

***DEPARTMENTAL ADVISORY COMMITTEE MEETING***

**Department of Educational Finance**

***Venue: Board Room, First Floor***

***Date : 12<sup>th</sup> February, 2019***

***Time 11.30 A.M.***

**BACKGROUND NOTE AND AGENDA**



***NATIONAL INSTITUTE OF EDUCATIONAL  
PLANNING AND ADMINISTRATION***

***New Delhi-110016***

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### **1. About the Department**

The Department of Educational Finance is one of the thematic academic departments of the institution, specialised in the area of educational finances.

The twin objectives of the Department are to conduct and promote serious research on economic and financial aspects of education at all levels at national, sub-national and global levels, and to build knowledge and skill capacity of manpower involved in financial planning and management in education sector in India and other developing countries.

In the context of educational policy, planning and administration, finances form an important issue. The Department of Educational Finance focuses its activities - research, teaching, training and consultancy - around policy, planning and development issues relating to public and private financing of education, including specifically mobilization of governmental and private resources, allocation of resources and utilisation of resources in all levels of education from primary to higher, estimation of resource requirements. Mostly, but not exclusively, research areas cover policy issues in financing of education; programmes; policy issues are the focus of consultancy/advisory services; and theoretical and empirical issues relating to economics and financing of education form the content of the teaching programmes; planning techniques and management approaches form the content of training and orientation

#### **1.1 Faculty Members of the Department**

Prof. Mona Khare, Professor & Head of the Department

Dr. Vetukuri P. S. Raju, Assistant Professor

#### **1.2 Activities of the Department**

##### **1.2.1 Research**

Most of the important research studies conducted by the members of faculty of the Department have been around themes such as public (government), household and private financing of education, external funding, costs and financing of education, methods of funding education, estimation of resource requirements, structural adjustment programmes, midterm evaluation studies of centrally sponsored scholarship/incentive schemes and changes in education policies etc. Important research projects undertaken recently by the faculty of the Department include:

- Spatial Dynamics of Comparative Educational Advantages in India ( Prof. Mona Khare - ongoing)
- Alternative Approaches to Identifying Educationally Backward Areas for Balanced Development ( Prof. Mona Khare --Draft Ready)
- Employability of Higher Education Graduates in India ( Prof. Mona Khare with CPRHE –ongoing)
- Prime Minister’s Special Scholarship Scheme for Jammu and Kashmir: An Evaluation (Dr. Vetukuri P.S. Raju)) (Report submitted to The Department of Higher Education, MHRD, Govt. of India)
- An Evaluation Study of the Central Sector Scheme of Scholarship for College and University Students (Dr.Vetukuri P. S. Raju) (Report submitted to The Department of Higher Education, MHRD, Govt. of India)
- An Evaluation Study of the Centrally Sponsored ‘National Means-Cum-Merit Scholarship Scheme’ (Dr. Vetukuri P. S. Raju) (Report submitted to The Department of School Education & Literacy, MHRD, Govt. of India)
- An Evaluation Study of the Centrally Sponsored ‘National Scheme of Incentive to Girls for Secondary Education’ (Dr.Vetukuri P. S. Raju) (Report submitted to The Department of School Education & Literacy, MHRD, Govt. of India)
- Causes of Non-Enrolment and Dropout of Muslim Children at Elementary Stage in Andhra Pradesh, Telangana and Uttar Pradesh: A Comparative Study (Dr. Vetukuri P. S. Raju--Draft ready)

### **1.2.2 Capacity Development Programmes**

The department regularly organizes training programmes covering varied aspects of financing in Education both at the level of school and higher education. The clientele group of the programmes consists of officers from State education Departments as well as university and college systems. Participants in different programmes include Education Joint Secretaries, Directors, Joint Directors, Planning and Finance Officers and from SSA/RMSA and other senior officers dealing with the financial aspects of Education in education departments; Registrar and Finance Officers, Audit and Accounts Officers of Central and State Universities as also College Principals, Heads and Deans .

The main Objectives of the Programmes of the Department are: To sensitize the participants to the emerging problems of financing education in India; To enable the participants to appreciate the role of financial management in the development of school education; higher education and to promote an awareness of techniques of modern

financial planning and management, including cost analysis, expenditure analysis, budget analysis etc.

The Department also offers courses on Financial Planning and Management in Education in Diploma in Educational Planning and Administration (PGDEPA) and the International Diploma in Educational Planning and Administration (IDEPA). In addition, the faculty members of the Department are actively involved in many other programmes of NIEPA.

Major training programmes that the Department has been organizing regularly include the following:

1. Training Programme on ‘Financial Planning and Management of Education’
2. Orientation Programme on ‘Planning and Management of University/College Finances’
3. Gender Budgeting in Education
4. Higher Education Leadership Programme for University Administrators

The following capacity building programmes/Workshops/Seminars organized recently include:

1. Orientation Programme on ‘Planning and Management of University Finances’ (December 3-7, 2018)( Dr. Vetukuri P S Raju)
2. Orientation Programme on ‘Planning and Management of College Finances’ (March 19-21, 2018) ( Dr. Vetukuri P S Raju)
3. National Seminar on Shifting Paradigms in Education Financing: Concerns of Quality, Equity and Employability (13-14 December, 2018) (Prof. Mona Khare)
4. National Workshop on Leadership Development in Higher Education for University Administrators (MHRD-CALEM) ( January 7-9, 2019) (Prof. Mona khare)

### **1.2.3 Teaching and Supervision**

The Faculty in the department is involved in teaching and coordinating core and optional courses in M.Phil as well as project and dissertation supervision for long term diploma, M.Phil and Ph. D courses.

- M.Phil courses (Research methodology etc.)
- Optional courses on educational finance (Economics and financing of education; Globalization and education etc.)
- IDEPA course (Course Code: 207 Financial Planning and Management in Education)
- PGDEPA course (Course Code:903 Part-II Educational Finance and Course Code: 905 Project Work and Report Writing)
- Supervision for M. Phil and Ph. D students
- Supervision for PGDEPA and IDEPA participants

### **Research Supervision:**

#### **Prof. Mona Khare**

- Ph.D ( Doctoral Thesis) on “Inter-Relationship between Spatial Distribution of Knowledge Based Industries and Migration for Higher Education in India” by Mr. Sumit Kumar (ongoing) .

His dissertation aims to understand the relationship between spatial distributions of Knowledge based industries and Higher education institution and the impact of their spatial interaction on internal migration for higher education. Further, also aims to understand the effect of the inter-play of above mentioned factors on regional development in India since 2001.

- Ph.D ( Doctoral Thesis) on “Access and Quality Dynamics in Financing of Higher Education” ” by Ms. Sandhya Dubey (ongoing)
- Ph.D ( Doctoral Thesis) Synopsis under preparation by Ms. Sonam Arora
- M.Phil Dissertation on “Impact of Public Expenditure on Education Across Different Levels on Higher Education Access in India: A Panel Data Study” by Ms. Sandhya Dubey ( Awarded)
- PG DEPA Dissertation: A Study of Fund Flow and Utilization Pattern under RMSA in Sadar Block of Distt Mandi. Himachal Pradesh by Mr. Naresh Sharma, Lecturer , DIET, MANDI (Awarded)
- PG DEPA Dissertation: (on going)

#### **Dr. Vetukuri P. S Raju**

- M.Phil Dissertation on “Equity in Higher Education with Focus on Educational Experiences of the Students in Diverse Campus and Institutional practices to respond this Diversity” by MS. Shikha Diwakar (Awarded)
- M.Phil Dissertation on “Armed conflict and Secondary Education: A Case Study of Anantnag District of Jammu and Kashmir.” by Mr. Mohammad Ilyas (ongoing)
- PGDEPA Dissertation: “An Evaluation study on the Mid Day Meal Programme in Elementary Schools of Sagalee Block under Papum Pare District, Arunachal Pradesh.” By Mr. Sendo Lombi (Awarded)
- IDEPA Dissertation: “A Study of Educational Achievement of Primary Students of broken family in Galle Educational Zone, Galle District, Sri Lanka.”Mr. W.T. Raweendra Pushpakumara (ongoing)



- PGDEPA Dissertation: “Role of Information and Communication Technology (ICT)- Learning Process Amongst Primary School Learners: A study on Wardha District of Maharashtra” by Ratnamala P. Khadke (ongoing)

#### **1.2.4 Consultancy**

- The faculty of the Dept. Provides advisory services to the Govt. of India, State Government and other bodies in areas relating to educational finances.
- Undertake research projects for ministries and other organizations/ editorship of journals/ invited experts in various capacities in academic and other organizations.
- Support Government agencies and institutions by holding training programmes/developing reading material/ consultancy /undertake studies with global bodies like UNESCO, IIEP, ADB, World Bank etc.
- Support Government agencies and institutions by holding training programmes/developing reading material/ consultancy to global organizations.

The faculty of the Department provides advisory Services to the Government of India, Planning Commission, University of Delhi, IGNOU, University Grants Commission, state governments and other bodies in areas relating to educational finances.

