UNIVERSITY GRANTS COMMISSION
BAHADHUR SHAH ZAFAR MARG
NEW DELHI – 110 002

No. 2-75/2008 (XI Plan)   27th September, 2010

To all the Stakeholders,
Vice-Chancellors and Directors of ASCs

Subject: Regarding comments from Stakeholders, Vice-Chancellors and Directors of ASCs.

Sir,

   I am directed to apprise you that the UGC Expert Committee has prepared guidelines on "Training and Development of Academic Administrators in Higher Education". The Guidelines under reference are being uploaded on the UGC Website for getting comments from the above academicians and Stakeholders.

   In view of the above, you are requested to send the comments, if any, within one month's time from the date of uploading of the same. Further, you are requested to E-mail your comments to the undersigned at **nayyar_veena@yahoo.com.**

                          Yours faithfully,

                          (Veena Nayyar)
                          Under Secretary

ज्ञान-विज्ञान विमुक्तये

Training and Development of Academic Administrators in
Higher Education

UNIVERSITY GRANTS COMMISSION
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UNIVERSITY GRANTS COMMISSION
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Guidelines for
Training and Development of Academic Administrators in
Higher Education Institutions

❖ <u>HIGHER EDUCATION SYSTEM</u>

The system of higher education in the country is fairly large consisting of around 480 Universities and more than 20,000 colleges catering to more than one crore student population. The enrolment ratio in higher education is about 13%. To achieve 25% enrolment ratio, the country needs about 500 more Universities and 35000 colleges to become competitive in the sphere of higher education.

Higher education institutions not only cater to local body of students but are also seeking students from aboard. They are increasingly competing for talented students and competent faculty. They are expected to partner with industry and the research institutions in order to capitalize on their intellectual resources and also enhance employability of their graduates.

The changes above are putting pressures on administration of these institutions. The higher education institutions are no more insulated from the socio-economic environment where they exist. They are expected to play meaningful role in the socio-economic development of the region. They are becoming key stakeholders in development of their respective regions.

❖ CHANGING ROLE OF HIGHER EDUCATION INSTITUTIONS

The higher education institutions are presently managed either by teachers who have taken administrative responsibilities in addition or even to the exclusion of their primary responsibility for teaching and research or by people who have risen through ranks from the clerical cadre. This arrangement appears to be inadequate in the face of changing realities. There is an urgent need for adopting a professional approach towards administration of institutions of higher education in the country. There are about 5 lakh teachers and equal number of educational administrators managing universities and colleges the number is likely to be doubled in next ten years.

❖ EDUCATIONAL ADMINISTRATORS

The term "academic administrator" is used in a broad sense for all personnel concerned with the administration and management of universities and colleges. It includes teachers who are performing administrative functions (like hostel rectors and wardens, deans and directors of student welfare, international students' advisor etc.) and supervisors of campus activities (estate officer, security officer, university engineer, PRO and health officer)

All the universities are managed by Vice-chancellors, Pro-Vice-chancellors, Registrars. Registrars are assisted by Deputy Registrar, Assistant Registrar, Controller of Examination, Development Officers, and Financial Advisors in their respective field of work. Deans of the faculties and Heads of the Departments also help the university authorities in both academic and administrative functions. In the colleges, Principals are assisted by Vice-Principals, Head of the Departments, and Office Superintendent etc in managing the colleges.

The officials of regulatory bodies like UGC, AICTE etc are also involved in educational administration and may be included in training programmes for educational administrators or specific programmes may be developed for them.

❖ ROLE OF EDUCATIONAL ADMINISTRATORS

The Educational Administrators are responsible for planned development of higher education. They are in a way agent of educational change. Unless they perform their roles effectively, educational development may slow down and may not properly get integrated with other development activities of the country. It is important that educational administrators do good job in relation to the work assigned to them.

