

Departmental Advisory Committee Meeting

Agenda

**14 February 2020
Board Room, NIEPA**



**Department of Higher and Professional Education
National Institute of Educational Planning and Administration
New Delhi-110016**

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Department at a Glance

Introduction

The Department works in the policy, planning and management dimensions of higher and professional education. It encourages research on issues like quality, governance, financing, privatization and internationalization of higher and professional education. It undertakes training programmes and workshops for institutional heads and senior university and state officials in the Planning and management of higher and professional education. The department also provides technical and professional consultancy to policy, planning and implementing agencies of higher and professional education. Since its inception the Department has been constantly providing research support and policy advice to the Ministry of Human Resource Development, Government of India. The WTO cell in the Department played an important role in analyzing requests and firming up India's offers under GATS. The department studied various dimensions of internationalization in higher education and organized seminars to debate and disseminates the same. The department had been supporting the process of finalization of different five-year plans for higher education. Also, it has been constantly working with the University Grants Commission of India in holding seminars and conferences of experts, vice chancellors, deans and registrars of the universities, directors of academic staff colleges and college principals. It has also provided academic support to the regional conferences of UNESCO leading up to the world conference on higher education and Planning Commission and World Bank sponsored seminar on performance funding in Indian higher education. Among the annual features of the Department are regular training program for the principals of colleges of different categories. The department has been providing academic support to the Universities and colleges in seminars on various dimensions of access, quality and academic reforms. The department is actively engaged in the transaction of coursework for M Phil, PhD programmes; and the two diploma programmes namely International Diploma in Educational Planning and Administration (IDEPA) and Post Graduate Diploma in Educational Planning and Administration (PGDEPA). The Department has been supervising research scholars of M Phil, Ph.D, IDEPA and PGDEPA programmes on their dissertations.

Research and Teaching

The members of the department have been constantly researching on many critical and meaningful aspects of higher education such as 'Participation of Muslims in higher education', 'Financing of higher education', 'Self financing courses in colleges', 'Foreign education providers in India', 'Alternatives and innovative forms of higher education for left-out-youth', 'Mobility of teachers in universities and colleges, 'Foreign students in Indian universities', 'Private universities in India' and 'Skills for employability in South Asia', 'Autonomy in Higher Education, Governance of Higher Education in Bihar and others states, Library Facilities in Indian Undergraduate colleges and its impact on Students' Academic performance.

Teaching is one of the major functions of the department. The faculty members have been constantly engaging in teaching the M.Phil/PhD scholars, trainees of Post Graduate Diploma in Educational Planning and Administration (PGDEPA) and International Diploma in Educational Planning and Administration (IDEPA). They also contribute in the programmes/ events organized by the other departments of NIEPA as well as colleges and universities all over India. The focus areas include Education Policy, Planning and Finance; Educational research; and various dimensions of Higher education such as access and equity issues, governance and leadership, privatisation, internationalization, teaching and learning, quality assurance and others.

Training

The Department has been actively engaged in training professionals engaged in the higher education sector and has conducted many programmes in Delhi and beyond such ' Principals programmes of different category (SC/ST Students concentrated , Rural colleges, Women colleges) in Planning & management, 'Technical Committee meetings on Trade in Education Services under WTO Regime', 'National Policy Committee meeting on "National Qualification Framework , 'National Conference on 'Internationalization of Higher Education: Issues and Concerns', National seminar on 'Privatization and Commercialization of Higher Education', 'Workshop on 'Development of Colligate Education and Role of Teachers Organization', 'Workshop of the Principals of Colleges on 'Making Leaders for Collective Excellence', 'Leadership Development Programme for Women in Higher Education Institutions', National Workshop on '11th Five Year Plan – Approach and Implementation: Analysis of Higher Education and Technical Education', 'Sub-regional Conference of South, South-West and Central Asia on Higher Education', 'Workshop on Academic Credit System in Indian Universities', 'India – UK Education Leadership Development Programme', 'Renovation and Rejuvenation of Universities', Workshop on 'Community colleges', 'Foreign Providers in Indian Higher Education – Issues of Entry, Regulation and Models of Engagement', 'Consultation Conference on National Commission for Higher Education and Research, National Seminar on 'Autonomous colleges: Challenges and Opportunities', National Workshop on 'Role of Academic Staff Colleges in Improving Quality of Teachers in Higher Education', 'Sub-Committee meeting on Institutional Management and Leadership Development in Higher Education', Meet on 'expansion of the higher education sector, issues related to equity and quality', National Seminar on 'Policy Reforms in higher education', 'Asia regional skills symposium'. In addition Workshops on the areas namely Idea of University, Equity and Social Justice - Woman, Minorities and Disabled, Equity and Social Justice - Social Groups and Affirmative Action, Privatisation in Higher Education, Governance in Higher Education, Leadership in Higher Education, Financing in Higher Education, Teaching Learning in Higher Education , Faculty Management and Development, Internationalisation of Higher Education, Research, Innovation and Technology have been conducted during the last three years.

Envisioning Department of Higher and Professional Education

The Department of higher and professional education envisions initiating collaborative research in the area of governance, expansion, quality and privatization of university system. The objective of the collaborative research is to have a comparative experience of two or more large higher education systems and learn lessons for efficiently managing Indian higher education with a greater sense of autonomy, accountability and decentralized governance structure. The department would also like to initiate a diploma/degree programme on 'Higher Education management' through an innovative curricular design. The objective of such a course would be to critically engage in issues related to management in higher education with practitioners and functionaries. A Journal dedicated to the issues in higher education is a felt need and the department would like to launch a bi-annual peer reviewed journal. Further, the department proposes to publish a series on "Higher Education Governance" for all states in the three years. Department proposes to publish a book by 2020-21 based on case study reports on Institutions/colleges with excellence. The first selection of institutions will be based on the criteria of the age of the institution. 25 institutions of over 100 years of age will be selected from all parts of India. A quarterly news letter that covers the issues of current practices within and outside universities needs to be documented and experiences shared among practitioners, will also be undertaken by the department. Ministry of Human Resource Development is expected to come up with the New Education Policy. Our department is planning to have consultations with all important groups of stakeholders in higher education on various issues relating to teachers, students, quality and governance in Higher Education. As higher education system in India would face the challenge of mass expansion, the overarching issues of governance, quality and management acquire greater importance and department would like to engage in discourse - theoretical as well as practical - on the themes through policy workshops and seminars, national as well as international.

Perspective Plan: Vision 2030

Perspective Plan of NIEPA notes that the Institute strives to achieve its missions through strategic interventions to bring about substantial changes in the focus and orientations in its core mandates related to research programmes, teaching, capacity development activities and in extending policy support to MHRD and other policy making bodies at the national and state levels. The focus research areas include: i) - Equity, diversity and inclusion ; ii) Quality and learning and employment outcomes; iii) Technology and teaching learning; and iv) Governance and Accountability. In addition, NIEPA is striving to transit from face to face mode to online programmes. In view of the above perspective plan, the Department of Higher and Professional

Education has emphasised on developing blended course programmes and national level research projects. To develop Professional Expertise in Higher Education through Teaching, Research and Training, the roadmap made is given below.

A: Strategy 7 Year (2018-2030)

- i. Developing and Implementing Diploma Programme in Higher Education (1000 participants)
- ii. Developing and Completing Higher Education Governance in all States Series (35 Volumes)
- iii. Developing and Completing International Collaborative Projects in Higher Education Governance (2)
- iv. Developing and Completing Four papers on Higher Education (equivalent to one semester 16 credit course) - (i) Normative Approaches to Policy, (ii) Comparative structures of University, (iii) Higher Education Governance (iv) Leadership in Higher Education for a two Year Master's Programme
- v. 4 Long term (3 years duration) Research Projects on themes such as Biography of Colleges and universities, Teaching and Learning, Research Promotion, Governance, Access and Equity
- vi. 12 Short Term (one year duration) Research Projects on areas related to contemporary interest
- vii. A Journal on Higher Education

Action Plan 3 years

- i. Launching Certificate Course in Higher Education
- ii. Completing 12 Modules for a Diploma Programme
- iii. Higher Education Governance Series 5 States
- iv. Initiating one international collaborative research project
- v. Initiating 2 long term research projects
- vi. Initiating 4 short term research projects
- vii. Initiating a Journal on Higher Education

B: Roadmap- Research

Research: The department of higher and professional education proposes Research on some of the themes identified below (but not limited to) to be taken up in the next five years:.