The faculty of the Dept served on committees like those of the National Advisory Council (on Right to Education) on Rights and Entitlements of Children and the Working Group on Elementary Education and Literacy – Sub Group on Adult Education, for the 12<sup>th</sup> Five Year Plan, NSC Committee on Social Sector Statistics., High-Power Committee on Reforms in Higher Education in Andhra Pradesh and the Working Group 64<sup>th</sup> Round of NSS on Migration and Employment & Unemployment and Education & Consumer Expenditure; Committee for Inspection of Midday Meals, (NCT, Delhi) Member in Joint review Missions (JRM) of the SSA. Earlier they also, among many, served on CABE Committee on Financing Higher and Technical Education, Committee on Financial Resources for Making Education Fundamental Right etc.

The department had undertaken six evaluation studies of the Centrally Sponsored Scholarship Schemes of the MHRD, Government of India. Few Recent engagements of the department in such activities include:

#### **Prof Mona Khare**

1. Expenditure and Management Commission of India (Methodology for developing Education Performance Index)
2. UNESCO – framework on Internationalization of Higher Education in the Asia-Pacific: Toward a Mapping of Indicators and their Utilization.
3. Developing Index of Service Production in Education Sector as Member of the Sub Committee Ministry of Statistics & PI, CSO
4. Boston University & World Economic Services ( WES) – Centre for International Higher Education ( CIHE) Summer Institute on Inclusive and Innovative Internationalization, June 2018, at Boston College. Prepared and presented: Making India a sought after destination for Higher education published in their Perspectives No.11

5. UNESCO Bangkok and Tokyo University – Internationalisation of Higher Education – A country Case of India. Draft submitted and presented in the 3<sup>rd</sup> UNESCO Stakeholders Meeting for developing framework on Internationalization of Higher Education in the Asia-Pacific: Toward a Mapping of Indicators and their Utilization in Bangkok, Thailand Nov 2018. Finalisation of Report under progress.
6. Department of Higher & Technical Education, Telangana: Document on Challenges of Graduate employability Under finalisation after presentation in the 9<sup>th</sup> Higher education and HR conclave, Jan 2019
7. MP Govt and World Bank: Madhya Pradesh Higher education Quality Improvement Programme (MPHEQIP): Expert member in Project Evaluation Committee for proposed Centres Of Excellence , State Project Directorate ,RUSA, Department of Higher Education

## 2. Envisioning Department of Educational Finance

### Perspective Plan (2019-2030)

<u>Area</u>	<u>Description</u>	<u>Short Term Plan</u>	<u>Medium Term plan</u>	<u>Long Term plan</u>
<b>Research</b>	The Department of Educational Finance focuses its research on policy issues in financing of education, planning techniques and management approaches. It also undertakes evaluation of Government schemes on education financing for inclusion, quality enhancement and other activities.	Strengthen and promote research in core thematic areas/Long term trend analysis of Changing patterns of Education Financing/Budgeting and Institutional Financing/Regional & social disparities. Evaluation of Centrally Sponsored Scholarship/Incentive Schemes.	Promote collaborative research with universities and other global bodies in the area of Innovative methods of Financing/Challenges of financing for improving quality, equity and employability in formal, informal and non-formal education at all levels. Comparative research studies in implementation of Scholarship/Incentive Schemes by Central and State Governments. Documenting best practices in financial management at institutional level	Promote interdisciplinary and multidisciplinary collaborative research
<b>Teaching &amp; Guidance</b>	The Faculty in the Dept. is currently engaged in the supervision of the M. Phil/Ph. D dissertations and teaching CC3 ( Statistical Methods) as well as optional paper on Globalisation.	To offer core/optional courses on Economics and Financing of Education in M.Phil in addition to its involvement in other courses.	Take steps to promote the interest of students in different aspects of educational financing	Increase the number of scholars working in the area of educational finance from a diverse perspective.
<b>Training /conferences/seminars etc.</b>	The Department organizes capacity building	Hold 3-4 training programmes each year	Regularly organize one National Seminar/Workshop	Regularly organize one international

	programmes covering areas such as: Planning and management of Finances in school education; Finances in higher education; University finances; Costs of education, reforms in budgeting in education, Gender Budgeting and Utilization of resources, etc.	Training in quantitative research methodology for young scholars and faculty in Indian universities and colleges.  Higher Education Leadership Development programme.  Need Based Training programmes in collaboration with other institutions.	every year along with the other regular training activities  Collaborative Training programmes in New Techniques in Financial Planning and management with other established institutions for NUEPA scholars	seminar/conference/consultation meeting every alternate year along with the other regular training activities
<b>Dissemination</b>	The faculty in the Dept. publish articles/research papers on policy issues on educational finance in different books and journals	At least one paper submission annually for NUEPA occasional paper series /JEPA in addition to other journals	1. Policy briefs annually	1. Developing modules based in tandem with M.Phil/Training programmes curriculum (Faculty and external Invited experts)
<b>Consultancy</b>	The faculty of the Dept. provides advisory services to the Govt. of India, State Government and other bodies in areas relating to educational finances.	Undertake research projects for ministries and other organizations/ editorship of journals/ invited experts in various capacities in academic and other organizations.	Support Government agencies and institutions by holding training programmes/developing reading material/ consultancy /undertake studies with global bodies like UNESCO, IIEP, ADB, World Bank etc.	Support Government agencies and institutions by holding training programmes/developing reading material/ consultancy to global organizations.

## **2.1 Research :Priority areas for research in educational finance**

- Neo-Liberal Policies : Impact on Educational Finance
- Regional and social Disparity and equity in financing of education
- Trends and Patterns of educational financing in India (Sub-sector wise; Different types of educational systems in India (Financing of different institutions General, Technical and vocational)
- Costing and budgeting for education – National, institutional and Household; Gender; Social
- Quality, employability and Financing of Education
- Financial management in educational institutions (Public, private, PPP)
- Institutional practices and Innovative methods in financing of education

**2.2 Series** on ‘Financial Planning and Management in Educational Institutions’ will take up by the department on school level and higher education level like autonomous colleges, Central Universities, State Universities and Private Universities etc.

- Sub-sector wise
- Different types of educational systems in India (Financing of different institutions General, Technical and vocational)

**Documentation** of Case studies/Best practices in financial management in educational institutions (Public, private, PPP)

## **2.3 Workshops/Conferences/Seminars**

- The Department shall regularly organize workshops, conferences and seminars in sync with its research areas. Regularly organize one National Seminar/Workshop every year along with the other regular training activities. Collaborative Training programmes in New Techniques in Financial Planning and management with other established institutions for NIEPA scholars. Regularly organize one international seminar/conference/consultation meeting every alternate year.

## **2.4 Dissemination of information and knowledge**

- At least one paper submission annually for NIEPA occasional paper series /JEPA addition to other journals.
- Paper on ‘Financial Management practices in different types of educational institutions in India’
- Paper on ‘Trends and practices of financial management in India’(long term)
- Seminars/Conferences/Workshops on Educational Finance
  - National conference on educational finance/National consultative meet on Challenges of Financing of Education/National workshop on Gender Budgeting

- One international seminar on educational finance (alternative years)
- In order to promote students working for their M.Phil & Ph.D with the faculty, annually one joint paper with supervisors on the area of their research topic.

### 3 Proposed Activities (2019-20)

#### Proposed activities for the academic year 2019-20

##### 3.1 Training/Orientation/Workshops

Sl. No	Title	Objectives	Cliental Group	Proposed Dates	Programme Director
1.	Higher Education Leadership Development Programme for University Administrators (MHRD – CALEM)	1. To facilitate systematic review of higher education system in the context of changing requirements. 2.To discuss the issues, new principles and practices of management of higher education institutions . 3.To enable the participants to appreciate, strategise and facilitate application of effective governance and innovative planning and management techniques in universities to improve functional and financial efficiency.	University administrators, Deans, Registrars, Controller of Examinations, Finance Officers, Directors of Boards and Senate etc.	Dec.2019/ Jan.2020	Prof. Mona Khare
2.	National Workshop on “Gender Budgeting in Education” (collaborative)	To orient the participants to the need and rationale for Gender Budgeting To develop understanding of Gender Budgeting and related concepts To acquaint the participants with the tools and techniques of Gender Budgeting in education Training needs assessment in the field	Senior level administrators from education departments of different States/UTs, State councils of HE, RUSA, senior academicians	Oct/Nov 2019	Prof. Mona Khare
3.	Training Programme on ‘Financial Planning and Management in Education’	1.To orient the participants to the current patterns, challenges and policy issues in financing education 2.To discuss the challenges experienced in efficient utilization and management of education finances 3.To acquaint the participants with the techniques of budgeting and financial management in educational institutions 4. To introduce the participants to the innovative methods of financing education	Joint Secretaries/Directors/Joint Directors, Planning and Finance Officers, Centrally Sponsored Schemes in Education, State Nodal Officers of Scholarship/ Incentive Schemes	5-9 August, 2019	Dr. Vetukuri P. S. Raju
4.	Orientation Programme on ‘Planning and Management of College Finances’	1.To enable the participants to appreciate the role of financial planning and management in universities and colleges. 2.To facilitate the application of financial planning and management techniques in universities/colleges.		18-22 November , 2019	Dr. Vetukuri P. Raju