❖ NATIONAL POLICY

The National Policy on Higher Education 1986 and Programme of Action 1992 realized the importance of training and development of academic administrators. A committee was constituted for the purpose. The committee in its report on training and development of academic administrators recommended that a national level institution be set up for this. The report has been under consideration for some time. It is now felt that training and development of very large number of functionaries involved in administration of higher education institutions is not possible through a single national level institution. This objective can be better achieved by using the services of existing education and training institutions both within the university system and outside it, in a decentralized manner.

❖ OBJECTIVE OF THE SCHEME

The broad objective of the scheme is to build capacity of the existing and prospective academic administrators to enable them to discharge their functions in a more professional manner. Using scientific orientation in decision making through structured activities to be planned and taken up under this scheme, they will be made aware of the changing realties of their internal and external environment. Their competence shall be built by imparting them generic and specific skills required by different groups of academic administrators and through their attitude transformation. These activities would create a sense of commitment and ensure that they work towards promoting excellence. Finally, this would help in creating a system of accountability through outcome focused monitoring. The thrust will be to achieve efficiency and effectiveness in planning and use of human, physical and financial facilities endowed with the institutions. This is to be achieved by ensuring delicate balance between the academic and managerial vision of the institution is maintained.

❖ GAPS IN MANAGEMENT OF HIGHER EDUCATION

While organizing training programmes for various levels of educational administrators following problems and gaps in management of higher education should be kept in view and training programmes should be addressed to some of these problems and gaps.

1. Lack of awareness of basic concepts of planning.
2. Lack of expertise in converting plans to actions including programme formulation, identification of projects, prioritization, scheduling activities, monitoring through information system and evaluation.

3. Lack of financial management skills.

4. Lack of skills to anticipate and manage organizational bottlenecks.

5. Decision-making skills.

6. Management of Communication of consultations.

7. Insufficient co-operation of various activities and with other departments.

8. Poor human relations.

9. Unsystematic management of institution.

10. Insensitivity to problem of client groups and lack of capabilities to get meaningful participation from clients.

11. Evolving and managing appropriate norms, rules, work procedures and systems for various activities.

12. Lack of research and experimented orientations.

13. Inability to change orientation from maintenance management to development management etc.

These gaps indicate the needs as well as scope for training of education managers.

❖ **GROUPING OF EDUCATIONAL ADMINISTRATORS FOR THE PURPOSE OF TRAINING**

The Educational Administrators may be broadly divided into four groups for the purpose of training as follows:

Group I : Vice-Chancellor, Directors of Institutes, Pro-Vice-Chancellor, and Rector.

Group II : Principals/Vice-principals of Colleges,

Group III: Registrar, Finance Officer, Director, DDE, DSW, Dean CDC, H.O.D., Professor, CEO, Librarian and other equivalent.

Group IV   : Deputy Registrar, Assistant Registrar, H.O., Superintendent, Section Officer, EE, Heads of Deptt. In colleges, Vice-Principal, System Analysis, Programmer, A.O., Private Secretary, Personal Assistant and other equivalent.

Group V: Assistant, UDC, Stenographer, Clerk.

TRAINING NEEDS

Whereas training needs may differ from person to person depending on his present skill profile and the requirement of the job, however, it is seen that functionaries in different groups are expected to have certain skills depending on   job profile (s) of a particular group of functionaries. While, a detailed training need analysis may be necessary, a beginning could be made by addressing key training needs enclosed at Annexure I that have been identified for each group of functionaries. Its fine tuning can be done as we gain experience and through continued feedback that may be part of the implementation strategy. Suggestive list of training modules and suggested training methodologies are at Annexure II & III.

❖ TRAINING PROGRMMES

The training programmes may be organized for any one group of officials with clear objective or for one type of functionaries with specific objective keeping in view their functions.

The training programmes may be of the duration of three days to four weeks depending on the availability of the participants.