(a) Access and Equity:

- Conceptual and Empirical Dimensions of Affordability
- Empowerment - Actual and Potential - of Marginalized Population in Higher Education
- Gender and Higher Education

- Participation and Exclusion - Theoretical and Practical Exploration
- Exploring Multi Dimensional Deprivations in Higher Education

(b) Quality:

- Quality Assurance and Institutional Transformations: What is net value addition
- Understanding Pedagogy and Teaching in Higher Education
- Academic Corruption:
- Exploring links between qualifications frameworks and quality assurance
- rankings and quality assurance
- Library: Status and challenges

(c) Governance:

- Analysis of University level Academic Bodies' Governance across States
- Leadership in Higher Education
- System of Governance of Affiliated Colleges across States by the University
- Functioning of Internal Quality Assurance Cells in Universities
- Working of Examination Section in Universities
- Admission, Supervision and Evaluation of Ph D Students - Practices across Universities
- Shortage of Teachers

(d) Privatization and Internationalization

- Exploring Commodification and understanding its implications
- Public private partnership: feasibility and implications
- Corporate social responsibility in higher education
- Exploring models of philanthropy
- Diversity of private providers, including the for-profit sector.
- Trends and Issues in International Higher Education

(e) Education and Labour Market linkages

- Enhancing employability in higher education
- Education and Labour market linkages
- Vocationalisation and Private Partnership.

On some of the issues mentioned above, the Centre for Policy Research in Higher Education at NIEPA has already proposed research projects. Hence those areas of research will be excluded from our current deliberations.

C: National level project on Higher Education Governance in States

The department proposes to publish a series on "Higher Education Governance" for all states in the three years. Pilot Study on Governance of Higher Education in Bihar has been completed in 2019. Research study for the remaining states is planned to be initiated in 2020-21. There will be state wise publication on various aspects of governance in post secondary education. The rationale of having such publication is to have different state governments strategies in governance of higher education collected at one place facilitating policy intervention and the understanding of inter-state variations in governance. The document will be based on primarily secondary information obtained from State higher education departments, Universities and colleges. The governance will consist of state wise basic information on institutional structure, governance modes, participation of students, teacher recruitment, programmes, financing, appointments of VCs, Chancellor's office, state government and relation with universities, autonomous and affiliated colleges, and Professional institutions. Chapter wise analysis will be based on templates developed at NIEPA. However, in each chapter there will be enough space for reflection of the author, besides having relevant information along the template .

D: Online programmes

The Department of Higher and Professional Education is plans to develop and launch three month long blended course (online and face to face) for the principals and senior academic administrators in n the year 2020-21. This programme will be designed and made available through the MOODLE platform in the form of Online Programme/Course on "Governance and leadership in Higher education". The course will be conducted in two phases ; the first phase will be in online mode and the final phase will be one week face to face interaction with the participants. The department envisages expanding the outreach of this program to faculty also in the coming years

E: Book on the Institutional Biographies: The Centenarians

Department proposes to publish a book in 2020 based on case study of colleges with excellence which have completed hundred years. 25 institutions of over 100 years were selected from five regions in India. The case study will highlight the salient features of the life cycle of institution. Institutional dynamism and challenges of sustainability, ups and downs, leadership, colonial practices in the history, connect with the society, teaching and research excellence and some of other salient features will be highlighted to understand the vitality and the long life of an institution. Unfortunately, in India we are short of such documentation on the institutions. Author's workshop was held in October 2018 to discuss the drafts based on the suggested guidelines. Final drafts from 12 such institutions have been received and editing will commence soon.

DHPE Progress Overview of 2019-20

(i) Programmes Proposed and Conducted

| S. No. | Name of the Program | Date and Place | No. of Participants | Coordinator |
|--------|--|--------------------------------------|---------------------|-------------------|
| 1) | A five day Workshop for Finalization of Module on Equity and Social Justice | postponed | | Sudhanshu Bhushan |
| 2) | A five day Workshop for Finalization of Modules on Governance in Higher Education and Faculty Management and Development in Higher Education | 26-30 August, 2019, NIEPA, New Delhi | 20 | Neeru Snehi |
| 3) | A five day Workshop for Finalization of Modules on Privatization in Higher Education and Financing of Higher Education | postponed | | Sangeeta Angom |
| 4) | Two Day Consultative Meet on Developing tools for research Project on Library facilities in Indian Undergraduate Colleges and Its impact on Student's Academic Performance | 27-28 June, 2019, NIEPA | 12 | Sangeeta Angom |
| 5) | A five –day Workshop on Employability in Higher Education | postponed | | Aarti Srivastava |
| 6) | Leadership Academic leadership development programme 3 weeks | Scheduled in March, 2020 | | Aarti Srivastava |
| 7) | Research Assessment Framework | To be conducted in March, 2020 | | Sudhanshu Bhushan |

(ii) Academic Progress

Books Published

| | | |
|---|--|---|
| 1 | A Virtual Higher Education Campus in a Global World: The Role of the Academic Campus in an Era of Technological Progress, September 2019, Publisher: Nova Science Publishers, NY 11788 USA | Nitza Davidovitch , Yuri Ribakov, Anna Slobodianiuk , Neeru Snehi, Sangeeta Angom , Alexandra Gerkerova |
| 2 | The Future of Higher Education in India, October 2019 Publisher: Springer | Sudhanshu Bhushan |
| 3 | Teaching and Learning in Higher Education in India and Australia by Routledge in 2019 | Sudhanshu Bhushan, Aarti Srivastava and others |

Teaching and Research

| | | |
|---|--|----------------------------------|
| 1 | The department faculty is engaged in teaching MPhil/PhD, IDEPA and PGDEPA. | |
| 2 | PhDs submitted | SB-1 Aarti-1 |
| 3 | M. Phil completed | SB-1 Neeru-1 Sangeeta-1 |
| 4 | PhD ongoing | SB-5 Aarti-1 Neeru-1 |
| 5 | M Phil ongoing | Aarti-1 Neeru-1 Sangeeta-1 |
| 6 | PGDEPA Dissertation evaluated and awarded | 2 |
| 7 | IDEPA Dissertation guided | 3 |

(iii) Research Projects Overview

| SNo. | Title of Research | Progress overview |
|-----------------|---|---|
| Ongoing | | |
| 1. | Higher Education Governance in Bihar Sudhanshu Bhushan | Submitted in 2019 |
| 2. | Institutional Biographies: The Centenarians Aarti Srivastava | 12 chapters have been received. Review and editing is in progress. |
| 3. | Autonomy in Indian Higher Education Institutions Neeru Snehi | Review is complete. Final editing is in progress. Will be submitted by June 2020. |
| 4. | A Study on Private University Acts and Regulations of Fee (MHRD project) - Sangeeta Angom | A review is complete. The draft has been submitted to the office for editing in January 2020. |
| 5. | Library Facilities in Indian Undergraduate colleges and its impact on Student's academic performance Sangeeta Angom | Pilot study is in progress. |
| Proposed | | |
| 6. | Series on Educational Governance of Higher Education Institutions in States. NV Varghese, Sudhanshu Bhushan, Aarti Srivastava, Neeru Snehi, Sangeeta Angom | The proposal has been duly examined by two external experts, approved by DAC and EC has been submitted. Pilot Research on Bihar is complete. To upscale it for all the states discussed with the Vice-Chancellor. DAC has to make an overview and suggest ways for the take off of the project. |
| 7. | Leadership in Higher Education Aarti Srivastava | Based on the feedbacks from DAC members proposal will be submitted |
| 8. | A Study on Faculty Management and Development in Universities and Colleges. Neeru Snehi | Based on the feedbacks from DAC members proposal will be submitted |

Programmes Proposed for 2020-21

There are two proposed training programmes

1. Course in Governance and Leadership in Higher Education - Rs. 22,44,300
2. Leadership Training workshop of the Principals of Colleges -Rs. 7,90,000
3. Total = Rs. 30,34,300

The details of the programmes are given below

(i) Training Programmes

Programme I: Course in Governance and Leadership in Higher Education

Higher education governance is gaining significant attention over the last few decades. This may be due to the changing external environment of universities and colleges. The impact of globalization, technology, the massification of tertiary education, the emergence of knowledge economy, the intrusion of market forces and other drivers into the sector has resulted in universities growing rapidly, becoming larger and diverse. While our country still face number of challenges in Higher Education sector, important issues among them, are related to quality education, faculty related issues, funding issue, governance issue etc. Moreover, governance issues have remained at the forefront of higher education reforms effort, yet there is need to address number of issues which are emerging due to changing socio-economic situation in the countries. Some of the issues for deliberations include: How the traditional forms of university governance are changing in the present context? How does change in financing patterns of the government affect the university governance? What is the impact of university leaders' perspective on efficient functioning of the university? How to manage the concerns related to selection and recruitment of senior officers of the university? How to manage the quality of teachers? What are the major reforms being undertaken in university governance globally? And how to improve academic research undertaken in Indian universities in order to create innovative research leading for more patent filing?