		<p>3.To orient the participants to the existing system of financial planning and management in Indian colleges/universities.</p> <p>4.To facilitate review of global trends and practices of financing higher education in the context of changing requirements of the system.</p>			
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### 3.2 Research /Publication

Sl. No.	Title of the Research Project/publication project	Faculty	Present Status
1.	Book : Shifting Paradigms in Education Financing: Concerns of Quality, Equity and Employability	Prof. Mona Khare	Select papers presented in the National Seminar
2	Special thematic volume JEPA	Prof. Mona Khare	Invited &Select papers presented in the National Seminar
3.	Financial Management, efficiency and funding innovations in HEIs – ( Select Cases)	Prof. Mona Khare	Collaborative
4.	Policy and Practices in Gender Budgeting in Education – A study of selected States	Prof. Mona Khare	Project proposal (Draft)
5.	Student Based Financial Support System in Higher Education: <i>A Comparative Study of State and Centrally Sponsored Scholarship/Incentive Schemes</i>	Dr. Vetukuri P. S. Raju	Project proposal (Draft)

### 3.3. Teaching and Supervision (As allotted)

### 3.4. Consultancy and Advisory Services (As assigned/offered)

## **ANNEXURES:**

### **1. National Conference on Higher Education Leadership Development (For Officers in University Administration, CALEM, MHRD)**

#### **Introduction:**

The Higher Education systems across the world are undergoing transformation. The market oriented neo-liberal policies, the process of globalization and rising aspirations of the learners have contributed substantially to this transformation. The universities can no longer continue to play their traditional roles as new demands are being placed on higher education. One common feature across globe is the constraints imposed by declining share of the public resources and demand for job ready college graduates. Institutions of higher education are striving for resources -- physical, financial and human and are resorting to various means to meet these new challenges. The academic and administrative leaders are also struggling to improve operational efficiency of higher education institutions.

The leadership challenges in Indian higher education institutions are even more complex given the recent phenomena of massification and the diverse landscape of higher education institutions, rising concerns of quality and world rankings, existing regional, social and economic disparities – all of which have a critical impact on student learning and institutional performance. While the academic leadership may be regarded as the curator of the vision and mission of institutional transformation the custodian of strategizing its realization is certainly the task of administrative or operational leadership.

The role of strategic and operational leadership in improving internal and external efficiency of institutions can never be challenged. In fact, academic excellence has to be supported by and administrative excellence for institutional development. The basket of such administrative and managerial skills are extremely broad. They range from general managerial techniques of managing multiple Stake holders to multi-stage governance systems, from creating collegial learning environment to developing and maintaining infrastructure and support systems to more technical expertise in financial planning and budgeting exercises, legal and advisory services, making and executing processes, branding and networking for greater visibility, forging industry –academia linkages and many more.

Not to say, that this in any way overshadows the generic leadership skills of team building, time and file management, effective communication, critical thinking and analytical acumen to achieve the above. It is, therefore a wide ranging mix bag of personal, technical and professional competencies that define a true leader.

Also it is important to place these within the contemporary debates and policy dimensions of higher education in general. The programme is thus designed to deliberate upon deep understanding of practitioners' experiences to address the emerging issues and dimensions of operational management of higher education institutions. The



importance of participative dialogue between leadership in improving quality and efficiency of higher education systems is well recognized all over the world. It is expected that the exercise shall help identify the challenges of effective administration in our Higher Education Institutions and help devise strategies for Better Performance Management aiding in academic excellence.

It is with this purpose that the three day long programme is proposed to be organized by NIEPA, New Delhi under as per the following details.

### **Objectives of the Programme:**

- To facilitate systematic review of higher education system in the context of changing requirements.
- To discuss the issues, new principles and practices of management of higher education institutions .
- To enable the participants to appreciate, strategise and facilitate application of effective governance and innovative planning and management techniques in universities to improve functional and financial efficiency.

### **Thematic Discussions:**

The discussions shall revolve around a broad range of functional domains of large university systems covering three thematic areas in line with university administration departments of General administration, Finance and accounts, Academic and Personnel. The selected areas with proposed themes for discussion are as below:

#### ***Governance Structures and Functions:***

- Federal structure of Higher education – Collaborative engagement with Centre, State and Regulatory Authorities, RUSA, State Higher Education Councils etc.
- Multi-tier Governance Functions – Systems and Strategies for managing autonomy and accountability

#### ***Processes and Practices in Internal Administration and Financial Management:***

- Support systems for Student Engagement, Employability and campus Diversity.
- Internal Quality, Infrastructure and Sustainability
- Faculty Development, Staff Management , Research and Innovation
- Legal Frameworks and Institutional Ethics
- Examination Reforms and Evaluation Systems
- Strategies for Managing and Mobilising Financial Resources
- Auditing and Accounting – General, Financial, Gender and Social.

### ***Strategic and Futuristic Planning and Functional Leadership Skills***

- Planning, Networking, Collaboration and Internationalisation
- Digital revolution and Technology for improved governance and student Learning
- Leadership Skills, Stress and Time management, Motivation and Communication.

**Mode of Transaction:** The programme shall be highly interactive and delivered in participatory mode with Group work, Case Studies, panel discussions and Participant presentations.

**Participants and Target Groups:** University administrators, Deans, Registrars, Controller of Examinations, Finance Officers, Directors of Boards and Senate etc.

**Resource Persons:** In addition to NIEPA Faculty, the programme shall draw upon expertise of senior academicians, administrators, Government officials within the higher education other related sectors as also from professional management trainers, Industry and Civil Society Organisations engaged in HE research and training to provide for a wholesome learning from each others' best practices.

**Date & venue: December 2019/ January 2020 at New Delhi**

**Programme Director/Coordinator:** Professor Mona Khare,

### **Higher Education Leadership Programme(MHRD) Budget Details**

TAfor70participants@Rs20000perperson =Rs14,000,00/	Boarding &Lodging charges@  Rs.7,500perday Perpersonx3day10000X70X3) =Rs210,00,00/	Local Conveyance& Honorarium for Resource  Persons@ Rs.40,000X4 =Rs.1,60,000/	Miscellaneous Expenditure  (Stationery,  Photocopy,  Group Photo, Special Lunch and Tea etc.) = Rs.1,50,000/	Total =Rs.38,10,000/  (Thirty Eight Lakh Ten thousand Only
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## **2. National Workshop on “Gender Budgeting in Education”**

**Introduction:** Gender equality commitments are clearly outlined in the newly formulated Sustainable Development Goals (SDGs) too, for not just improving equality in access to education but also reducing gender gaps in learning outcomes thereby targeting quality inclusive education. Reducing gender gap in education and improving Girls education had always been an important policy agenda for GOI. Limited resources at the state level makes it imperative that innovative approaches to the allocation of existing resources be employed, not only by governments but also by non-governmental organizations and the private sector by implementing Gender Budgeting as a tool to Gender Mainstreaming.

Gender Budget Statement was first introduced in Government of India Budget 2005-06. The Ministry of Finance, Government of India issued instructions on Gender Budgeting to all Ministries and Departments. Many state governments have prepared a Gender Budget Statement and have started reflecting allocations for women in the GB Statement of the State Budget. In the year 2014-15, 36 Ministries/Departments have made allocations for gender budget statement including the Ministry of Human Resource Development (MHRD).

The GB statement, outcome budget, performance management systems can be used to reinforce the nation’s commitment to mainstreaming gender issues in education. But, there is a dire need to build capacity of various stakeholders with regard to GB at the state government level, district level, block level as well as strengthen the role of the other supplementing agencies like the NGOs, universities and research organizations. The importance of reflecting gender concerns adequately in programmes, schemes and budgetary allocations require an amalgamation of gender sensitization and awareness alongwith skills and techniques to prepare and implement Gender Budgeting. During the last 10 years, GOI, through the MWCD and its affiliates have pursued the process of training of personnel in various Government departments and non-Government agencies in gender analysis, planning and monitoring. However, given the magnanimity of the task and its felt need in the education department this Orientation Workshop is proposed to be held exclusively for officers and policy makers in the State departments education with the following objectives.

### **Objectives of the Programme:**

- To orient the participants to the need and rationale for Gender Budgeting
- To develop understanding of Gender Budgeting and related concepts
- To acquaint the participants with the tools and techniques of Gender Budgeting in education

## Themes:

The following themes would be covered during the workshop. The themes are mainly divided into three categories, and under these categories various aspects of Gender Budgeting will be discussed.

### 1. Understanding gender and related issues

- Gender sensitization
- Gender issues in higher education
- Education Budgeting – An overview
- Group work: Identifying gender differentials in education

### 2. Technical sessions:

- Gender Budgeting – An Overview
- Strategies and tools for Gender Budgeting - I
- Strategies and tools for Gender Budgeting - II
- Group work: Identifying indicators to develop GB in education

### 3. Policy Practices:

- Women orientation schemes/incentives in education
- Analyzing GB for Planning and financing of education
- Challenges in gender budgeting
- Group work presentations by different States

**Duration of the Workshop:** Three days

**Dates and Venue:** Collaborative and Field based (Southern / Western Region)

**Participants and Target Groups:** Senior level educational planners and administrators from education departments of different States/UTs, senior academicians, researchers.