Training programmes could be in the nature of orientation programmes that are imparted to new appointees or prospective academic administrators. Orientation programmes are expected to prepare them to meet the challenges of the new job. Training and development programmes could also be in the form of refresher courses. This provides them the opportunity to reflect on their functioning and learn from each other to undertake midcourse correction.

In view of the rapid changes taking place – both within the universities / colleges and in their external environment, there is a need for continuous training and re-training of functional staff. Such training shall be organized at the level of institution itself. Each university / college shall apportion an appropriate budget for training and development of functional staff. To support this activity, the learning material development and trainers training could be organized centrally and made available. With a view to encourage universities and colleges to make investment in training of their staff, suitable scheme of recognition and awards shall be initiated by the National Committee.

❖ <u>TRAINING PROVIDERS</u>

The universal set of training providers shall include:-
- Higher Education Institutes (including reputed management schools)
- National Training Institutions.
- Selected Academic Staff Colleges in the university system.
- State Training Institutions.
- Other Training Organizations having expertise to conduct training programmes both in their own premises and university / college premises for any central or state government department, PSU or body over the last three years could be considered.

❖ <u>ADDITIONAL FACILITIES FOR TRAINING</u>

Sponsorship of Academic Administrators to Training Programmes Abroad.

With a view to expose potential academic administrators to management and governance practices in higher education institutions abroad, support to cover travel cost and travel and training cost may be provided to academic

administrators for training in reputed institutions abroad. Such training should have direct relevance to the work and of the duties of academic administrators. The National Committee would work out details for this. Every year atleast 5 participants, one from central university, from state university, one each from deemed universities and colleges be selected. Fellowship from UNDP, UNESCO common wealth secretariate be explored.

Diploma Programme

A six months diploma programme in planning and management in higher education would be also started possibly through NIEPA. An Experts Committee shall be set up to launch this programme at the earliest.

❖ <u>FINANCIAL ASSISTANCE</u>

The scheme seeks to cater to training and development needs of academic administrators at different levels through training workshop and seminars to be organized through a wide range of institutions. In view of the multiplicity of parameters, only broad financial parameters in the form of certain ceilings shall be provided. Within these broad parameters, decisions may be taken on case-to-case basis by the National Committee proposed under the scheme.

Any institution eligible and desirous of organizing training programme / workshop under this scheme will apply to the University Grants Commission (UGC) in the prescribed form – Annexure IV. All proposals received for consideration under the scheme will be considered by a Committee, which will meet at regular intervals to consider the project proposals.

UGC will bear the organizational expenditure, expenditure on documentation and resource materials, local hospitality and transport for

participants and the resource persons, TA/DA and honorarium of resource persons. Norms for TA/DA and Honorarium for resource persons are given in *Annexure VI.*

It is expected that the expenditure towards travel of participants shall be ordinarily met by the sponsoring university / college. Exception may however be made in case of participants from states that remain under-represented in such activities, particularly North Eastern States, Sikkim and J & K. Wherever, such assistance is provided, as per norms to be followed.

It is expected that the host institution will provide on its / their own the physical facilities necessary for the programme. Normally, assistance to a single Programme / Workshop will range from 1 Lakh to 10 lakhs depending on the duration, number of participants and methodology of training. The funds programmes will, however be released in two installments, the first installment for 80% of the sanctioned amount on sanction of the proposal and the second and final installment on receipt of Utilization Certificate (As per prescribed format), Statement of Audited Expenditure and a Report of the Programme / Workshop. The UGC has direction to increase the quantum of first installment depending on merits. Chairman (UGC) is competent to relax financial ceilings on quantum of assistance.

The institution will maintain the accounts and get the final accounts audited by Government auditors in cases of institutes whose accounts are audited by Government auditors or by a Chartered Accountant, as the case may be, and submit these to the UGC, along with the Utilization Certificate on the completion of a programme / workshop. The accounting and auditing arrangements in respect of this scheme will be the same as those prevailing in the institution / organization. Format of utilization certificate is at Annexure VII.