In this backdrop and keeping in view the absence of capacity development programmes for both academicians and administrators on challenges confronting the institutional governance and leadership; teaching-learning process; and research and innovation process in colleges and universities. The Department of Higher and Professional Education, NIEPA, New Delhi proposes to launch a three month course in governance and leadership in higher education in the year 2020-21.

Objectives:

1. To provide an understanding about the changing trends in Higher Education Governance across different countries
2. To understand the changing trends in teaching learning process
3. To provide an understanding of the current changes in research and innovations in higher education
4. To explore the role of university/college leadership in institutional governance
5. To enhance the capacity of the participants to face the administrative and academic challenges in higher education institutions.

Structure of Certificate programme (2020-21)

In this academic year, the department proposes to launch a course in governance and leadership in higher education. The programme will be for the institutional leaders, principals, and vice principals, heads of the departments, deans of the universities. The programme will consist of 4 modules of 2 credits¹ each. Each module will be delivered online in two weeks. After the completion of two months programme in an online mode the participants will be invited to attend one week face to face programme in NIEPA. During one week programme at NIEPA the participants will present the assignments given during the course work. The focus of the programme will be more on application and developing the capacity of institutional leaders to efficiently run the organisation. This programme is proposed to be launched from January 2021. During the period April to December, 2020, the preparatory work for the programme will start. It will include finalization of module (editing, revision and printing) and the video materials, preparation of handbook, finalization of teaching learning materials, admission process and communication with the selected applicants.

The proposed areas of modules for the diploma programme are given below.

Modules:

1. Governance of Higher Education- Structures, functions and challenges
module will consist of 4 units each on (i) central level structures - UGC, NAAC, NIRF, functions and challenges, (ii) State level institutions, functions and challenges, (iii) University level structures functions and challenges, (iv) college level structures, functions and challenges
2. Teaching-Learning in Higher Education
Module will consist of four units. (i) Emerging issues and challenges in teaching and learning from students' perspective, (ii) Teaching Methods, (iii) Assessments external and internal, (iv) Outcome based education

¹ Two weeks teaching learning hour means approximately 30 hours (2 hours every day). Total hours devoted to 4 modules shall be 120 hours. 1 week face to face will be of 40 hours. Thus total hours requireme nt to complete the course will be 160 hours. If we assume 20 hours for 1 credit then 8 credit will be accumulated through the course. .

3. Research and Innovation in Higher Education

Module will consist of four units: (i) Research and innovation in colleges and universities, (ii) Research Universities, (iii) Research performance and building research capacity, (iv) Research assessment and evaluation

4. Emerging leadership challenges in Higher Education

Module will consist of four units (i) Perspectives on Leadership, (ii) Academic leadership in Universities and Colleges, (iii) Organisational leadership in Universities and colleges, (iv) Issues and challenges in Leadership

1. Online phase (January 2021)

The course will be organized into four modules with a total of 16 units, each of which uses a blend of methods to present the key concepts and provide opportunities to apply and discuss these new concepts. All units use multimedia presentations and selected readings to deliver the key messages. In addition, the modules use some combination of videos, interactive simulations, research exercises and/or case studies to broaden participants' understanding of the topics.

Participants will receive course material as both soft and hard copies. It will include course introduction and four modules. The course introductory module will give information about objectives, time-frame, expected learning outcomes, question for individual reflection, assessment and suggested readings.

The study time for each module is two weeks. After learning every unit, the participant is required to send his/her feedback/assignment on the unit learnt. After completing each module, a comprehensive term paper needs to be submitted.

2. Face-to-Face Course Transactions (one week at NIEPA at the end of the course)

The distance mode courses will be assessed from time to time at the end of the course. A one week face-to-face workshop will be organized at the end of the course wherein the participants will present a 'Seminar'. On successful completion of the programme, the participants will be awarded a certificate.

Throughout each module, the participant will have access to various learning resources, including multimedia presentations, readings, case studies, exercises, and a course project to enrich the quality of participant learning. To ensure a fruitful exchange between all participants and facilitators, a regular use of the online discussion forums that are built into each module is advised.

COURSE REQUIREMENTS for certification

- Complete the activity for each module
- Contribute thoughts, comments, and/or questions in the discussion forum for each module
- Complete and present the course project component

Evaluation Procedure

Participants' will be evaluated through various modes, such as i) Interactions and discussions on the module forum; ii) Activity; iii) Project component or assignment component and seminar presentation.

Eligibility

The minimum requirements are:

- i) He/She should be an existing faculty in college or university, ASC or in any one recognized institution of higher education.
- ii) Nominated by the college or university or self applicant.
- iii). It is desirable that participants should have at least ten years' work experience

Target Group Heads, Deans, College Principals

Participants : Around 35 Participants

Co-ordinators: All the faculty of Higher and Professional Education Department

Date & Venue : NIEPA January, 2021

Proposed budget for the Course in Governance and Leadership in Higher Education (one week face to face course transactions)

| Budget Estimates | Estimated Expenditures (in Rs.) |
|---|--|
| TA for 35 participants @ Rs. 20,000 per person | Rs. 10,50,000 |
| Boarding Charges @ Rs 800 per day per person for 7 days | Rs. 1,68,000 |
| Lodging Charges @ Rs 500 per day per person x 7days | Rs. 1,22,500 |
| Special Lunch for 50 persons | Rs. 20,000 |
| Refreshment for 50 persons Refreshment for 20 person @Rs 100/-per day | Rs. 20,000 |
| Miscellaneous -Stationary, Photocopy, etc | Rs. 50,000 |
| Total | Rs 14,30,000 |

Proposed Program and Budget for preparation and finalisation of module:

| | |
|--|------------------------------------|
| i) Two workshops of 12 persons each | Rs. 3,18,400 x2 =6,36,800 |
| ii) One Expert Committee group meeting for vetting | Rs 1, 27,500 |
| iii) Development of E-Portal/Management | Rs. 50,000/- |
| Total | Rs. 8,14,300 |
| Total | Rs. 14,30,000+ 8,14,300= 22,44,300 |

Preparatory Phase

Following workshops and expert meeting will be done to prepare the module

Workshop 1

Three days Workshop for Finalization of Modules on Governance and leadership in Higher Education; and Teaching-Learning in Higher Education

Neeru Snehi

As a part of Course in Governance and Leadership in Higher Education, two modules on Governance and leadership in Higher Education and Teaching-Learning in Higher Education will be prepared. The proposed three day workshop will finalize the modules with expert opinions and prepare the customized videos for the online programme.

Objectives

- To discuss and finalise the draft modules
- To develop supplementary audio/video material

Participants

Heads, Deans, College Principals and Faculty of universities

Venue- NIEPA

Date - September/October, 2020

Budget Estimates

| Budget Estimates | Estimated Expenditures (in Rs.) |
|--|--|
| TA for 12 participants @ Rs. 20,000 per person | Rs.240,000 |
| Boarding Charges for 12 participants (@ Rs 800*4days | Rs.38,400 |
| Lodging Charges for 12 participants (@ Rs 500*4days | Rs.24,000 |
| Refreshment for 20 person @Rs 100/-per day | Rs.6000 |
| Miscellaneous -Stationary, Photocopy, etc | Rs. 10,000 |
| Total | Rs 3,18,400 |

Workshop 2

Three days Workshop for Finalization of Modules on Research and Innovation in Higher Education; and Emerging Leadership Challenges in higher Education

Sangeeta Angom

As a part of Course in Governance and Leadership in Higher Education, two modules on Research and Innovation in Higher Education; and Emerging Leadership Challenges in higher Education will be prepared. The proposed three day workshop will finalize the modules with expert opinions and prepare the customized videos for the online programme.