**Programme Director/Coordinator(s):** Prof. Mona Khare

### Budget Estimates:

<b>Programme Name</b>	<b>Budget Details</b>
<b>1.National Workshop on “Gender Budgeting in Education”</b>	TA for 35 participants @ Rs. 20,000 per person Rs. 7,00,000
	Boarding Charges @ Rs 750 per day per person x 6 days (750x35x6) Rs. 1,57,500
	Lodging Charges @ Rs 2000 per day per person x 6 days (2000x35x6) Rs. 4,20,000
	TA/DA for NUEPA Faculty Rs. 2,00,000
	Local Conveyance & Honorarium for Resource Persons Rs. 10,000
	Miscellaneous Expenditure (Stationery, Photocopy, Group Photo, Special Dinner and High Tea etc.) Rs. 50,000/-
	<b>Total: Rs. 15,37,500</b>

### **3.Training Programme on ‘Financial Planning and Management in Education’**

#### **Introduction**

The world-wide recessionary tendencies of the 1980s have resulted in slowing down of the growth of public expenditure in many countries, as a result structural adjustment policies were introduced in many developing countries. India also one among the other developing nations witnessed the financial squeeze and adopted the adjustment policies. These structural adjustment policies have impacted on social sector expenditures especially on education. The important sub-sector of the social sector which has vulnerable impact was school education. As a result, during 1991 India started liberalizing the policies and several reforms were introduced in financing of education. The recent reforms which introduced are aimed at rapid expansion in the supply, achieving equity in the provision and significantly improving the quality of education.

With the shift of emphasis from centralized to decentralized planning, the main effort of the training programme is on the integration of inputs, processes and products of planning at institutional, district, state and national levels. With the liberalization of the economy, the focus has also shifted to strategic rather than comprehensive planning in the conventional sense. In recent years, with the increasing emphasis on education as a means of reducing poverty and promoting sustainable development, there is an expanded scope of educational planning not only to cover the institutionalization of strategic planning at the macro level but also promoting decentralization and use of local level planning techniques such as school mapping, micro planning and school improvement planning for improving quality of investment in education.

In the context of educational policy, planning and administration, finances form an important issue. The major issues are public and private financing of education including specifically mobilization of governmental and private resources, allocation of resources and utilization of resources at all levels of education, from primary to higher and estimation of resource requirements.

The public expenditure on education in India is decreasing due to liberalization and privatization. In this context, the challenge for educational planners and administrators lies in their efforts to combat the situation with quantity, quality and equity without sacrificing the broader objectives of educational development.

Among all the issues, financing of education is the major issue which India is facing. Financing education is borne by both state and central government. But the amount of expenditure spent on education sector by the government has not increased proportionate to change in enrolments over the years, which has created a huge investment gap. This trend in public expenditure has serious policy implications.

Scholarship/Incentive schemes are major component of student support system and an instrument of student-based financing of education and thus need to be discussed at length. The aims of the scholarship schemes are to recognize and also reward the outstanding academic performers in prescribed examinations as well as some other

criterion. The objective of the scholarship is to extend economic support to eligible individual students to pursue education within and also outside the country. There are various types, size and coverage of student scholarship by schemes.

There are a number of schemes acting towards the benefit of disadvantaged sections of the country. Mostly all schemes have special provisions for SC, ST and OBC category students, while most of them are crafted specially for them. But among other disadvantaged sections some sections which have natural or geographical disadvantages.

As the problem of finances for education becomes an increasingly important issue, better planning and efficient management of finances assume utmost importance. A training programme like this is important for the educational planners and administrators to understand the core issues of educational finances, current challenges and changing policies and how to cope up with the situation. Realizing this problem, the NIEPA has been organizing a training programme on financial planning and management in education. The programme is both generic in nature and specific in content.

### **Objectives:**

- To orient the participants to the current patterns, challenges and policy issues in financing education
- To discuss the challenges experienced in efficient utilization and management of education finances
- To acquaint the participants with the techniques of budgeting and financial management in educational institutions
- To introduce the participants to the innovative methods of financing education

### **Themes:**

The following themes would be covered during the programme

The themes are mainly divided into three categories, and under these categories various aspects of financing of school education will be discussed.

#### **1. General discussion on financing of education**

- Financing of education in India
- Innovative methods in financing education in India
- Foreign Aid for education
- Regional Disparities in public expenditure on education
- Financing of Centrally Sponsored Schemes (RUSA etc.)

#### **2. Technical sessions**

- Costs of education: concept and methods of estimation
- Budgetary methods in education
- Gender budgeting in education
- Accounting and auditing methods in Education

### 3. Policy Reforms and challenges

- Financial reforms in education
- Centre-State relations in education
- Public-Private Partnership (PPP) in education
- Student based financial support system in higher education

**Date and Venue:** 5-9 August, 2019 at NIEPA, New Delhi

**Participants and Target Groups:** Joint Secretaries/Directors/Joint Directors, Planning and Finance Officers, Other senior officers dealing with the financial aspect of Centrally Sponsored Schemes in Education, State Nodal Officers of Scholarship/ Incentive Schemes and State Council of Higher Education of the States.

**Programme Director/Coordinator:** Dr. Vetukuri P. S. Raju

#### **Budget Estimates:**

<b>Items</b>	<b>No. Participants</b>	<b>No. of Days</b>	<b>Amount per Participant</b>	<b>Total (in rupees)</b>
TA to participants	35	-	Rs.20,000/-	7,00,000
Lodging	35	6	Rs.200/-per day	42,000
Boarding	35	6	Rs.315/-per day (approximate)	66,150
Local Conveyance & Honorarium for resource persons (approximate)				25,000
Miscellaneous Expenditure (Stationery, Pen Drive, Photocopy, Group Photo, Special Lunch, High Tea and other miscellaneous expenditure.)				1,00,000
Contingency expenditure ( 2% of total expenditure)				18,663
<b>Total</b>				<b>9,51,813</b>

## **4. Orientation Programme on Planning and Management of College Finances**

### **Introduction**

The financing of Higher education in the 21st century has been dominated by two phenomena. First, higher education is increasingly becoming important to economies, individuals and societies striving for democracy and social justice. Second, the cost of higher education is rising significantly. Massification, driven by demographics and the higher percentage of students completing secondary school and desiring higher education, is driving up unit costs of instruction and research. The overall cost pressure is growing at rate beyond what most countries' public revenue streams can pace with. This is a critical trend, given that public revenue has traditionally accounted for some, if not all, of the higher education expenses in a majority of the world's countries.

The proportion of Education funds allocated to higher Education declined steadily throughout the 2000s, in many countries as the governments shifted away from a policy of fully funding higher education to one of cost recovery methods. Public universities are managed and primarily funded by a combination of state and private resources. Fee levels vary among public universities, with greater levels of cost recovery in professional and technical courses. However, fee levels generally remained low and institutions face intense political pressure not to raise fees. Private universities are usually financed almost entirely from tuition fees, but often receive support in the form of capital or land grants from governments in the start up phase. There has been much experimentation around the world with new ways of financing in higher Education. To this end, private universities are now increasingly funded through their boards to trustees, who generate income through fees and commercial ventures. Even in countries where private sector activity has been minimal, there is growing recognition of the need to consider new financing models that require higher education to at least partially their own activities, drawing on non-public sector sources of funding.

Universities/Colleges throughout the world faced with increasing financial crisis. The problem is more severe in the developing countries like India, particularly in the wake of economic reform policies and serious budgetary constraints. The system of financial administration and methods of management of finances have been found to be partly responsible for this. The heads of colleges need to be equipped with recent changes in financing of higher education and techniques of modern financial management in higher education, and there should be helped in developing better comprehension of the existing system of financial planning and management in Indian colleges.

The educationally backward blocks relatively well on some education indicators, yet there are major concerns relating to:

1. The quality of education
2. Expansion of secondary and higher education and
3. Limited state income sources



In recent past a wide variety of policy programmes have been launched by the government to promote the educational development like RUSA. No doubt the educationally backward blocks had made some visible progress, however the perception remains that the economic and educational gap between the educationally backward blocks and rest of the country has been widening. To elimination of backlogs and gaps in development, many studies commissions and reports have been highlighted the requirement of quantum leap of investment in education. As a consequence the Backward Regions Grant Fund was launched (BRGF) during 2007. The BRGF aims to catalyze development in backward areas. Apart from this there are several financial packages given to the backward blocks.

Thus resource management and utilization stands utmost important. More important are:

1. Exploring an alternative paradigm for resource generation.
2. Funds for expansion of secondary and higher Education
3. Large scale financing from the centre is need to be increased or at least maintained at the same level and to maintain quality of education.
4. There is an insistence on devising need-based norms rather than formula tic norms when dealing with issues of resource allocation in the backward States/UTs.
5. An effective expenditure monitoring system need to be worked out from the Institution level to state level with systematic monitoring indicators.
6. Capacity building for efficient service delivery calls for proactive administration and instituting a system of checks and balances.

