suitable preference in admission to graduate course in Physiotherapy to those candidates having requisite expertise in Yoga.

Sl. No.	O.M. No.	Date	Subject
385	F.No.1-1/2012 (SO)/ PS/Misc UGC Pay Scale Bureau	08.06.2018	Public Notice – Regarding equivalence of foreign Ph.D degree with Indian Ph.D. degree as provided in the University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Regulations, 2016
386	F. No. 67-3/2017 (CU). UGC Central University Bureau	12.06.2018	Overseas Citizen of India (OCI) – Eligibility of appointment as teaching Faculty
387	No.F.17-1/2015 (FS-II)	26.06.2018	Implementation of Expenditure, Advance and Transfer (EAT) module in Universities/Institutions receiving grants under various schemes from UGC.
388	No.F.27-9/(Orissa)2010 (L)/PS	04.07.2015	Public Notice on inter changeably subjects (Political Science and Public Administration)
389	SA-III Section UGC Selections & Awards Bureau	--	Notice – Inclusion of Transgender as Third Gender under various Scholarships/Fellowships
390	SA-III Section UGC Selections & Awards Bureau	--	Notice – Inclusion of Jain Community as Minority Community with Five other Minority communities
XXI MHRD letter related to Policy matters/Administrative Decisions			
391	D. NO. 6-15/2007- Desk (U) MHRD Department Of Higher Education	30.07.2009	Clarification on the mechanism of shortlisting the applicants.
392	No. F.52-3/11-Desk(U) MHRD Department Of Higher Education	19.08.2011	Composition of the Selection Committee for appointment in various positions – Amendment to the Statutes 18(2) – reg.

Sl. No.	O.M. No.	Date	Subject
393	F No. 5-6/2011-Desk (U)	28.03.2013	Augmentation of internal resources: Review of revision in fee and other charges.
394	F No. 19-58/2014-Desk(U)	07.08.2014	Officers performing current duties of a Post – reg.
395	F.No. 19-58/2014-Desk(U)	09.10.2014	Officers performing current duties of a Post
396	F No. C-34013/16/2015-Vig	13.08.2015	Instruction of Heads/ Chairmen of Autonomous Bodies reg. initiating action to make Sections at least two months before concluding their tenure.
397	F No. 61-19/2015-Desk(U) MHRD Department Of Higher Education	03.03.2016	Improving financial management and strict compliance of rules/ procedures in the central Universities – regarding
398	F No.20-28/2016-Desk(U) MHRD Department of Higher Education	07.04.2016	Display of names and contact details of Chairperson, Internal Complaints Committee and Anti-Discrimination Officer in the campuses of Central Universities.
399	F No. 20-15/2016-Desk(U) MHRD Department of Higher Education	08.04.2016	Timely completion of disciplinary proceedings/ departmental inquiry proceedings – Improving Vigilance Administration – reg.
400	F No. 20-3/2016-Desk (U) MHRD Department of Higher Education	August, 2016	Uploading data with regard to Government land on the web portal created for the purpose of “Centralized databank of inventory of all Government land including that belonging to Government controlled statutory authorities – regarding

Sl. No.	O.M. No.	Date	Subject
401	F No. 22-02/2016-U. Policy MHRD Department of Higher Education	27.10.2016	Benefits of pay protection in case of candidates working in PSUs, Autonomous Bodies, Universities etc. appointed in the Government
402	No.24-04/2016-IFD MHRD Department of Higher Education	29.11.2016	Procedure for payments to Sellers/Suppliers in Government e-Marketplace (Gem) – Reg
403	F No. 34-2/2017-CU.I/ CU.CDN MHRD Department of Higher Education	15.06.2017	Procedure for submission of the Statement of Purpose (SoP) before and after the foreign visit
404	F NO. G. 25012-9/2017-IF IV MHRD Department of Higher Education	19.07.2017	Internal Audit to undertaken by Autonomous Bodies and Internal Audit Reports to be placed before the Board of Governors/ Executive Council
405	F No. 65-7/2016 Desk-U MHRD Department of Higher Education	01.11.2017	Enhancement of age of superannuation of doctors other than Central Health Service (CHS) doctors to 65 years
406	F.No.19-13/2016- Desk-U MHRD Department of Higher Education 07.11.2017	07.11.2017	Disciplinary/conduct Rules relating to those PSUs/ PSBs/FIs who are not following AIS or CCS(CCA) Rules but follow different set of Rules – reg.
407	F No. 20-15/2016- Desk-U MHRD Department of Higher Education	12.12.2017	Mandatory Consultation with CVC for its advice for the Organizations/ Institutes falling under CVCs jurisdiction – regarding
408	F No. 20-15/2016- Desk-U MHRD Department of Higher Education	02.01.2018	Submission of Immovable Property Return by the employees of autonomous and subordinate institute/ organizations in the Ministry of HRD

Sl. No.	O.M. No.	Date	Subject
XXII Implementation of Reservation Policy			
409	F No. 4-6/2011	29.07.2011	Discrimination against any community of category of student in Higher Education Institutes
410	No. F.1-5/2006 (SCT)	05.03.2018	Implementation of Reservation Policy of the Government of India – Reg.
411	No. F.1-5/2006 (SCT)	20.04.2018	Implementation of Reservation Policy of the Government of India – Reg
412	No.F.1-5/2006 (SCT)	16.07.2018	Implementation of interim orders/directions in Special Leave to Appeal © No.30621/2011 arising out of final judgement and order dated: 15.07.2011 in CWP No. 13218/2009 passed by the Hon’ble High Court of Punjab & Haryana and Special Leave to Appeal (C) No.31288/2017 arising out of Hon’ble Delhi High Court Judgment dated 23.08.2017 and other related court cases – regarding
413	No.F.1-5/2006 (SCT)	19.07.2018	Implementation of reservation policy of the Government of India
XXIII General Financial Rules, 2017			
414	No.F.72-5/2017(CU)	03.11.2017	Circular on submission of Utilisation certificates as per GFR 2017
415	--		Relevant provisions of General Financial Rules, 2017
416	--		GFR-12 A Format