Objectives

- To discuss and finalise the draft modules
- To develop supplementary audio/video material

Participants

Heads, Deans, College Principals and Faculty of universities

Venue- NIEPA

Date - August/ September, 2020

Budget Estimates

| Budget Estimates | Estimated Expenditures (in Rs.) |
|--|--|
| TA for 12 participants @ Rs. 20,000 per person | Rs.240,000 |
| Boarding Charges for 12 participants (@ Rs 800*4days | Rs.38,400 |
| Lodging Charges for 12 participants (@ Rs 500*4days | Rs.24,000 |
| Refreshment for 20 person @Rs 100/-per day | Rs.6000 |
| Miscellaneous -Stationary, Photocopy, etc | Rs. 10,000 |
| Total | Rs 3,18,400 |

Workshop 3

One Day Expert Committee Group Meeting for Vetting the online course on governance and leadership in Higher Education

As a part of Course in Governance and Leadership in Higher Education, a one day expert group Committee Meeting is being proposed to finalise the modalities of the course.. The proposed meeting will review the modules as well as the modalities for launching the course.

Objective: To review and vet the modalities of the Course in Governance and Leadership in Higher Education

Venue- NIEPA

Date -November, 2020

Coordinators –Neeru and Sangeeta

Budget Estimates

| | |
|--|---------------------|
| TA for 5 outstation participants @ Rs. 20,000 per person | Rs.100,000 |
| Boarding Charges for 5 participants (@ Rs 800*2days | Rs.8000 |
| Lodging Charges for 5 participants (@ Rs 500*2days | Rs.5000 |
| Refreshment for 15 person @Rs 100/-per day | Rs.1500 |
| Local conveyance and honorarium @ 2000x8 | Rs.8000 |
| Miscellaneous -Stationary, Photocopy, etc | Rs. 5,000 |
| Total | Rs 1, 27,500 |

Programme II

Leadership Training workshop of the Principals of Colleges **Co-ordinator Aarti Srivastava**

| | |
|---------------------------|--|
| 1. Title of the Programme | Leadership Training workshop of the Principals of Colleges |
| 2. Introduction | One of the crucial area which needs to be worked upon for raising the standards of higher education is “Leadership in Higher Education Institutions”. The National Policy on Education 2019 document also identifies that Effective leadership leads to formation of world class institutions and is a must for raising the standards of higher education in the country. The document further says that, leaders must demonstrate strong alignment to |

| | |
|---------------------------------|---|
| | <p>Constitutional values and the overall vision of the institution, along with attributes such as a strong social commitment, belief in team work, pluralism, ability to work with diverse people and a positive outlook. The effort must be to build strong diverse teams, comprising both academic and non-academic members. Coherent, shared plans rather than the decisions made by a few individuals must be the basis for progress towards institutional goals. (Draft NEP, 2019:311). Since leadership crisis is a big challenge faced by the Higher education sector today, any serious effort to improve the quality of higher education must include development of leadership qualities and skills among the senior academicians who are currently holding such positions.</p> |
| 3. Theme | <p>With a view to cater to the challenge of leadership crisis being faced by the Indian Higher Education sector, the Department of Higher and Professional Education aims to conduct a workshop for undertaking systematic leadership training of the principals of colleges in India. The workshop shall aim to develop the knowledge, skills and attitudes of the principals so as to effectively perform the leadership and governance roles assigned to them for the ultimate benefit of their institution.</p> |
| 4. Learning Objectives | <ul style="list-style-type: none"> • To understand and overcome the challenges of organizational change • To master new approaches to leadership • Develop and implement effective strategies • Review and assess the impact of changes in the higher education competitive environment • Evaluate the impact of new initiatives and alliances • To facilitate innovation and creativity among the college faculty • Realign faculty performance and needs and financial resources |
| 5. Competencies to be developed | <ul style="list-style-type: none"> • Leadership and governance skills • Adapting to new changes • Responding and managing individual issues of both the teaching and non-teaching staff of the college • Liasoning and Networking with other institutions in the sector • Encouragement for collaborative work • Initiator and catalyst for new activities |
| 6. Expected Outcomes | <ol style="list-style-type: none"> 1. Training of principals for leadership and governance roles in a college. 2. Building network of the principals of colleges. |
| 7. Participants/ Target Group | Principals of colleges in India |

| | |
|--|--|
| 8. Programme Duration, Date and Venue | 5 Day workshop |
| 9. Programme Coordinator(s) | Dr. Aarti Srivastava, Associate Professor, Department of Higher and Professional Education |
| 10 Budget Estimate | Estimated Expenditure (in Rs.) |
| a) TA/DA to participants | 15000X 35= Rs 5,25,000 |
| b) Boarding & Lodging of participants | 6000X35 = Rs 2,10,000 |
| c) Local conveyance & Honorarium to Resource Person | As per institute norms |
| d) Travel and Hospitality to outstation resource person | As per institute norms (2000 per session) |
| e) Expenditure on Stationery, photocopying, Bags/ Folders, High Tea, Special Lunch/Dinner, | Rs 40,000 |
| f) Contingency expenditure, if any Rs. | Rs 15,000 |
| Total | Rs 7,90,000 |

Proposed Research (2020-21)

There are 3 proposed research during 2020-21

1. Governance of Higher Education - State Wise Series with estimated budget of Rs. 1,07,83,333
2. Leadership in Higher Education Institutions: Pathways for Improving Institutional Performance with an estimated budget of Rs. 42,32,000
3. A Study on Faculty Management and Development in Universities and Colleges with an estimated budget of Rs. 32,20,800

I Governance of Higher Education - State Wise Series

1. Background

Academic Council, NIEPA in its meeting held on March 18, 2019 has approved the research project on Governance of Higher Education - state wise series for all states in India along with the budget. The research proposal was earlier reviewed by two experts. As per the plan the pilot project in one state (Bihar) is complete. The research report has been reviewed by an expert committee in a meeting held on 21st May 2019. After the feedbacks from the experts the research report on Governance of Higher Education in Bihar has been finalized. The stage is now set for the rolling out of the National Project on Governance of Higher Education - State Wise Series for all the states in India, as per the approval of Academic Council and Board of Management, NIEPA.

2. Rationale

It is pertinent to briefly mention the rationale for the National Project on Governance of Higher Education - State Wise Series for all the states in India. As stated in the proposal, trajectories of development in higher education has been varied in different states notwithstanding the uniform standards approach to be enforced by UGC and other councils. The different states have experienced varying social political contexts. At the level of practice the governance structures, the financing patterns, response to demand for higher education in terms of privatization, the policies on recruitment, promotions of teachers and non teaching employees, etc. vary. Such state wise variance is necessary to understand both at the level of information and at the conceptual level. This is what forms the rationale of the study.

3. Objectives

1. The series on governance of higher education in different states will help to provide basic information on institutional structure, governance, policies, practices, funding of higher education institutions
2. The series on governance will highlight the good practices in some states and incentivize other states to follow
3. The series will help the central government and the regulatory councils to understand the variance in the governance and streamline the practices through policy and planning intervention
4. The series on governance will help to develop the network - academic, governance - and promote collaboration across states
5. It will help to understand the student in terms of social composition, disciplinary preferences, support systems and also variations in the composition of teachers, terms of superannuation and their remuneration.
6. The series on governance of higher education will help to introduce reforms in higher education in a systematic manner based on correct information and inter-state variations in actual practices

4. Structures of Governance

Indian higher education system consists of a small number of central universities, large state run universities, state private universities and deemed universities. Although central government is responsible for funding all central universities, the central government has also been supporting the state universities under plan funding. Besides, University Grants Commission's main mandate is to maintain the standards of education of the universities. By virtue of higher education in the state list since the beginning of the promulgation of the Constitution of India and in the concurrent list since 1976, the state run universities have varying development trajectories, notwithstanding the uniform maintenance of standards under the directives from the University Grants Commission. As a result different state governments have influenced the development of higher education in respective states in varying ways being determined by different socio-economic and political circumstances.

Educational governance of higher education institutions in the state consist of governance of universities being guided by the respective acts, statues and ordinances. All colleges are affiliated by the universities and academic governance are controlled by the university whereas finance and administrative aspects are controlled by the state governments. All universities are also being governed under the office of the Chancellor which has important role under the acts and statutes of the universities. There are three aspects of the governance of universities and

colleges - academic, administrative and financing. Higher education is also, in many states, effectively under the supervision of higher education councils in the states. With respect to the technical and professional education many states have established respective state universities which control specific technical/professional colleges. For example, all agricultural colleges in a state are governed by the respective agricultural universities of the state and so on for Engineering, Law and Medical education. Different universities have constituent colleges and constituent postgraduate departments where teaching and research are imparted through the three programmes - postgraduate, Masters of Philosophy and Doctoral studies. Universities and colleges are also accredited by NAAC and in recent years have institutionalized the management of quality through Quality Assurance Cells. Some universities have also Academic Staff Colleges for the professional growth of teachers.