With this in background Department of Educational Finance, NIEPA initiated to conduct orientation programme in 'planning and management of college finances' in collaboration with the University/State.

### **Objectives of the programme**

- To enable the participants to appreciate the role of financial planning and management in universities and colleges.
- To facilitate the application of financial planning and management techniques in universities/colleges.
- To orient the participants to the existing system of financial planning and management in Indian colleges/universities.
- To facilitate review of global trends and practices of financing higher education in the context of changing requirements of the system.

### **Themes**

The following themes would be covered during the programme

#### **1. General discussion of policies and practices in financing of higher education**

- Economic policies and financing of higher education
- Sources of finance in education- Trends in public financing
- Financial planning and management in educational institutions
- Regional disparities in financing education
- Foreign aid and collaboration in higher education

## **2. Technical sessions**

- Cost analysis of universities/colleges
- Budgeting methods in education, Institutional Budgeting & Gender Budgeting
- Accounting methods in universities/colleges

## **3. Institutional challenges**

- Innovative methods in financing higher education
- Fund flow and Utilization of resources in universities/colleges
- Linking performance indicators for grants
- Scholarship/Incentive schemes in higher education
- College/university case studies (by Participants)

### **Programme Methodology**

The programme will generate discussion around all the stated objectives. The programme will be based on thematic lecture sessions. Each theme will be addressed to reflective discussion. Group work is also planned to identify the issues, concerns and challenges at institutional level in educationally backward blocks.

### **Reading Material**

A set of relevant papers and documents on planning and management of college finances will be distributed to the participants as background material. These materials are related to the various themes to be discussed during the programme.

**Date and Venue:** 18-22 November, 2019 at NIEPA, New Delhi

**Participants and Target Groups:** Finance officers, Heads of Institutions and Accounts Officers

**Programme Director/Coordinator:** Dr. Vetukuri P. S. Raju

**Budget Estimates:**

<b>Items</b>	<b>No. Participants</b>	<b>No. of Days</b>	<b>Amount per Participants</b>	<b>Total (in rupees)</b>
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Miscellaneous Expenditure (Stationery, Pen Drive, Photocopy, Group Photo, Special Lunch, High Tea and other miscellaneous expenditure.)				1,00,000
Contingency expenditure ( 2% of total expenditure)				18,663
<b>Total</b>				<b>9,51,813</b>

**1. Policy and Practices in Gender Budgeting in Education – A study of selected States in India (Prof. Mona Khare)**

**INTRODUCTION:**

The last two decades of twentieth century witnessed a tremendous metamorphosis at the theoretical and empirical level regarding the economic invisibility of women's work. Worldwide there is a growing recognition of the need for a fundamental rethinking of macro policy framework from a gender perspective. United Nations Conferences of 1990s have affirmed a global consensus on the need of a new approach to macro policy in *Sustainable Human Development* paradigm, which takes gender equality along with poverty eradication, environmental regeneration, sustainable livelihoods and employment creation and democratic governance as its corner stones. A logical entry point to such *people-mattered* macroeconomic policy framework can be 'gender-aware, pro-poor and environment-sensitive' budgets<sup>6</sup>. The United Nations Fourth World Conference on Women, generally referred to as the Beijing Conference (1995) and the subsequent Beijing Platform for Action contributed to the emergence of an international consensus in integrating a gender perspective in all policies and their budgetary dimensions. Australia was the first country to develop a gender-sensitive budget. A comprehensive assessment of gender differential impacts of the Federal Budget has been undertaken in Australia since 1984. The form in which gender budgeting took place in Australia established a model whereby each government agency was required to provide a *gender audit* (an audit of the annual federal Budget of the government's achievements in relation to women and girls). It was strongly emphasized to Departments that a comprehensive gender analysis of mainstream public expenditure were relevant and not just those expenditures directly allotted to women and girls. Soon many developed countries followed suit. The purpose of these would be to throw light on few International practices.

Access to education is a basic human right enshrined in a number of international, regional and national agreements. In past years, the momentum created by the Millennium Development Goals (MDGs) and the Education for All (EFA) agenda set off significant progress towards achieving universal Elementary education and improving educational opportunities at all levels and in all fields of study. In recent years the focus has shifted from access to learning and equity. As a result, the issue of gender inequalities in the education sector has received a lot attention in recent years. Significant progress has been made in improving access, retention, completion, and quality of education especially for girls and women. But where gaps remain, more analysis is required to understand the underlying causes and devise specific interventions to address them. Gender equality commitments are clearly outlined in the newly formulated Sustainable Development Goals (SDGs) too, for not just improving equality in access to education

but also reducing gender gaps in learning outcomes thereby targeting quality inclusive education.

Despite all such efforts the problem of gender inequality in education continues to plague countries across the globe, more so the developing ones. A large number of girls and women are still unable to enroll and/or complete schooling. Worldwide, for every 100 boys out-of-school there are 122 girls. In some countries this gap is even wider: for example, in Yemen for every 100 boys out of school there are 270 girls, in Iraq 316 girls, in India 426 girls, and in Benin 257 girls (UNESCO, 2007). The ten year review of the implementation of the Beijing Platform for Action pointed that of the 104 million children in school age that are out of school, 75% are in Africa and 57% are girls. Unfortunately, Gender inequalities in the education sector are concentrated in more vulnerable communities. Performance regarding education outcomes is significantly lower in urban slums, rural areas, in poverty stricken communities, among excluded groups (castes, ethnic and linguistic minorities, the disabled), in conflict and fragile regions.

Indian experience in this regard is no different. As per report a significant gender gap of nearly 22% remained at the beginning of the 21st century (GOI 2000; GOI 2011). According to the census estimates, although, the literacy rate has continued to climb to 73% in 2011 ; the gender gap has only narrowed slightly, with women still at literacy levels 16% below men (GOI 2011). According to 2011 census the overall male literacy in India was 80.89%, whereas women literacy rate was just 64.64%. Overtly, in primary education, the current enrolment ratio of 940 girls per 1000 boys seems perfectly in sync with India's overall gender ratio of 940 females per 1000 males. But a closer examination brings the disparities to light. There are 1017 girls enrolled for every 1000 boys in government schools and only 804 girls for 1000 boys in private schools. States like Haryana (639 girls per 1000 boys in private schools, and 998 girls per 1000 boys in government schools), Rajasthan (643, and 1060), Delhi (677, and 1019), Gujarat (689, and 936), Punjab (710, and 816) have greater disparity. Some states like Kerala (967 girls per 1000 boys in private schools), Bihar(974) and Assam(980) have lesser disparity but no state except Meghalaya has more boys than girls enrolled in private schools. Similar disparities can be observed when it comes to choice of courses/institutions at higher levels of learning. Infact, educational disparities by way of learning achievements in India are striking given their contrast to a worldwide pattern of less marked gender inequality in education. The gap in reading skills in India is especially noteworthy as girls in most other countries (including 5 developing nations) typically outscore boys in reading as measured on international tests of comparative educational achievement (Lynn and Mikk 2009; Organization for Economic Cooperation and Development (OECD) 2010; United States Department of Education 2007). The experience of girls in schools also deserves attention. Where progress in enrolment has been made, "the low quality of the education provided can reduce the benefits of education and training for women and girls, and prevent educational gains to translate into equal access to full employment and decent work" (UNIFEM, MDG Brief, 2010). Innumerable social and economic reasons

hinder girls' education more than boys, tend to reverse their retention rates, performance level and transition rates (from one school level to another).

It can be observed that Gender inequalities in education are both explicit as well as implicit. Effective responses to gender inequalities in the education sector, therefore become imperative to address these factors. The Commission of the Status of Women reports to the UN Secretary General and agreed recommendations of the 55<sup>th</sup> session of the CSW reiterate this concern by urging countries to, among other measures, adopt gender-responsive budgeting to ensure that public resources in education, science, technology research and development, benefit women and men equally and contribute to the empowerment of women. Since the Fourth World Conference of Women held in 1995 in Beijing, gender mainstreaming has become an internationally acknowledged strategy for promoting gender equality. Gender responsive budgeting aims at mainstreaming gender into public finance. The Beijing Platform for Action explicitly refers to the "integration of a gender perspective in budgetary decisions on policies and programmes, as well as the adequate financing of specific programmes for securing equality between women and men". In the Beijing Plus 5 document, it was reiterated that Limited resources at the state level makes it imperative that innovative approaches to the allocation of existing resources be employed, not only by governments but also by non-governmental organizations and the private sector. One such innovation is the gender analysis of public budgets, which is emerging as an important tool for determining the different impact of expenditures on women and men to help ensure the equitable use of existing resources. This analysis is crucial to promote gender equality.

Reducing gender gap in education and improving Girls education had always been an important policy agenda for GOI. Therefore, India soon responded to the Global call on implementing Gender Budgeting as a tool to Gender Mainstreaming. In fact, the concept of Gender Responsive budgeting evolved with the concern to provide money specifically for women.