NATIONAL COMMITTEE

There shall be a National Committee to advise on matters related to policy for training and development of academic administrators. This would be constituted by the UGC. The Committee shall periodically review the training needs and decide on the training modules of the training programme that are being offered to different groups of academic administrators. The scope of the term academic administrators can itself be reviewed with a view to enlarge its scope in due course. The list of training / host institutions could also be reviewed by the Committee. The Committee would put in place the centralized system of training of academic administrators, approve proposals received for financial support and initiate other activities. Details, wherever required shall also be worked by the National Committee within the broad framework of the scheme guidelines.

❖ REPORTING AND MONITORING

All institutions would be required to submit the report on the training programme / workshop organized by them as per format given in Annexure IV. Based on these reports (including participants evaluation of the programmes), a view would be taken if further assistance is to be provided to the institutions. An annual report of all programmes conducted during the year shall be prepared and analyzed with a view to assess the outcome and plan for future.

Key Training Needs *(Illustrative)*   **Annexure I**

Group Name	Functionaries in the Groups	Key Training Needs
Group I Institutional Heads	a) Vice Chancellors, Pro Vice Chancellors, Rector etc	• Leadership Development • Management of Change • Application of IT in Education and Academic Institutions
Group II	b) Principals, Vice Principals of Colleges	• Leadership Development • Management of Change • Application of IT in Education and Academic Institutions
Group III Academic / Administrative Heads	Deans, Directors of centers, Heads of Department, Registrars etc	• General Administration • Finance & Accounts • Estate Management • Team Management • IT in Administration – MIS
Group IV Supervisory Staff	Deputy / Assistant Registrars, Accounts officers, Administrative officers, Systems Analysts, Section officers etc	• Functional Proficiency • Accounts • Law (eg how to handle contempt of court cases, how to file an affidavit etc.) • Store Management • Hands on IT Skills. • Select Soft Skills like Communication Skills, Team Building, Attitude Change, etc.
Group V Staff	Functional Staff like Assistants, Clerks & other Lower staff	• Functional & Attitude skills

Suggestive List of Training Modules   **Annexure II**

Group	Areas of Training				
	Institutional Leadership	**People Management**	**Personal Quality and Administration**	**Functional Proficiency**	**IT Skills**
I	Leadership qualities Value Based Leadership Inspiration and motivation Exposure to global trends & directions Initiating and managing change Developing insights as a creative leader	Human Resource Development & Management Development of human capabilities Mentoring Managing diversity Respond to human needs Managing conflict Team Building	Ethical leadership Personal integrity Building institution for excellence Building synergy between teaching and non-teaching staff Excellent inter-personal and communication skills	Strategic thinking Change management Inspiring and motivating the team	Working knowledge and understanding
II	Monitoring and evaluating change Identifying the right human resources Generating and analyzing feedback Conflict management	Strategic thinking Merit recognition and rewards Capacity building through training and motivation Developing soft skills Participative management	Communicating mission and goals clearly Reengineering performance management Managing stress Overcoming and environmental and cultural blocks	Prioritizing Radiance to change Team work and collaboration Attitudinal change and flexibility	Infrastructural requirement and understanding Latest trends in IT Technology integration
III	Prioritization Readiness to	Job specification	Personal integrity Team work and	Effective execution	Effective use of web resources

	change Need analysis Expectation management Team work and collaboration Empathy and apathy Multitasking Interaction with stack holders Imbibing total quality management system	Developing insights Leveraging diversity to achieve excellence Overcoming mental blocks Managing meetings Consensus approach Communication and presentation skills	collaboration Attitudinal change and flexibility Managing conflict and stress	Rule and objective based management Change management Overcoming hurdles	Administrative and management information system e-governance in higher education e-learning and video conference latest trends in IT
IV				Soft skills Positive attitude Team work Open to new approaches	Lan, Wi-Fi Web resources Online services University automation Latest trends Working knowledge and understanding
V				Soft skills Positive attitude Team work Open to new approaches	Working knowledge and understanding

VI.   TRAINING METHODOLOGY

6.1 Training methodology would depend on the objective and the content of training programmes and the target group. Adoption of appropriate training methodology is critical to the success of the training programmes. With a view to facilitate proper design of training programmes, a suggestive list of training methodologies that may suit different areas of training have been listed below.