Universities are typically run under the various Committees, Councils and Bodies. A typical state university may have 50-100 affiliated colleges. However the size of university in terms of number of colleges, teachers and students vary across universities and there is hardly any decentralized governance for a large affiliating universities. The system of governance has hardly undergone changes except for some innovation in IT practices, admission and examination etc. Teaching and learning processes are largely old fashioned. On many issues the decisions are centralized at state government level or at the university level, leaving little autonomy for colleges. For example, curriculum is one area where colleges have almost no control for the simple reason that university level examination is centralized. There are no doubt virtues of centralization in managing large system but that is not without having certain trade off with the autonomy.

In recent years there has been the intensification of academic reform programmes imposed upon the undergraduate colleges without understanding the lived situation in which the colleges exist. There is a growing fear that the large undergraduate colleges will not only fail to implement academic reform programmes. It will rather distort the existing structure with overburdening teachers. The half baked reforms introduced from top has to take into account the lived reality of the colleges. An important point to note is that structures of governance and its functioning is important to understand before introducing change in higher education system.

5. Review of Literature

Issue of governance of higher education has been a matter of critical scrutiny by many academics. The fundamental point is whether university governance has been able to preserve the idea of university, namely, the academic freedom for the search of knowledge. Whether governance has been through the community of scholars who alone are thought to be responsible and capable to run the affairs of university, namely, teaching and research. (Corson, 1960) Within the framework of public funding whether state and university has built the trust so as to allow universities to function autonomously with the required funding support from the government. The issue of governance also acquires importance in view of the expansion which

the university system is facing today. There is demand for increase in the faculty and infrastructure and governance has to respond to meet the needs. Pankaj Chandra (2017) has noted eight features of governance in an academy. At the level of practice governance faces challenges on perhaps all accounts. Challenges of governance have to be understood in terms of rapidly changing social fabric and political contexts.

The governance system in higher education varies largely from a large affiliating university where issues of affiliation, examination, admission, recruitment and promotion etc, are important and they sap the energy of central administration through complex policies, rules and processes. It is the governance in state funded universities which pose more challenges in terms of sheer size. Here the question of roles and responsibilities are more muddled. (Chandra, 2017). Referring to the complexity of academic governance the system of higher education in India has been subject to fulfilling the constitutional responsibility of maintenance of standards. As a result the central government established different commissions and councils, namely, UGC, AICTE, MCI, etc. These commission and councils have begun to regulate and sometimes they were in conflict with others. There has been charges of over regulation by the National Knowledge Commission (Government of India, 2007). It noted that "The system, as a whole, is over-regulated but under-governed." (*ibid.* p. 62). There has been further argument that "the rules and regulations that the UGC wishes to impose on our universities do not recognise ground realities" (Ramaswamy, 2018, p. 87). UGC has been in the present state "an ineffectual body that implements government policy with a mind numbing adherence to bureaucratic rules and norms" (*ibid.* p. 87). UGC has been severely criticized for creating inefficiencies in the universities. (Deshpande, 2000; Singh, 2004; Kapur and Mehta, 2007; Kapur, Mehta and Vaishnav 2018; Hatekar, 2009; Chandra, 2017) It is, therefore, said that governance from this point of view has not been able to preserve the idea of a university.

Autonomy has become a new pillar of education reform. Dr Anil Kakodkar committee on Indian Institute of Technology, 2011 suggested that innovation is necessary to support knowledge fuelled economic development and this requires a roadmap for the autonomy. It was argued that institutional autonomy will result in IIT's becoming world-class institutions. N R Narayan Murthy Committee report, 2012 went on to suggest that corporatization of of research. Autonomous institutions will have much greater degree of freedom to collaborate and partner with universities in India and abroad. The very concept of liberal has been universities ensuring financial autonomy will facilitate availability of resources to improve the quality extended to the support of private funded universities.

The idea of Higher Education Commission in place of UGC and AICTE is put forward for a different set of arguments than the National Knowledge Commission. Whereas NKC favors the move towards removing the barriers to entry in the expansion, Yashpal committee report finds it necessary to realize the autonomy of University. It is important to note that autonomy has been further exploited behind the idea of a new HECI Bill, 2018 which also sought to abolish UGC. In the case of a proposed bill autonomy was further confused with the centralizing tendency which

will have enormous power to monitor and freedom given to the academia will be subject to being accountable through performance appraisal (Bhushan, 2018). Ambiguity and ambivalence in the meaning of autonomy is at the root of confusion what governance is meant to achieve? Whether governance mean the self regulation of university under state support or it means allowing market rule to prevail under laissez faire principle with minimum state support?

In practice the governance is said to be flexible and free from rigid rules and regulations. Such an ecosystem suitable for global University cannot be achieved, it is argued, with rigid rules and regulations. The role of the government needs introspection. "They ought to become facilitators and ensure autonomy and independence of the Universities" .(Kumar, 2017). High degree of flexibility in the governance of higher education is required. (Agrawal, 2009) How can that flexibility be achieved? This is possible through the breaking of the dichotomy between public and private institutions. This is possible through entrepreneurship in the governance of universities. This is possible through a stronger private initiative in the field of higher education. "Innovative solutions need to be found in addressing the challenges of higher education." (ibid. p. 20) Hence governance has to face new idioms in reimagining the Indian University, perhaps suited for the future.

The issue of the quality of institutional leadership assumes importance in the governance of higher education. Quality of leadership is important particularly under the circumstance that the power of the Vice Chancellor is centralized in many universities. It is argued that if the integrity of the Vice Chancellor as the Chief Executive of the University is not maintained then the autonomy of University, crucial objective of the governance, can hardly be ensured (Bhushan S, p. A 201 Varghese edited book). "The biggest threat to the academic freedom of an institution comes from the appointment of leaders who, by dint of inexperience, are typically overly compliant with norms imposed from the outside, while being susceptible to pressures of an unfamiliar kind." (Ram, 2018, p. 91). Pankaj Chandra notes that "MHRD and state governments both have subverted the university by interfering with the choice of leadership." (Chandra, 2018)

The new managerialism has been the hallmark of education reform. In the new scenario governance has been guided by the canons of efficiency. There has been surveillance and monitoring in order to ensure the accountability of the faculty members. This has led to much of the faculty time being devoted to filling out forms and compliance with the guidelines. The idea of a University is lost with so much burdening of academic faculty with the administration. Teacher is no more teacher but a manager. The new managerialism is not free from the politics of power. The surveillance mechanism also controls the power of academic faculty in the name of accountability and performance. For example the national institutional ranking framework becomes a tool of control as ranking becomes the indicator of the performance. The national assessment and accreditation framework also becomes the indicator of the performance by declaring the grade of an institution. (Chattopadhyay, 2018, p. 136-50)

However, there is a completely different dimension to the governance when higher education has to achieve the equity objective. When the entry of students from marginalized sections of the society becomes the dominant feature of higher education there has to be inclusive leadership. It means that the governance structure needs to be such as to facilitate the entry of those sections of society both at the administrative as well as academic terms.

Governance of higher education has also been looked at from the perspective of power relation. In the social field various actors struggle for power, status and influence (Bourdieu 1984; Kogan, et. al. 2000). The process of change in the governance takes place amidst contestation between academia and administration. Former generally responds to governance change introduced from above and passively adjusts with compromises and conflicts. In this approach the study of social field where politics, economics and group dynamics matter become important. (Gornitzka, et. al. 2005) In the present volume the field reality is captured in terms of those dynamics as well as the politics that state brings in those dynamics.