## **GENDER BUDGETING IN INDIA**

In India, a special reference in the Budget Speech for 2000-01 pertaining to the access of women to national resources marks the dawn of gender-sensitive budgeting. The Department of Women and Child Development, Ministry of Human Resource Development, Government of India in collaboration with United Nations Development Fund for Women (UNIFHM) took the initiative of Gender Budgeting in India. Statement 20: GENDER BUDGET of the Indian budget, 2009-2010 of Government of India states, "Gender Budgeting is an evolving area where, with better understanding and appreciation of the subject, more and more Ministries/ Departments are reviewing programmes and schemes to address the quantum of resources that have the budgetary potential to impact and address the development needs of the women.

Indian milestones in regard to Gender Budgeting include inclusion of this in the planning process, quantification of resources through statements in the budget-national & sub-national level, setting up of gender budgeting cells, inclusion of a gender budget statement in the Budget, issuing of the charter for gender budgeting cells, inclusion of gender issues in the outcome budgets, capacity building of government officers at various levels and CSO participation. The steps to make reporting of schemes relevant to GB are

first identify the pressing gender gaps in sector, second what steps can the Ministry/ Department take to address the gap and thirdly identify budgetary resources and outcomes. The lecture discussions here shall be based on the analysing how Gender Budgeting is being incorporated in the Budgets he pointed out that Gender Budgeting is not meant to focus merely on ensuring any specific share for women and girl children in the fund allocations provided in the budget. However, in the approach being followed in many of the Union Ministries and the State Govt. Departments (though not all), the emphasis seems to be only on ensuring that a certain minimum share is spent on women and girl children in the budget allocations for their programmes or schemes.

Gender Budget Statement was first introduced in Budget 2005-06. Budget circulars are among the many critical ways of embedding Gender Budgeting through Policy. The Ministry of Finance, Government of India issued instructions on Gender Budgeting to all Ministries and Departments. In order to make further refinement to the Statement, every year the Ministries/Departments are requested through the Annual Budget Circular to highlight the quantum of public expenditure earmarked in budget for women. Many state governments have prepared a Gender Budget Statement and have started reflecting allocations for women in the GB Statement of the State Budget. In the year 2014-15, 36 Ministries/Departments have made allocations for gender budget statement.

The GB statement, outcome budget, performance management systems can be used to reinforce the nation's commitment to mainstreaming gender issues in education. Gender analysis of public budgets, is emerging as an important tool for determining the differential impact of expenditures on women and men to help ensure the equitable use of existing resources. "Gender Mainstreaming is a globally accepted strategy for promoting gender equality. It is a process rather than a goal of creating knowledge and awareness of and responsibility for gender equality among all education professionals engaged in tertiary education. It is not an end in itself but a strategy, an approach, a means to achieve the goal of gender equality in higher education institutions – through sensitisation and educating key stakeholders that the costs of women's marginalization and gender inequalities are born by all in the education sector as a whole (from pre-primary to tertiary and life-long learning). Mainstreaming involves ensuring that gender perspectives and attention to the goal of gender equality are central to all activities – education policy, curriculum, research, advocacy, resource allocation, facilities and planning, implementation and monitoring of tertiary education programmes." 5 UN OSAIG, 2009, WHO, 2009 and UNESCO 2007

But, there is a dire need of involvement of various stakeholders with regard to GB at the state government level, district level, block level as well as strengthen the role of the other supplementing agencies like the NGOs, universities and research organizations. The importance of reflecting gender concerns adequately in programmes, schemes and budgetary allocations require an amalgamation of gender sensitization and awareness alongwith skills and techniques to prepare and implement Gender Budgeting. During the last 10 years, GOI, through the MWCD and its affiliates have pursued the process of training of personnel in various Government departments and non-Government agencies

in gender analysis, planning and monitoring. However, there is virtually no understanding of how it is being actually practiced in the Education departments, The study is thus proposed to be undertaken with the following objectives:

#### **OBJECTIVES:**

- To undertake a gendered analysis of the situation of higher education sector in India.
- To make an assessment of the extent to which the policy addresses the gender issues and gaps described identified.
- To undertake a trend analysis of Gender Budgeting in Education in India in order to assess the adequacy of budget allocations to implement the gender sensitive policies and programmes
- To review the process of Gender Budgeting in select states of the country
- To Assess how well acquainted and equipped are higher education institutions in preparing and implementing GB in institutional planning and budgeting

The study shall thus be divided into two distinct parts. Part I shall provide a snapshot of Evolution and progress of Gender Budgeting in India in selected states attempting to analyse the pattern of gender Budgeting in Education in India in the past 10 years and try to assess its impact on reducing gender disparities by way of select indicators . Part II would be a field based dedicated to understand how Gender Budgeting is being practiced in Education Departments and HEIs of selected States, identify the challenges faced by them and determine the gaps in policy and practices.

#### **METHODOLOGY:**

##### **Study Period**

The reference period for the study shall be for three years from the date of start.

##### **Data Collection & Data Processing**

For the first part of the study, the central Team at NIEPA shall be solely responsible . However, for the 2<sup>nd</sup> part of the study, the project shall be undertaken in consultation/jointly with few identified State level recognized research institutions/university departments and Centers with the NIEPA as the lead organization for development of research tools, pre-testing and piloting, training & orientation of research team members, implementation and monitoring of the whole project and development of the Report.

##### **Data Analysis:**

Both Quantitative and Qualitative techniques of data analysis shall be employed as and where required appropriately. Useful information shall be elucidated as shown by the quantitative data extracted through structured questionnaires and relationships/differences



mapped by using suitable statistical techniques. In addition, triangulation method shall be used to further highlight the findings drawn from FGDs, interviews etc. The observation notes shall focus on of implementation Gender Budgeting in States education departments both at the school and Higher education level.

### ESTIMATED BUDGETARY REQUIREMENTS:

S.No.	Physical Unit (A)	Financial Unit (INR) (B)	Period (Months / Total Number) (C)	Total (INR) (A*B*C*)	Details	
<b>A</b> <span style="float: right;">Central Team Budget</span>						
1	Junior Consultant	1	40,000	18	7,20,000	Role: To assist in managing and coordination of the research project at the central level, help in organization of workshops / events at centre, support in the post-research activities.
2.	Data Entry Operator	1	17,000	6	1,02,000	Data Entry Operator for the Central Team.
3.	Research Advisory Committee	1	70,000	3	2,10,000	Number of external advisors: 3, No. of nights per person=; total persons nights =3; total airfare: 20 k, Cost or air travel for 3 out-of-station members to travel 3 times.
4.	Research Workshops				1185000	Sum of line items below (i+ii+iii)
	i) Accommodation and Food	1	1,000	135	1,35,000	This includes cost on accommodation and food for 3 persons x 6 Teams x 3 Workshops x 3 Nights = 135. Room and board at the NUEPA guest house is estimated @ 1 k per person per night

	ii) Travel of State Teams	1	20,000	45	9,00,000	This includes cost on domestic air travel for 6 State Research Teams x 3 Persons Per team x 3 Times to participate in the methodology, analysis, research and draft state research reports workshop. Air fare is estimated at an average 20 k for each round trip domestic travel / train fare is estimated at an average of 5 k for domestic round trip.
	iii) Organizational arrangements	1	50,000	3	1,50,000	
5.	Travel of the Central Team.				4,44,000	Sum of line items below (i+ii+iii)
	i) Monitoring visit and research workshop visit (airfare)	1	20,000	10	2,00,000	This includes cost on air travel for the central team to visit the 6 state teams at the time of data collection and methodology workshops.
		1	3000	48	1,44,000	

	ii) Local Travel of the Central research team	1	2500	20	50,000 x 2 visits = 1,00,000	1 Monitoring visits + 1 Workshops visits x 4 days x 6 teams
	iii) Accommodation and Food					Room and Board for the Central Research team for 4 nights x 1 visit x 1 Persons x 6 States.
6.	National Seminar				8,00,000	National Seminar to disseminate the results of the Study.
7	Contingency and Printing				50,000	Printing, Photocopying, Translations, Expenses during the period of Study.
	Grand Total for Central Team Budget				35,11,000 (sum of items 1-7)	

B		State Budget				
1.	Honorarium for the 3 team members				2,50,000	Role:- Each state team will have one supervisor at the associate professor / professor level. One Research fellow and one assistant fellow at the level of associate and assistant professor. The state research teams will coordinate field work, coordinate collection of data, organize group discussions, key informant interviews (KIIs) in respective states and write the state reports. Collect data, organize FGDs, KIIs.
2.	Project Staff	5	8,000	6	2,40,000	Each state team will have 5 person team to collect the data, enter the data, tabulation and support in analysis. 5 persons x 6 teams @8000.
3.	Printing and Translation				25,000	Printing, Photocopying, Translations, Incidentals expenses during the period of study.
4.	Miscellaneous				25,000	Incidentals expenses.
	Total State Team Budget				5,00,000	
5.	Overhead @ 10% of the total state team budget				54,000	Overhead @ 10% of the total state team budget
	Total budget of one State Team Budget	1			5,54,000	
	Grand Total Budget for 6 State Teams	1	5,54,000	6	33,24,000	Budget for 1 state x 6 State teams.
	Total for the Central team				35,11,000	
	Grand Total of the Project	CENTRAL + STATE BUDGETS			68,35,000	

## **2. Financial Management, efficiency and funding innovations in HEIs – ( Select Cases)**

**(Prof. Mona Khare)**

### **Introduction:**

The higher education landscape in India is highly diverse. There are public institutions fully financed by the government, aided institutions partially funded by the government, fully private institutions run by trusts, societies, corporate or individual philanthropists as well as institutions under Public private partnerships. Given the differences in their organizational structure, there are bound to be differences in their financial practices. However, the financial situations in even the state funded institutions are extremely different and give rise to challenges of different nature. Not to ignore the very fact that as the Government is withdrawing and compelling the HEIs to become more self reliant by generating their own resources on one hand and resorting to borrowings through the newly constituted HEFA. It shall not be an exaggeration to say that all institutions are going through a tryst period but of different degree and order. Financial management is not just about making the best use of available resources which certainly are scarce but also about augmenting them and utilizing them wisely.