Table 4*: Suggested* Training Methodologies

Area of Training	*Suggested* Methodology
Institutional Leadership	• Workshop mode • Panel discussion • Experience sharing Sessions
People Management	• Workshop mode • Case Studies • Outdoor exercises. • Lecture and discussions • Group work and presentations • Experience sharing
Personal Quality and Administration	• Workshop mode. • Case studies • Role Plays • Lecture and discussions • Group work and presentations
Functional Proficiency	• Classroom mode • Case Studies • Lecture and discussion • Assignments • Distance learning including e-learning
IT Skills	• Instructor Led Training • Hands on computer sessions • Group & individual assignments

Form for Seeking UGC Support for Organizing Training Programme / Workshop for Academic Administrators

1. Name of the Host Institution with Full Address (Email / Fax and Website Address)

2. Name and Contact Information of the Course Coordinator

3. Topic of the Training programme

4. Duration of the programme along with tentative date (s)

5. Level of programme (Institutional Heads/ Unit or Department Heads, Supervisory Level)

6. Objectives and expected outputs

7. Number and profile of participants expected along with manner of inviting nominations and selection

8. Brief description of organising similar Training Programme, if any, in the past

9. Tentative List of Resource persons (internal and external)

10. Financial estimates
    - Organisational expenditure
    - Resource Material
    - Local hospitality and transport for participants and the Resource Persons
    - Resource persons (including T.A./ D.A. and honorarium)
    - Miscellaneous (not to exceed 10% of the total)

Format for Report on Training Programme / Workshop for Academic Administrators

1. Name of the Host Institution with Full Address (Email / Fax and Website Address)

2. Name and Contact Information of the Course Coordinator

3. Topic of the Training programme

4. Date (s) of the programme

5. Level of programme (Institutional Heads/ Unit or Department Heads, Supervisory Level)

6. Summary of participants evaluation along with outcomes

7. List of participants (name, designation and institutional attachment)

8. List of Resource persons (internal and external)

9. Programme Schedule along with copy of presentations made and reading material circulated (soft copy of the same may be furnished)

10. Expenditure Break up
   - Organisational expenditure
   - Resource Material
   - Local hospitality and transport for participants and the Resource Persons
   - Resource persons (including T.A./ D.A. and honorarium)
   - Miscellaneous (not to exceed 10% of the total)

Financial Norms

As per Govt. of India/UGC norms

1. **Honorarium**

Honorarium to Resource Persons shall be paid @Rs.2,000/- per session of 90 minutes duration with a ceiling of Rs.5,000/- per day. This will be subject to a maximum of Rs10,000/- per course. Outstation resource persons will be invited only once in a programme.

2. **Reading material:**

Reading material within the ceiling amount of Rs. 1000/- per participant for programme may be supplied to the participants.

Format for Utilization Certificate

It is certified that the total grant of Rs. _____ sanctioned by the University Grants Commission vide sanction letter No._____ dated_____ for _____ has been utilised by the university as per details given in the attached statement in accordance with the terms and conditions laid down by the UGC. The grant has been utilised for the purpose for which it was approved.

It is further certified that the inventories of permanent or semi-permanent assets created/acquired wholly or mainly out of the grants given by the University Grants Commission as indicated above are being maintained in the prescribed form and are being kept up to date, and these assets have not been disposed of, encumbered or utilised for any other purpose.

      Auditor   Head of the Institution
     (Signature)   (Signature and seal)