Much of the review on governance is at the macro level and information on state specific micro details on governance is highly scattered. The purpose of the proposed study on higher education governance is to understand some important dimensions of governance from a realist perspective. The aim is to document recent policies of centre and states and examine how these policies have been implemented? At the level of practice we want to understand why certain institutions of governance have not been established even in spite of central and state governments policy and programmes. Even if they have emerged why functions have suffered from a myriad of problems? How higher education has navigated through different historical and social circumstances and in a way governance has path dependence. The conflict resolution process through rules and court judgments have not produced solutions. How with the failure of university administration there is growing centralization? At the level of university the failure of college administration is witnessing the centralizing tendency. There has been a complex scenario of governance where agency of teacher has become ineffectual and teachers hardly feel motivated to engage in teaching learning process with passion. It becomes very difficult to reverse the process when quality of recruitment of teachers is low. The low quality teachers once appointed gradually destroy the system. The meaning of freedom of academia is lost. The meaning of university is lost. Governance is at the verge of collapse. While some institutions survive and perform well the bigger chunk fails to work properly. The present book is an attempt to understand the governance of higher education as it has survived till the present time.

6. Research Design

Unit of Analysis: State will be the unit of analysis. The governance of higher education at the state level institutions, university and college level will be examined. To understand governance the selection of a public state university and college will be made to understand the internal governance. State university may be taken as unit. A case study approach may be used for understanding internal governance - academic, administrative and financing - of a representative

state university through the proceedings of senate, syndicate, academic council, etc. Besides the teacher management and student satisfaction on issues related to governance will be analyzed through the representation of sample of teachers and students. To understand the internal governance - academic, administrative and finance - of a college the case study approach may as well be used. In the case of internal governance of a college the variation on the management type may be taken by understanding the case of private (self financing and government aided) as well as government colleges.

Source of Information: Quantitative information on enrolment, teachers, colleges, universities etc. will be tabulated from unit level data of AISHE. Financial information will be collected from state level budget as well as Analysis of budgeted expenditure, all India and States, MHRD, Government of India. About schemes and programmes various government reports and the relevant websites of Higher Education institutions will be analyzed. information will be collected through the interview, FGD with various stakeholders - administration as well teachers and students. Two workshops at state level will facilitate the collection of information. To understand issues and problems of governance Supreme court and High court orders will be analyzed.

In particular, the focus will be on understanding the government as well as professional council regulation and the process through which the regulations are put into practice. The discordance between the field reality at the level of implementation and regulations/guidelines need to be understood through the interview, focus group discussion and workshops.

In the pilot study on the governance of higher education in Bihar the following chapterization has been followed which may be used as exemplar. However, state series on governance of higher education in states will not be the exact replica. Similarities and differences at the state level will be captured.

1. Introduction
2. State level governance
3. University level governance
4. College Level Governance
5. Teacher Management
6. Privatization
7. Financing
8. Students Satisfaction
9. Synthesis
10. Conclusion and Suggestions

7. Implementation Approach

i. Project Advisory Committee (PAC)

The series on governance of higher education will be supervised by PAC to be constituted by the Vice Chancellor. PAC shall be responsible for guiding the project.

ii. State Level Core Committee

A state level core committee shall be constituted. The core committee will facilitate the collection of authentic information. The core committee will be headed by the State Project Co-ordinator who will be responsible to prepare the research report. Core committee shall be constituted by the State Project Co-ordinator. Members of the core committee may be out of the following.

1. State Project Co-ordinator
2. State Government representative of Higher Education
3. Representative of State Higher Education Council
4. One or two Vice Chancellors
4. Principal of a college
5. Expert in higher education

iii. Departmental Committee

There shall be a departmental committee of the Department of Higher and Professional Education to guide the functioning of the series of state wise research projects. The departmental committee will be actively engaged in the implementation of the project. Members of the departmental committee shall be responsible for completing at least one state level research project on governance of higher education. They will also undertake the responsibility of implementing and overseeing the research projects of some of the states under the overall supervision of the Head, Department of Higher and Professional Education. All the faculty members of the Department of Higher and Professional Education shall constitute the Departmental Committee.

iv. Duration

The implementation of the research project will be phasewise. The duration of the project will be April 2020 to March 2024.

v. Persons/Institutions

The Department of Higher and Professional Education, NIEPA will identify persons and institutions of state who will be the State Project Co-ordinator. State Project Co-ordinator will be responsible for preparation of research report after the information is collected from primary and secondary sources of information. A list of persons are identified for some of the states. The state project co-ordinator will work with the state level core committee.

vi. Memorandum of Understanding

The memorandum of understanding will be signed between the two parties with respect to the implementation of the research project and the financing of the project where both parties will mutually give consent to an agreed plan of implementation. The First party will be Registrar NIEPA. The second party will be the State Project Co-ordinator. Project will be deemed to begin from the date of signing of MOU.

vii. Role of Series Editor

The Series editor will be responsible for the editing of each state level report. He will work under the overall supervision and guidance of the VC, NIEPA and the Project Supervision Committee. He will be responsible for implementing the MOU in every state. He will co-ordinate between the state level core committee headed by the State Project Co-ordinator and NIEPA to facilitate the research. He will ensure timely implementation of the research project. He will also search for the publisher and inform NIEPA to facilitate the timely publication of the state wise series on governance in higher education.

viii. Implementation schedule

Implementation of research project is planned to begin from April 2020.

Implementation schedule of the research project will be as per the chart given below.

| | First Phase (10 states) | Second Phase (10 states) | Third Phase (8 states) |
|--|-------------------------|--------------------------|------------------------|
| | 2020-21 and 2021-22 | 2020-21 and 2021-22 | 2022-23 and 2023-24 |
| Identification of State Level Persons/Institutions | April 2020 | April 2021 | April 2022 |
| Meeting of Project Supervision Committee | September 2020 | May 2021 | May 2022 |

| | | | |
|--|----------------------------|------------------------|------------------------|
| Approval of State Level Persons/Institutions | October 2020 | May 2021 | May 2022 |
| Meeting with State Experts at NIEPA | October 2020 | June 2021 | June 2022 |
| MOUs with State Experts | October 2020 | June 2021 | June 2022 |
| Rolling Out of State wise research project with Ist Instalment (25%) | October 2020 | June 2021 | June 2022 |
| Ist Mid-term Assessment Meeting of state Experts at NIEPA | July 2021 | January 2022 | January 2023 |
| Release of 2nd instalment (25%) | July 2021 | January 2022 | January 2023 |
| 2nd meeting of state experts at NIEPA | December 2021 | July 2022 | July 2023 |
| Release of 3rd instalment (25%) | December 2021 | July 2022 | July 2023 |
| Final research report December 2020 | February 2022 | Dec 2022 | Dec 2023 |
| Release of 4th instalment | March 2022 | Dec 2022 | Dec 2023 |
| Publication process | February. 2022 - June 2022 | Dec. 2022 - March 2023 | Dec. 2023 - March 2024 |
| Publication of state reports | December 2022 | December 2023 | December 2024 |

8. Budget

(1) State: unit

| | | Unit (variable) | Cost/unit (Rs.) | Total (Rs.) |
|---|--|-----------------|-----------------|-------------|
| State level co-ordinator meeting at NIEPA | Air travel for Meetings (1. MOU and project design meeting, 2. Mid term, 3. Final) | 3 times | 25,000 | 75,000 |
| Research Staff | Salary for 12 | 1 person | 30000*12=360000 | 3,60,000 |

| | | | | |
|----------------------|--|---------------|----------------|----------|
| | months | | | |
| Field Investigator | Salary for 6 months | 2 person | 25000*6=150000 | 3,00,000 |
| Field visit | state co-ordinator, research staff, field investigator | 1 state | 50,000 | 50,000 |
| State level meetings | Workshop of senior officers | 4 times | 25,000 | 1,00,000 |
| Contingency | Stationary, etc. | Whole project | 25,000 | 25,000 |
| | | | | 9,15,000 |

(2) NIEPA (1st April 2020 to 31st March 2024)

| | | Unit (variable) | Cost/unit (Rs.) | Total (Rs.) |
|---|--|-----------------------|--------------------|-------------|
| National level co-ordinator meeting in states | Air travel for Meetings twice in all 28 states | 56 | 25,000 | 7,40,000 |
| Project Consultant | Salary for 48 months | 1 person | 50000*48=24,000,00 | 24,00,000 |
| State visit of Project Consultant | In all 28 states | 1 person | 10,000*28=2,80,000 | 2,80,000 |
| Office expenses | Food, lodging, stationary, venue management | 28 persons*3 meetings | 5000*84= | 4,20,000 |
| Editing of all reports | | 28 | 28*95000= 266000 | 2,60,000 |
| Contingency | Stationary, etc. | 4 years | 4*2,00,000 | 8,00,000 |
| Total | | | | 49,00,000 |