The study shall focus on studying the financial management practices in selected public HEIs and map their financial efficiency and identify innovative practices.

### **Objectives:**

1. To analyse various sources of revenue and expenditure of HEIs
2. To measure their financial efficiency
3. To study their resource utilization pattern.
4. To document innovations and good practices in financial planning and management.

### **Methodology:**

Different public HEIs shall be identified ( Central University and State University, Stand alone institutions) by their period of establishment. Those more than 20 years old, between 10-20 years, less than five years. The team at NIEPA shall develop all tools of study. The study shall be undertaken in a collaborative fashion with the selected institutions. The study shall spread over a period of two years.

**Budget Outline:**

Sl. No.	Particulars	Details	Estimated Amount (Rs.)
1.	<b>Project Staff</b>		
	Senior consultant	Rs.60000/-x 24 =	14,40,000
	Project Junior Consultant	(Rs. 40,000/- x 24 )	9,60,000
	One Data Entry Operator	(Rs.17,000/- x 24 months)	4,08,000
2.	Stationary, Postage, photo copy, editing etc.	(Approximate)	1,50,000
4.	Travel & DA expenses of project staff and project Director/methodology workshops.	(@ Rs.50,000 X 5x 3 visits States)	7,50,000
	Honorarium to State Coordinators & Investigators for data collection	(@Rs.80,000 X 5states x 2 institutions per States)	8,00,000
5.	Contingency	()	1,00,000
	Total		46,08,000

### **3. Student Based Financial Support System in Higher Education: A Comparative Study of State and Centrally Sponsored Scholarship/Incentive Schemes**

**Dr. Vetukuri P. S. Raju**

#### **Introduction**

Student based support system in India is of recent origin. It is a collective term comprising various scholarships, incentive schemes, fellowships, student loan facilities and special schemes for disadvantaged sections of students. Scholarship is a merit-based, means-tested and a financial incentive for currently enrolled students in higher education system. The aims of the scholarship schemes are to recognize and also reward the outstanding academic performers in prescribed examinations as well as some other criterion. The objective of the scholarship is to extend economic support to eligible individual students to pursue higher education within and also outside the country. Utilization of scholarship amount is fungible between instructional and non-instructional purposes (e.g. out-of-pocket expenditure). Therefore, scholarship schemes are vital elements in student support system. This is also a prime move from institution based to student based funding of higher education.

Scholarship schemes are vital sources for analysis of nature and extent of financing higher education from both supply/production side and demand/consumption side. On production side, scholarships enter as a part of total current expenditure on provisioning of higher education services by institutions. On consumption side, scholarships enter as a part of total private consumption expenditure to access and utilize the higher education services by students.

Scholarship schemes are major component of student support system and an instrument of student-based financing of higher education. There are various types, size and coverage of student scholarship by schemes. Analysis of student support schemes as instrument of student financing in higher education will provide status of higher education financing on production and consumption sides in India.

Different types of scholarship schemes at different levels are prevalent in higher education in India. Regarding the types, scholarship schemes are available for general education, technical education, medical education and management education. Regarding the levels of availability of scholarship schemes, it is available at undergraduate level for collegiate students and at postgraduate level including M. Phil. and Ph.D. degrees for university students. There are following important scholarship schemes: UGC Schemes: JRF/SRF/Research Associate ship, Post Doctoral Fellowships, Maulana Azad National Fellowship for Minority Students, Post Graduate Scholarships for (a) single girl child, (b) rank holders and (c) SC/ST candidates and Centrally Sponsored Scholarship Scheme for College and University Students by MHRD, Govt. of India.

## **Public Expenditure on Higher Education and Scholarships**

Public higher education is financed by governments comprising union and state governments, through public universities and government colleges and also through grants in aid to private higher educational institutions in the form of aided colleges and institutes. Scholarships are a part of revenue expenditure and account for annual expenditure on provisioning of educational services.

Aggregate public education expenditure on revenue account is composed of expenditure by the Education Department of Union Government, State Governments and UTs and other Departments (i.e. non-Education departments). Other Departments' expenditures include for training and higher education (medical education by Ministry of Health and Family Welfare, agricultural education by Ministry of Agriculture and science and technology education by Ministry of Science and Technology). In total, 44 Ministries/Departments accounted for aggregate public education expenditure in 2014-15 (Government of India, 2015).

Public expenditure on scholarship for higher education refers to expenditure by Union Government, State governments and Union Territories (UTs) on scholarship and fellowship schemes. In general, scholarships are provided for undergraduate studies and fellowships for post-graduate studies (including Masters, M. Phil. and Ph.D. degree).

### **Trends in public expenditure on scholarship schemes by Government of India**

Looking at the trends in size and share of public expenditure by the Government of India on scholarship, it is revealed that expenditure includes scholarship schemes for both general higher education and technical education. All the schemes refer to merit scholarships and interest subsidy on education loans availed by students since 2009. It is interesting to note that trend in size of scholarship expenditure of Government of India and its share in total public expenditure on scholarship on higher education by all levels of governments show a remarkable rise over the years: Rs. 0.76 crore in 2003-04, Rs. 30.95 crore in 2008-09 and Rs. 2327 crore in 2014-15. Looking at the share in total public expenditure on scholarships by all governments, the expenditure of Government of India has increased from 2.97% in 2003-04 to 18.29% in 2008-09 and to 80.01% in 2014-15. These trends imply the growing importance of national scholarships, funded by Government of India in higher education.

Presently, the national and state level scholarship schemes are marked by diversity of eligible criteria, objectives of social justice, amount and duration. However, all schemes ultimately aim at offering financial support for merited students to pursue their higher education studies. This fact deserves utmost recognition for its continuity and strengthening, both at present and in future.

In order to study the issues related to award of scholarship schemes as student support systems like how much money is being spent on scholarship schemes by the central

government and state governments, how this fund is being utilized by the students and how the nature of funding from institutional finance to student based financing is changing. Moreover, aspects related to the students like how does scholarship amount reach to the students and various issues in getting the scholarships by the students will also be studied.

## **Review of literature**

Student support services are the provision of assistance to meet students' needs. It provides advice on study skills, career choice, accommodation, and Part time employment, personal and inters personal development, medical matters, scholarship, and financial difficulties among other things. The services exist to address needs or problems which students may have in order to allow them to concentrate more on their studies (Choudhry, Gujjar, and Hafeez ;2008).

‘Access without support is not an opportunity’; Engstorm and Tinto (2008) put this entire debate into this appropriate title. Education opportunities as we have seen been emerging exponentially and at the same time heterogeneously. While at one time there were schools of either the elite and schools of the poor, now there are schools for all the children in the middle. While at one time there were a few colleges of engineering and medical, now there is an array of professional courses with an array of different colleges. But these opportunities are opportunities lost without appropriate support from the state, as the majority of population of the ‘consumer base’ cannot afford the financing of the listed opportunities. Though the State in countries around the world have provisions of different kinds, these support system has also been heterogeneous.

Schwarz and Rehbarg (2004) puts a comparison of 16 European countries of how the education of students receives support from the state. While the tuition fee is zero in Germany and Greece, it is constrained by a nominal ceiling in France, Portugal, Ireland, Spain and Italy and refunded to the disadvantaged in UK, Switzerland and Netherlands. But the additional terms to these cherry statements come when students live off their own. Living costs are too high in Europe and thus a proper support system covering those should be in place. But there again comes heterogeneity with the size of Europe. Europe follows 4 basic models of public support.

[In the first model, students are regarded as responsible citizens. The State provides extensive financial support for the time of study. Most students live on their own. They are considered to be mature people who go their own way, with financial assistance from the public. Nearly all students receive financial support, there are no student fees. This model is mainly applied in the Nordic countries: Denmark, Sweden, Norway, and Finland. Students are also regarded as self-responsible investors. Therefore, it is not customary to allow financial relief, like tax allowances or children’s allowances, for the students’ parents. Students are regarded as young learners in the second type of role models. Public student support is only available in case of financial need. Public welfare is provided according to a subsidiary concept: the parents are responsible for the education of their children and the State will only intervene if parents are not or not sufficiently able to pay. This model can be found in Western and middle European countries, such as Ireland, France, Belgium, Germany, and Austria. Usually, students in

these countries have to pay fees. Those who receive public student support, however, are exempted. In the third role model, students are considered to be children sheltered by their families. This model can be observed in Southern European countries, like Italy, Spain, Portugal, and Greece. The majority of students lives with their parents during their studies and the core family must ensure the children's education on its own. Financial help by the State is offered only in case of urgent need. As a rule, higher education institutions in these countries charge student fees (except for Greece). The fourth type of student role models is the investor model which is represented by the UK and the Netherlands. In these two countries, students are regarded as investors in their future career. In contrast to the first model, students must substantially contribute to their education. Hence, student fees are high compared to other European countries. At the same time, many students receive public student support. The money the State provides for higher education is transferred directly to the students who are responsible for making proper use of it.]

Tsang (1996) puts this debate for China pointing out the shift of public support from a centralized system with a narrow revenue base to a decentralized system with a diversified revenue base. It concludes that while the reform has been successful in achieving the objectives of structural change and mobilization of additional government and non-government resources, the current system is marked by notable weaknesses in terms of glaring inequalities and significant inefficiencies.

Turning our heads towards the Indian case, on which our primary focus is, financing of education is stratified at multiple levels. Tilak and Varghese (1991) show this structure. Indian education is financed from external and internal sources. External sources have a negligible share as compared to the internal ones. Internal sources are divided into public and private. Public sources being again subdivided into support from Central government, State governments and local governments. Private sources include fees and other expenditure as fees and expenditure covered by the parents. A newer source has emerged in the shape of public private partnerships of philanthropists.

The government allocations of budget over the years have been more or less constant for education. This year the government allocated Rs.81, 868crores to the education sector, which is to be divided into various schemes and programs. The expenditure share over the years has been depicted in graph 1. There are three important aspects relating to allocation of resources to education: (i) allocation of resources to education vis-a-vis other sectors, i.e. inter-sectoral allocation, (ii) intra-sectoral allocation of resources within education, i.e. allocation to different levels, and (iii) inter-factional allocation of resources to different activities such as teaching, administrative, and welfare. Yet another important dimension of allocation of resources to education, that is important in a federal system like India, is allocation by the Union government to the states. The educational hierarchy in India is important to understand to know the detailed support that the government provides. The sector is divided into primary, secondary, and tertiary sector. Various government support initiatives are listed hereby.

- 1) Primary Education: The relevance of primary or elementary education was recognized by the Indian Government way before UNESCO and The World Bank. In the first five-year plan (FYP) 1950, the constitution read that the country



'The State shall endeavor to provide within a period of 10 years from the commencement of the Constitution for free and compulsory education for all children until they complete the age of 14 years'. By resolving to provide elementary education 'free' to all, the Government of India has also implicitly recognized the 'public good' and 'merit good' nature of elementary education. Tilak (2002).

But even after six decades of development planning and five decades after the deadline stipulated by the constitution, and despite several strategies adopted, programs and schemes launched, this goal is still elusive. It is strongly felt that elementary education suffered in India due to, apart from several other factors, insufficient allocation of financial resources. Only recently has the Right to Education been imposed under which every child between the ages of 6 to 14 is entitled to free education. This kind of support widens the educated population and also will consequently help to realize the demographic dividend.

Today, a number of schemes are in functioning which support primary education. The biggest among them is the SarvaShikshaAbhiyan, which was launched in 2000-01 and has been operational ever since. It is a wholesome scheme covering a variety of aspects ranging from equity among gender and equity among castes and access. The second is the Mid-Day Meal Scheme, which was launched in 1995 under a different name and aims at providing meals to the students during class. Then there are a variety of schemes ranging from concerns over education of girls (MahilaSamakhyaProgramme), to education in madarasas (Strengthening for Providing Quality Education in Madarasas), to education of the teachers (Strengthening of Teacher Training Institutes) to concern over the infrastructure. Supporting students in these ways has high hopes for the primary education sector.

- 2) Secondary Education: A variety of schemes operate at the secondary level of education supporting the students, both financially and otherwise. One of the major ones is Rashtriya Madhyamik Shiksha Abhiyan which is aimed improving quality of education imparted at secondary level through making all secondary schools conform to prescribed norms, removing gender, socio-economic and disability barriers, providing universal access to secondary level education. It also envisages the infrastructure of secondary schools. Another important one is National Scheme of Incentives to Girls for Secondary Education (NSIGSE). It is an incentive based scheme where the government deposits Rs. 3000 in the name of an SC girl child passing class VIII. The child can withdraw the amount only after passing class X. This mechanism aims at preventing the girl dropout rate that has been a major issue in India. Concerning dropouts, another scheme targeting it is National Means-cum-Merit Scholarship Scheme (NMMS) where the targeted students are the ones that are from the economically weaker section and drop out after class VIII due to their financial problems. Scholarship of Rs. 6000/- per annum (Rs.500/- per month) per student is awarded to selected students every year for study in classes from IX to XII in State Government, Government aided and local body schools.

- 3) Tertiary Education: Tertiary education is the one after school. Higher education in colleges is the one that needs the most of the support in lieu of the high fees and difficult curriculum. The Indian government has up and running a number of scholarship schemes. Rashtriya Uchchatar Shiksha Abhiyan (RUSA) is the main player in these schemes. It aims at providing strategic funding to eligible state higher educational institutions. The central funding (in the ratio of 60:40 for general category States, 90:10 for special category states and 100% for union territories) would be norm based and outcome dependent. Apart from this, a number of schemes come out every year with norms of setting up new central and state universities. Various organizations like the University Grants Commission (UGC) and All India Council for Technical Education (AICTE) under Human Resource Ministry oversee the functioning of universities, scholarships and financing of higher education.

This being said, Tilak (1992) points out the gruesome fact that not only does the Indian Economy has been experiencing declining public budgets for education and requires more resources than most of the countries, but even the loans and scholarship framework that has been running is unable to achieve either the of the goals of efficiency or equity.

### **Major Objectives**

1. To study the trends in student based financing in higher education
2. To delineate the issues in the effective implementation process of student support schemes for various categories of students in India by central and state government
3. To study the impact of student support financial schemes on various categories of students in India
4. To map the equity issues and also policy of the Government of India/State Governments in higher education in India

### **Methodology of the Study**

The study aims at investigation of the impact of the scholarship schemes on the various categories of the students in higher education in India/States/UTs. The study will be made by making use of secondary as well as primary data and primary data will be collected by descriptive survey method.

### **Sources of data**

Secondary data will be collected from Books and Journals as well as from MHRD, UGC, AIU, AICTE, Universities and State governments. Primary data will be collected from students and university administrators. The primary data will be collected with the help of the interview schedule developed for this purpose.

## Sample

The study will be conducted in five regions of the country i.e. East, West, North, South and North East. One sample state from each region will be selected on the basis of the outcome of the secondary data analysis. The student beneficiaries and university administrators and nodal officers at the State and regional level will be selected for data collection purpose.

## Data Analysis

The analysis of the data will be done by making use of various statistical tools like time series analysis and measures of dispersion etc. with the help of SPSS and MS Excel software's. After analyzing, the data will be presented in tabular and graphical form.

## Duration of the Project

The duration of the project will be 24 months and all the work related to the project including data collection and analysis work will be completed within stipulated time period and final report will be submitted to NIEPA.

## References

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- 3) Schwarz, S., &Rehburg, M. (2004). Study Costs and Direct Public Student Support in 16 European Countries—Towards a European Higher Education Area?. *European journal of education*, 39(4), 521-532.
- 4) Tsang, M. C. (1996). Financial reform of basic education in China. *Economics of Education Review*, 15(4), 423-444.
- 5) Tilak, J. B.G., & Varghese, N. V. (1991). Financing higher education in India. *Higher Education*, 21(1), 83-101.
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- 7) Tilak, J. B. G.(1992). Student loans in financing higher education in India. *Higher Education*, 23(4), 389-404.
- 8) Varghese, N.V. (2015) Challenges of Massification of Higher education in India, CPRHE Research paper 1, NUEPA, New Delhi.

### Budget Estimates

Sl. No.	Particulars	Details	Estimated Amount (Rs.)
1.	<b>Project Staff</b>		
	Project Junior Consultant	(Rs. 40,000/- x 24 )	9,60,000
	One Data Entry Operator	(Rs.17,000/- x 24 months)	4,08,000
2.	Stationary, Postage, photo copy, editing etc.	(Approximate)	1,50,000
4.	Travel & DA expenses of project staff and project Director.	(@ Rs.50,000 X 5 States)	2,50,000
	Honorarium to State/ District/ Block Coordinators & Investigators for data collection	(@Rs.80,000 X 5 States)	4,00,000
5.	Contingency	(2% of the total expenditure)	43,360
	Total		22,11,360