3. Yearly budget

| Year | State level | No. of states | Total all states | NIEPA | State + NIEPA |
|----------------------------------|-------------|---------------|------------------|-----------|---------------|
| Ist Phase (2019-20 to 2020- 21) | 9,15,000 | 10 | 91,50,000 | 16,33,333 | 1,07,83,333 |
| IIInd Phase (2020-21 to 2021-22) | 9,15,000 | 10 | 91,50,000 | 16,33,333 | 1,07,83,333 |
| IIIrd Phase | 9,15,000 | 8 | 73,20,000 | 16,33,333 | 89,53,333 |

| | | | | | |
|-----------------------|--|--|-------------|-----------|-------------|
| (2021-22 to 2022- 23) | | | | | |
| Total | | | 2,56,20,000 | 48,99,999 | 3,05,20,000 |

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II. Leadership in Higher Education Institutions: Pathways for Improving Institutional Performance

Aarti Srivastava

Introduction

As defined by the New Education Policy, leaders must demonstrate strong alignment to Constitutional values and the overall vision of the institution, along with attributes such as a strong social commitment, belief in team work, pluralism, ability to work with diverse people and a positive outlook (Draft NEP, 2019:311). Those institutions in India that have been given autonomy with strong self-governance and have had good leadership have grown into world-class institutions. However, many of the institutional heads lack the competence to lead their respective higher education organisations and institutions. A shockingly high proportion among those who become institutional heads lack the ethical standards, institutional commitment and public spiritedness that is a must to lead any education institution. These organizations are often influenced, driven and governed by people who themselves do not have the requisite commitment to building a good institution, do not have boldness of imagination for good leadership, and are caught in procedures missing the substance. Often seniority is given disproportionate importance rather than leadership capacities and merit while assigning leadership posts (Draft NEP, 2019:310).

Academic leaders are the gatekeepers of the quality standards, imagination, creativity and innovation in higher education. The quality of their leadership makes a significant difference to Higher Education Institutions (HEIs) and student outcomes. A major crisis the Indian Higher Education System is facing is developing such skilled, trained, insightful, transparent and transformational academic leaders who could bring about the required change in the higher education system (Parker. S & Baporikar. N, 2013:265).

If an institution is suffering from leadership crisis, then it faces an informal exercise of power by external bodies. Even the governance and leadership of such institutions is also disempowered by the formal structures and systems of higher education. Decisions related to many aspects which should be within the purview of institutional governance and leadership are centralised at the level of the UGC or other bodies of the State and Centre. These institutions are unable to chart their own courses, as they are controlled in many significant ways by the affiliating University. For example, the higher education departments of the State and other such bodies often tend to treat Universities and Colleges as an extension of their hierarchy. All this deeply undermines institutional autonomy (Draft NEP, 2019:310) which comes from weak leadership.

Leadership has been increasingly recognized as an issue of paramount concern owing to the fact that universities are the complex organizations in which the person in leadership position

confronts with challenges in several fronts. On the one front the leader has to deal with diversified cohorts of people constituting academic, administrative, technical and other supporting staff and students as well, on the other hand he/she has to deal with complexities of administration, finance, academic and a plethora of other issues in managing the university (Pani. A, 2017:17). Hence, appropriate characteristics are extremely important to be embodied within those who are to take leadership positions in the higher education institutions. Being the sites of social change and innovation such institutions must be led by dynamic and well-versed personalities, since, a good leader determines the rise and fall of his/her institution and its people. Therefore, it is extremely crucial to study the diverse leadership patterns at play in the Indian HEIs which shall be useful for identifying successful leadership styles and characteristics which can be suggested for the training, preparation and selection of people for leadership positions.

Research Questions

The research questions of the proposed study are as follows:

1. What is leadership from the Indian perspective?
2. What are the different patterns of leadership in India and what are their pros and cons?
3. What are the different patterns of leadership being followed in the different categories of the HEIs?
4. What are the successful leadership practices being adopted in India and in which institutions of higher education are they being executed?

Research Objectives

The research objectives of the proposed study which can be derived from the above research questions can be stated as follows: -

1. To understand the perspectives of Leadership in India.
2. To identify the diverse patterns of leadership in India HEIs.
3. To examine and compare the diversity of patterns of leadership followed in different India HEIs.
4. To delineate the successful leadership practices in Indian HEIs.

Research Methodology

The proposed study will adopt a mixed methodology approach to capture the complexities of the data collected and the topic concerned.

Sample

The proposed study aims to identify, delineate and examine the leadership perspective, styles and patterns of leadership in higher education institutions in the country. Eminent institutions like the IITs, IIMs, NITs, IIITs, AIIMS, School of Planning and Architecture, CIE, University of Delhi, JNU, IISc (Bangalore), certain selected state and central level universities, and Deemed to be

universities will be considered as appropriate sample for the study. The sample will be representative of all the regions in India, as it will be an all India study. A total of 12 institutions will be covered under the sample A total of 12 institutions will be covered under the sample keeping in mind the regional and sectoral representation of the various fields like engineering, medical, architecture, teacher education, etc.

Tools for the Study

The research for the present study shall comprise inquiry at all the three levels of the hierarchy of the Higher Education Institutions, namely:

- a. The Vice Chancellor/ Director level – A semi-structured interview schedule will be prepared for the interview of the Vice Chancellors. One current VC will be interviewed and one former VC will be interviewed.
- b. The Head of the Departments/ Deans level – A Focused Group Discussion will be conducted with the HoDs/Deans in order to obtain their views and opinions regarding the expected and ideal leadership patterns in HEIs.
- c. Faculty of the HEIs – A questionnaire will be prepared for the faculty of the colleges in order to obtain their views and opinions regarding the expected and ideal leadership patterns in HEIs.

As mentioned above separate tools will be prepared for the three different categories of the respondents which will include: a semi-structured interview schedule, a focused group discussion document and a questionnaire for the faculty.

Proposed Budget

The budget for the proposed research programme for the three years duration is stated as follows:-

Budget for the Research Programme Field Visits (Duration – 3 years)

| Budget Estimate | Estimated Expenditure during 3 years (in Rs.) |
|---|--|
| a) TA/DA for field visit (Airfare for Investigator - 12 field visits- 12 X 15000) | 1,80,000 |
| b) Boarding & Lodging during field visit (12 field visits for 5 days each – 12 X 5 days X 5000 per day) | 3,00,000 |
| c) Expenditure on Stationery, photocopying | 50,000 |
| d) Contingency expenditure, if any | 30,000 |
| Total | Rs. 5,60,000 |

Project Staff requirement:-

| Budget Estimate | Salary p.m. (in Rs.) | Salary for 3 years (in Rs.) |
|--|-----------------------------|--|
| 1. Field Investigator / Consultant (One) | 50,000 | 18,00,000 |
| 2. Junior Project Consultants (Two) | 35,000 | 12,60,000 |
| 3. Data Entry Operator (One) | 17,000 | 6,12,000 |
| Total | 1,02,000 | 36,72,000 |

The total budget requirement shall be Rs. (5,60,000 + 36,72,000) = **Rs. 42,32,000.**

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III. A Study on Faculty Management and Development in Universities and Colleges

Neeru Snehi

Introduction

Realization of the vision of provision of quality higher education depends largely on the faculty/teachers in the system. This implies that, an effective, fairly remunerated, professional and well motivated teacher in place is needed in every institution. Therefore, the policies and practices have been developed in institutions to recruit, retain and motivate faculty to enable them to fulfill the intended role and responsibilities. Various matters concerning the faculty such as academic freedom, service conditions, professional development, participation in governance, grievance procedures and others are significant. However, the challenge persists for recruiting right kind of people in teaching, managing them sensitively and provision of administrative and academic support for effective functioning. Essentially, faculty management means the recruitment policies and practices, posting and transfer policies and practices, salary, non salary benefits and related service conditions (pensions and long term benefits), physical working conditions of teachers, avenues for professional growth and management of teacher induction, in-service training, autonomy, accountability and appraisal systems that are in place and teachers' rights, grievance redressal mechanism and mandate of teacher unions.

Further, faculty is recognised as a key asset of every higher education institution and its development has become the buzz word for improving quality of higher education across the globe. In fact, diverse faculty development initiatives have been reported across higher education institutions in different countries endorsing the view that preparation of academics for their teaching careers is as important as effective teaching is considered vital for student learning. The discourse related to rationale for faculty development, its context, scope, approaches and practices that respond to faculty needs is garnering urgent attention. In reality, the changes such as reforms in policies and procedures, more diverse faculty and students, rapidly changing technology, and changed expectations about performance criteria and others during the last few decades are impacting the teaching learning process. This has led to the steady growth in introduction of faculty development programs. This increase is driving academicians to explore, what is the need for faculty development? What type of faculty development programmes we need? How to design them? Who will deliver them? How will they be funded and sustained? How to determine their impact on faculty? and so on.

In this context, the study is proposed to explore and identify the variation in the existing faculty recruitment policies and faculty development initiatives among Higher Education institutions of different states.

Research Questions

- What is the faculty recruitment policy in universities and colleges of different States?
- What are issues and challenges related to faculty recruitment and retention?
- What is the role of UGC regulations, state government, judiciary and university governance in faculty management?

- What is the policy framework for faculty development in higher education institutions?
- What initiatives have been undertaken for faculty development at the national level and state level?
- What type of faculty development initiatives have been undertaken at the Institution/University level?
- Are there faculty development programmes for specific levels and cadres?
- How faculty development programmes are designed and evaluated?
- How the impact of these programmes is assessed?
- Are there variations in faculty development initiatives across different types of institutions?

Objectives

- To explore the faculty recruitment and development policies in higher education institutions ;
- To identify factors which affect recruitment into academia and retention of faculty in higher education;
- To compare and analyse the initiatives undertaken for faculty development by different higher education institutions;
- To document and disseminate best practices in faculty development.

Methodology

The proposed study aims to understand and explore the concept of faculty management, policy initiatives and concerns related to faculty shortage, service conditions, promotions and development in institutions of higher education in different states. Consequently the review of literature would form the basis for developing the concept. The study would require field work and interaction and interviews with the personnel at institutional/university/college level involved in designing and implementation of programmes for faculty recruitment, retention and development. Thus, both primary and secondary data will be used for the study.

Population and sample: The population of the study will comprise Universities in India. Five States, one from each of the five regions (East, West, North, South and NE region) will be selected. The Sample would comprises of 3 universities- Central University, State University and affiliated colleges and Private University

i) Five States: 3 universities from each state; Total 15 universities

ii) 5 affiliated colleges from each affiliating University;
Total colleges: 25 State University affiliated Colleges

iii) Teachers-10% of the total population of teachers from each College and University

Tools: (i) Questionnaires
(ii) Interview schedules

Duration: The proposed study would be conducted in 24 months (Two years).

Research Team: Apart from Principal investigator, two Consultants will be appointed.

Total Budget Proposed for the project period of Two Years (24 Months)

| Items | Break-up of the budget | No. of person | Duration | Total Amount |
|---|------------------------|---------------|--------------|-----------------------|
| Project Consultant | Salary@ Rs.40,000/- | 2 | 24 months | Rs.19,20,000/- |
| Computer Operator | Salary @17000/- | 1 | 24 months | Rs.4,08,000/- |
| A. Total Salary | | 3 | | Rs.23,28,000/- |
| Field work Expenses | | | | |
| Stay arrangements and food for field work(2) | Rs. 1,00,000/ | - | | Rs. 1,00,000/ |
| Travel of project staff and principal investigator (Flight/Train/Bus) | Rs.1,50,000/ | - | | Rs.1,50,000/ |
| Hiring vehicle for field work | Rs. 1,00,000/ | - | | Rs. 1,00,000/ |
| Local Field Investigators | Rs.1,00,000/- | - | | Rs.1,00,000/- |
| B. Total expenditure for Field work | | | | Rs.4,50,000/- |
| Stationary, photocopy | Rs.75,000/ | - | | Rs.75,000/ |
| Miscellaneous | Rs.75,000/ | - | | Rs.75,000/ |
| C. Total expenditure for Miscellaneous and stationary etc. | | | | 1,50,000/ |
| Total expenditure (A+B+C) | | | | Rs.29,28,000/- |
| D. Contingency | 10% | | | Rs.2,92,800/- |
| Grand Total (A+B+C+D) | | | | Rs.32,20,800 |

(ii) Journal on Higher Education

The department proposes to launch a bi annual journal dedicated to higher education. This journal will be a professional forum to which both social scientists and practitioners around the world will be invited to share their research output in the area of higher education. The journal will publish research papers of high quality, review articles, book review and abstract from completed research degrees. The journal may be named as 'Journal of Higher Education Research ' and will be registered with an ISSN number. In addition it is proposed to publish monthly News Letters for dissemination of information to all the higher education institutions in higher education.

Strategy: The following strategy will be adopted to operationalise the publication of journal and news letter.

1. Project proposal and approval
2. Identification of senior person to look into administrative aspects of the journal
3. Identification of the publisher and marketing

Launch of the journal and newsletters by January 2021

Total Budgetary demand

| | Co-ordinators | Rupees |
|---|-----------------------------|--------------------|
| Training Programmes | | 30,34,300 |
| 1. Online Course in Governance and Leadership | Faculty of Higher Education | |
| 2. Leadership Training workshop of the Principals of College | Aarti Srivastava | 7,90,000 |
| 3. Total | | 38,24,300 |
| Research Programmes | | |
| Higher Education Governance State wise | Faculty of Higher Education | 1,07,83,333 |
| Leadership in Higher Education Institutions: Pathways for Improving Institutional Performance | Aarti Srivastava | <u>42,32,000</u> |
| A Study on Faculty Management and Development in Universities and Colleges | <u>Neeru Snehi</u> | 32,20,800 |
| Total | | 1,82,36,133 |

Department Advisory Committee – Members

Department of Higher and Professional Education

| | Name & Addresses | E. mail & Tel-Nos |
|----|---|--|
| 1. | Dr G.D. Sharma Flat No 56, Sector -1, Pocket , 1 Dewrika , New Delhi- 110075 | SEED ICF <seedicf@gmail.com>= +91 9868820215 |
| 2. | Dr. Shakila T. Shamsu OSD (NEP) Department of Higher Education Ministry of Human Resource Development Shastri Bhavan New Delhi | shakilat.shamsu@gov.in ; shakilat.shamsu@nic.ic Mobile: 9910370499 |
| 3. | Prof Saumen Chattopadhyay Zakir Husain Centre for Educational Studies School of Social Science, Jawaharlal Nehru University New Delhi 110067 | saumen@mail.jnu.ac.in Mobile:9873439840 |
| 4. | Prof.N.Jayaram Tata institute of Social sciences P.O.Box 8313 Deonar, Mumbai-400088 | 09930343593 njayaram2@rediffmail.com |
| 5. | Prof. Furqan Qamar Secretary General Association of Indian Universities AIU House, 16 Comrade Indrajit Gupta Marg Near National Bal Bhavan New Delhi-110 002 Tel: +91-11-23236105 Fax: +91-11-23232131 | +919805541019 sgoffice@aiu.ac.in |
| 6. | Prof. Padmaja Mishra Vice Chancellor Ramadevi Women's University Bhoi Nagar P.O. Bhubaneshwar-751022 Odhisha | vicechancellor@rdwu.ac.in |

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| | | |
| 7. | Prof. Satish Desh Pande, Department of Sociology Delhi School of Economics, University of Delhi, Delhi-110007. | Mobile 9810044269 sdeshpande7@gmail.com |
| 8. | Prof Latha Pillai Director(Actg) National Assessment and Accreditation Council(NAAC) POBox No.1075 Nagarbhavi Banglore-560072 Karnataka | lathapillai@naac.gov.in |
| 9. | Prof. Mona Khare Department of Educational Finance NIEPA | 09811891404 mona_khare@rediffmail.com |
| Department of Higher and Professional Education | | |
| 10. | Prof. Sudhanshu Bhushan (Member convener) Head, Department of Higher & Professional Education NIEPA | sudhanshu@niepa.ac.in 011-2654844 |
| 11. | Dr.Aarti Srivastava Associate Professor Department of Higher & Professional Education NIEPA | aarti@niepa.ac.in aartijnu@gmail.com 011-2654864 |
| 12. | Dr.Neeru Snehi Associate Professor Department of Higher & Professional Education NIEPA | neerusnehi@niepa.ac.in neerusnehi@gmail.com 011-2654868 |
| 13. | Dr. Sangeeta Angom Assistant Professor Department of Higher & Professional Education NIEPA | drsanglin@gmail.com , sangeeta@niepa.ac.in 011-2654851 |